

**School of Information and Library Science
University of North Carolina, Chapel Hill
INLS 525 - Electronic Records Management
*[Last Updated: 2017-09-04]***

Fall 2017

Meeting Time: Monday, 6:00 pm – 8:45 pm

Location: Manning 001

Credits: 3

Instructor: Camille Tyndall Watson

E-Mail: etyndall@email.unc.edu

Office Hours: By appointment only

Course Web Site: <http://sakai.unc.edu/>

COURSE DESCRIPTION

The management and preservation of electronic records is essential for maintaining institutional accountability; protecting the rights of citizens, employees and customers; supporting the efficient operation of contemporary organizations; perpetuating valuable forms of social memory; and helping individuals to integrate aspects of the past into their sense of identity.

Current electronic recordkeeping is in a state of relative neglect. At their most basic level, electronic records problems are related to proper configuration and management of computer components (hardware and software). The good news is that actual and potential solutions to the technological issues abound. The bad news is that the behavioral, organizational, institutional and professional underpinnings are generally not yet in place to implement the technological solutions. This places a profound set of challenges and opportunities in the hands of SILS students about to enter the workforce.

In this course, we will begin by considering the messy recordkeeping environment in which we currently live. We will then gradually build up a set of concepts, tools and strategies that information professionals can use to help shape more appropriate, valuable and sustainable recordkeeping systems.

COURSE OBJECTIVES

- Gain awareness of trends and practices in contemporary recordkeeping environments.
- Understand the nature of electronic records in different organizational, technological, legal, cultural, and business environments.
- Be aware of social, legal, and policy implications for individuals and organizations keeping records in electronic form.
- Be able to analyze a variety of problems related to electronic records and propose solutions that are appropriate in particular contexts.

- Understand the differences between recordkeeping systems and other types of information systems.
- Be able to evaluate the effectiveness of different approaches, methods, and technologies for managing electronic records.
- Understand the technical and institutional requirements associated with long-term retention and preservation of electronic records.
- Be able to evaluate various electronic recordkeeping strategies.

COURSE EXPECTATIONS

- Complete readings BEFORE CLASS each week. Manage your time accordingly.
 - How to Read a Book - <http://www.si.umich.edu/~pne/PDF/howtoread.pdf>
- Written work should be of high quality. If you have concerns about writing, address them early and often.
 - UNC Writing Center in Phillips Annex - <http://www.unc.edu/depts/wcweb/>
 - Most importantly, your peers.
- Come to class on time
- Participate in discussions (both in-class and through Sakai) – counts as 20% of your total grade for the course
- Demonstrate that you have read the material, understood and synthesized it.
- Tell us when you do not agree. This is a discussion forum, not just a lecture session. No one in the room has a monopoly on correct answers. You are encouraged to question the assumptions of the readings, your instructors and your fellow students. Your comments should reflect mutual respect and should not attack individuals, but ideas are presented in order for you to analyze and critique them.

Special Needs: If you feel that you may need an accommodation for a disability or have any other special need, please make an appointment to discuss this with one or both of the instructors. We will best be able to address special circumstances if we know about them early in the semester. Our office hours and contact information are listed at the beginning of this syllabus.

Diversity Statement

"In support of the University's diversity goals and the mission of the School of Information and Library Science, SILS embraces diversity as an ethical and societal value. We broadly define diversity to include race, gender, national origin, ethnicity, religion, social class, age, sexual orientation and physical and learning ability. As an academic community committed to preparing our graduates to be leaders in an increasingly multicultural and global society we strive to:

- Ensure inclusive leadership, policies and practices;
- Integrate diversity into the curriculum and research;
- Foster a mutually respectful intellectual environment in which diverse opinions are valued;

- Recruit traditionally underrepresented groups of students, faculty and staff; and
- Participate in outreach to underserved groups in the State.

The statement represents a commitment of resources to the development and maintenance of an academic environment that is open, representative, reflective and committed to the concepts of equity and fairness."

~The faculty of the School of Information and Library Science (<http://sils.unc.edu/about/diversity>)

COURSE REQUIREMENTS

1. Complete required readings and participate in class discussions.
2. Paper about available technologies - Write a paper about a subset of the that could support an aspect of electronic recordkeeping. You'll each be assigned a subset of the tools on **Week 3 (Monday, September 11)**. Your paper should address (1) characteristics of the tools, (2) what electronic recordkeeping functions they purport to or potentially support, and (3) potential opportunities and challenges of implementing them in different contexts. Due on **Week 7 (Monday, October 9)**.
3. Data Recovery and Ingest Assignment - With a group of others students, you will receive a set of files and will then carry out a set of recovery and ingest tasks with those files.
 - You will receive the files and instructions on **Week 8 (Monday, October 16)**.
 - A group paper about this process is due on **Week 13 (Monday, November 20)**.
 - An individual paper providing recommendations based on your experience is due on **Week 15 (Monday, December 4)**.

Please note that all assignments are due by the beginning of class on the day that they are due. File naming note—please turn your assignments is as .pdf documents, last name_assignment_date (TyndallWatson_dataingest_group_20170824)

KEY DATES

Week 3 (Monday, September 11) - Receive assignments for paper on available technologies

Week 7 (Monday, October 9) - Paper about available technologies due

Week 8 (Monday, October 16) - Receive files and instructions for Data Recovery and Ingest Assignment

Week 12 (Monday, November 13) Web crawl findings paper due.

Week 13 (Monday, November 20) - Group Paper on Data Recovery and Ingest Assignment is due (5pm)

Week 15 (Monday, December 4) - Individual Paper about Data Recovery and Ingest Assignment is due

IMPORTANT NOTE ON PLAGIARISM

It is very important that you both attribute your sources and avoid excessive use of quotes (see separate handout called "In Your Own Words"). Be aware of the University of North Carolina policy on plagiarism. Your written work must be original. Ask if you have any doubts about what this means.

All cases of plagiarism (unattributed quotation or paraphrasing) of anyone else's work, whether from someone else's answers to homework or from published materials, will be officially reported and dealt with according to UNC policies (Instrument of Student Judicial Governance, Section II.B.1. and III.D.2, <http://instrument.unc.edu>).

EVALUATION

Participation in class discussion and lab exercises: 20%

Paper about available tools: 25%

Group paper on Data Recovery and Ingest Assignment: 25%

Individual paper on Data Recovery and Ingest Assignment: 20%

Web Crawl Findings Assignment: 10%

The most important measures of your performance in this and all other classes at SILS will be your ability to engage in challenging materials with your fellow students; your reputation for insights and professionalism among your peers and with your instructor; your integration of course material with the other things you are learning both inside and outside the classroom; and your ability to apply what you've learned in your future career. However, the conventions of academia dictate that I also assign labels (called grades) to your work on assignments and for the course as a whole.

Based on UNC Registrar Policy for graduate-level courses (<http://registrar.unc.edu/academic-services/grades/explanation-of-grading-system/>), both assignment and semester grades will be H, P, L or F. Few students will obtain an "H," which signifies an exceptionally high level of performance (higher than an "A" in an A-F systems). The following is a more detailed breakdown:

- H Superior work: complete command of subject, unusual depth, great creativity or originality
- P+ Above average performance: solid work somewhat beyond what was required and good command of the material
- P Satisfactory performance that meets course requirements (expected to be the median grade of all students in the course)
- P- Acceptable work in need of improvement
- L Unacceptable graduate performance: substandard in significant ways
- F Performance that is seriously deficient and unworthy of graduate credit

Note: The above breakdown is for individual assignments. Final grades in the course will not reflect + or - designations (i.e. there will be Ps but no P+s or P-s).

According to UNC Registrar Policy, undergraduate grades are based on the following definitions:

- A Mastery of course content at the highest level of attainment that can reasonably be expected of students at a given stage of development. The A grade states clearly that the students have shown such outstanding promise in the aspect of the discipline under study that he/she may be strongly encouraged to continue.
- B Strong performance demonstrating a high level of attainment for a student at a given stage of development. The B grade states that the student has shown solid promise in the aspect of the discipline under study.
- C A totally acceptable performance demonstrating an adequate level of attainment for a student at a given stage of development. The C grade states that, while not yet showing unusual promise, the student may continue to study in the discipline with reasonable hope of intellectual development.
- D A marginal performance in the required exercises demonstrating a minimal passing level of attainment. A student has given no evidence of prospective growth in the discipline; an accumulation of D grades should be taken to mean that the student would be well advised not to continue in the academic field.
- F For whatever reason, an unacceptable performance. The F grade indicates that the student's performance in the required exercises has revealed almost no understanding of the course content. A grade of F should warrant an advisor's questioning whether the student may suitably register for further study in the discipline before remedial work is undertaken.
- AB Absent from final examination, but could have passed if exam taken. This is a temporary grade that converts to an F* after the last day of class for the next regular semester unless the student makes up the exam.
- FA Failed and absent from exam. The FA grade is given when the undergraduate student did not attend the exam, and could not pass the course regardless of performance on the exam. This would be appropriate for a student that never attended the course or has excessive absences in the course, as well as missing the exam.

IN Work incomplete. This is a temporary grade that converts to F* at the end of eight weeks into the next semester unless the student makes up the incomplete work.

W Withdrew passing. Entered when a student drops after the six-week drop period.

COURSE READINGS

You are not required to buy any books for this course.

SILS Reserves:

Copies of the following books are available from the SILS Library on the first floor of Manning Hall (behind the SILS Library help desk):

- Adam, Azad. *Implementing Electronic Document and Record Management Systems*. Boca Raton: Auerbach Publications, 2008.
- Ambacher, Bruce I., ed. *Thirty Years of Electronic Records*. Lanham, MD: Scarecrow Press, 2003.
- Bearman, David, ed. *Archival Management of Electronic Records, Archives and Museum Informatics Technical Report, No. 13*. Pittsburgh, PA: Archives and Museum Informatics, 1991.
- Bearman, David. *Electronic Evidence: Strategies for Managing Records in Contemporary Organizations*. Pittsburgh: Archives and Museum Informatics, 1994.
- Brown, Adrian. *Archiving Websites: A Practical Guide for Information Management Professionals*. London: Facet, 2006.
- Dearstyne, Bruce W., ed. *Effective Approaches for Managing Electronic Records and Archives*. Lanham, MD: Scarecrow Press, 2002.
- Dollar, Charles M. *Authentic Electronic Records: Strategies for Long-Term Access*. Chicago, IL: Cohasset Associates, 1999.
- Ellis, Judith A., ed. *Selected Essays in Electronic Recordkeeping in Australia*. O'Connor, ACT, Australia: Australian Society of Archivists, 2000.
- Higgs, Edward, ed. *History and Electronic Artefacts*. Oxford, England: Clarendon Press, 1998. See especially Parts 1-3.
- Jones, Keith J., Richard Bejtlich, Curtis W. Rose, Dan Farmer, Wietse Venema, and Brian Carrier. *Computer Forensics Library Boxed Set*. Upper Saddle River, NJ: Addison-Wesley, 2007. Includes:
 - Carrier, Brian. *File System Forensic Analysis*. Boston, MA: Addison-Wesley, 2005.
 - Farmer, Dan, and Wietse Venema. *Forensic Discovery*. Upper Saddle River, NJ: Addison-Wesley, 2005.
 - Jones, Keith J., Richard Bejtlich, and Curtis W. Rose. *Real Digital Forensics: Computer Security and Incident Response*. Upper Saddle River, NJ: Addison-Wesley, 2006.
- Lee, Christopher A. ed. *I, Digital: Personal Collections in the Digital Era*. Chicago, IL: Society of American Archivists, 2011.

- Reid, Roger, Gareth Fraser-King, and W. David Schwaderer. *Data Lifecycles: Managing Data for Strategic Advantage*. Chichester, England: Wiley, 2007.
- Smallwood, Robert F. *Managing Electronic Records: Methods, Best Practices, and Technologies*. Hoboken, NJ: Wiley CIO, 2013.
- Stephens, David O. *Records Management: Making the Transition from Paper to Electronic*. Lenexa, KS: ARMA, 2007.
- Stephens, David O., and Roderick C. Wallace. *Electronic Records Retention: New Strategies for Data Life Cycle Management*. Prairie Village, KS: ARMA International, 2003.
- Saffady, William. *Managing Electronic Records*. 3rd ed. Prairie Village, KS: ARMA International, 2002.

World Wide Web: Some class preparation requires review of information on the Web. Uniform Resource Locators (URLs) are provided with the reading assignments.

For the weekly readings, the following labels indicate where specific course readings can be located:

B = Book for purchase

R = Reserves at SILS Library in Manning Hall

S = Course site on Sakai (<https://sakai.unc.edu>), where copies of some readings are available (under Course Documents > Readings)

O = Online through UNC license. NOTE: Accessing these materials can require you either to use a computer with a UNC IP address (generally, a SILS or UNC Library computer) or visit the associated sites through a UNC proxy server. See: <http://proxy.lib.unc.edu/setupinfo.html>

W = Publicly accessible Web

Part 1 - What's happening? Trends in Recordkeeping

Week 1 (August 28) - Introduction to the Course

- A bit about your instructor
- Course overview
- Getting to know you
- Accountability discussion
- ARM concepts – crash course

Week 2 (September 4) – LABOR DAY, NO CLASS

Week 3 (September 11) - Recordkeeping Realities

Receive available technologies assignment

- Electronic Recordkeeping - Goals and Aspirations
- Media of Communication and Coordination - Based on Digitally-Encoded Symbols
- Social Structures
- Genres and Routines
- Persistence of Genres
- Hybrid (Paper/Digital) Recordkeeping Environments
- Evolutionary Change
- Unintended Consequences

Read:

O - Meijer, Albert. "Electronic Records Management and Public Accountability: Beyond an Instrumental Approach." *The Information Society* 17, no. 4 (2001): 259-70. <http://dx.doi.org/10.1080/019722401753330850>

W - Catherine E. Shoichet "Bridge firestorm could have bigger impact on Christie." *CNN Politics*. January 8, 2014. <http://www.cnn.com/2014/01/08/politics/christie-bridge/index.html>[Read the story and the email messages: <http://www.cnn.com/interactive/2014/01/politics/christie-emails/index.html>]

O - Madhava, Rakesh. "10 Things to Know About Preserving Social Media." *Information Management Journal*, September/October (2011): 33-7.

S - Sellen, Abigail J., and Richard Harper. *The Myth of the Paperless Office*. Cambridge, MA: MIT Press, 2002. Introduction, p.1-22.

Week 4 (September 18) - Levels of Representation and Curatorial Implications - Part 1

- Backup, redundancy and recovery
- Data Stored as Instructions for Future Interaction
- Hardware and Software Dependence

Receive assignment for available tools assignment

Read:

W - Christopher A. Lee, Kam Woods, Matthew Kirschenbaum, and Alexandra Chassanoff. *From Bitstreams to Heritage: Putting Digital Forensics into Practice in Collecting Institutions*. September 30, 2013. <http://www.bitcurator.net/docs/bitstreams-to-heritage.pdf>

W - Lee, Christopher A. "Digital Curation as Communication Mediation." In *Handbook of Technical Communication*, edited by Alexander Mehler, Laurent Romary, and Dafydd Gibbon, 507-530. Berlin: Mouton De Gruyter, 2012. <http://www.ils.unc.edu/callee/p507-lee.pdf>

S, R - Reid, Roger, Gareth Fraser-King, and W. David Schwaderer. "Data Lifecycles and Tiered Storage Architectures." *Data Lifecycles: Managing Data for Strategic Advantage*, 145-167. Chichester, England: Wiley, 2007. [You can skip over the Serial ATA discussion on p.147-151]

Week 5 (September 25) - Levels of Representation and Curatorial Implications - Part 2 What Are We Going to Do About It? Strategies and Tactics

- Technology obsolescence and preservation concerns
- Intellectual control

Meet with person paired to same set in available tools assignment

Read:

S - Blackburn, Barb, Robert Smallwood, and Seth Earley. "Taxonomy Development for E-Records." In *Managing Electronic Records: Methods, Best Practices, and Technologies*, 79-109. Hoboken, NJ: John Wiley and Sons, 2013.

S - Lange, Michele C. S., and Kristin M. Nimsger. "3.3 Discoverability" (60-67), "3.5 Data Locations and Accessibility" (72-82). *Electronic Evidence and Discovery: What Every Lawyer Should Know Now*. 2nd ed. Chicago, IL: Section of Science & Technology Law American Bar Association, 2009.

W - Rothenberg, Jeff. "Ensuring the Longevity of Digital Information." Washington, DC: Council on Library and Information Resources, 1999. <http://www.clir.org/pubs/archives/ensuring.pdf>

Week 6 (October 2) - Defining the Problem Space - Identifying Requirements and Responsibilities

- What are Archives?
- How are Records Different from other Information?
- What are the responsibilities of records professionals?
- Information Governance
- Focus on recordkeeping systems, rather than individual records
- Retention Scheduling and Appraisal
- Security
- Reliability and authenticity
- Managing Web Records (Selection, Retention Management, Intellectual Control)

Read:

S, R - Adam, Azad. "Fundamentals of EDRMS." In *Implementing Electronic Document and Record Management Systems*, 7-22. Boca Raton: Auerbach Publications, 2008.

S - Cunningham, Adrian. "Ghosts in the Machine: Towards a Principles-Based Approach to Making and Keeping Digital Personal Records." *I, Digital: Personal Collections in the Digital Era*, edited by Christopher A. Lee, 78-89. Chicago, Society of American Archivists, 2011.

S, R - Smallwood, Robert F. "Information Governance: The Crucial First Step" and "Managing Vital E-Records." In *Managing Electronic Records: Methods, Best Practices, and Technologies*, 11-20, 135-147. Hoboken, NJ: John Wiley and Sons, 2013.

Week 7 (October 9) - Making the Case for Electronic Recordkeeping

Assignment on available technologies due.

- What are the important resources and where do they reside?
- ERM as an element of business continuity management
- Cost-Benefit and Return-on-Investment Approaches
- Risk Management
- Explaining the relevance of ERM to pressing, contemporary concerns

Read:

W - Digital Preservation Business Case Toolkit. Digital Preservation Coalition. [http://wiki.dpconline.org/index.php?title=Digital Preservation Business Case Toolkit](http://wiki.dpconline.org/index.php?title=Digital_Preservation_Business_Case_Toolkit)

C - Lee, Christopher A. "Guerilla Electronic Records Management: Lessons Learned." *Records and Information Management Report* 18, no. 5 (2002): 1-13.

S - Mat-Isa, Azman. "Risk Management and Managing Records." In *Record Keeping in a Hybrid Environment: Managing the Creation, Use, Preservation and Disposal of Unique Information Objects in Context*, edited by Alistair G. Tough and Michael Moss, 69-83. Oxford: Chandos, 2006.

O - Saffady, William. "Making the Business Case for Records Management." *Information Management Journal*, January/February (2011): 38-41.

Week 8 (October 16) - Access and Use - Scenarios, Needs and Limitations

- Reference Services
- Freedom of Information Act (FOIA) and Open Records Laws
- Discovery

Receive files and instructions for Data Recovery and Ingest Assignment

Read:

W - IIPC Access Working Group. "Use Cases for Access to Internet Archives." International Internet Preservation Consortium, 2006. <http://netpreserve.org/publications/iipc-r-003.pdf>

W - Kaine Email Project @LVA. <http://www.virginiamemory.com/collections/kaine/> [Read: Look Under the Hood; Examine the Search the Collection area]

S - Lange, Michele C. S., and Kristin M. Nimsger. "3.7 Privelege and Inadvertent Waiver" (95-104), "3.9 Review and Production Considerations" (125-135). *Electronic Evidence and Discovery: What Every Lawyer Should Know Now*. 2nd ed. Chicago, IL: Section of Science & Technology Law American Bar Association, 2009.

W - Lawyers for Civil Justice. "Litigation Cost Survey of Major Companies." 2010. <http://www.uscourts.gov/uscourts/RulesAndPolicies/rules/Duke%20Materials/Library/Litigation%20Cost%20Survey%20of%20Major%20Companies.pdf> [Note: A lot of the pages are appendices, which you don't need to read closely.]

Paper about available technologies due by start of class

Week 9 (October 23) –Guest Lecture: Cal Lee, BitCurator Environment

- Introduction to the software
- Tour of the SILS digital forensics lab

Week 10 (October 30) - Learning the Rules: Working within the Legal and Policy Requirements of the Environment

Read:

W - Generally Accepted Recordkeeping Principles (GARP). ARMA International. Read both the Principles, http://www.arma.org/docs/sharepoint-roadshow/the-principles_executive-summaries_final.doc, and Maturity Model, <http://www.arma.org/docs/bookstore/theprinciplesmaturitymodel.pdf>

W - Managing Government Records Directive. Office of Management and Budget. August 24, 2012. <http://www.whitehouse.gov/sites/default/files/omb/memoranda/2012/m-12-18.pdf>

S, R - Smallwood, Robert F. "International E-Records Standards." In *Managing Electronic Records: Methods, Best Practices, and Technologies*, 239-269. Hoboken, NJ: John Wiley and Sons, 2013.

S, O - Wallace, David A. "Electronic Records Management Defined by Court Case and Policy." *Information Management Journal* 35, no. 1 (2001): 4, 6-8, 10, 12, 14, 15.

Week 11 (November 6) –Guest Lecturer: Jamie Patrick-Burns, State Archives of NC, and (TENTATIVE) Lori Donovan, Internet Archive, Archiving the Web—Introduction to RM and Web Archiving

- What are web archives?
- Why should we be interested in managing the web?
- What are the responsibilities of records professionals?
- Available tools
- Focus on recordkeeping issues with web crawling systems, rather than individual records
- Retention Scheduling and Appraisal
- Reliability and authenticity
- Managing Web Records (Selection, Retention Management, Intellectual Control)

Read:

S, - Masanes, Julian. *Web Archiving*, Parts 1-4. New York: Springer Publications, 2006.

S - Cunningham, Adrian. "Ghosts in the Machine: Towards a Principles-Based Approach to Making and Keeping Digital Personal Records." *I, Digital: Personal Collections in the Digital Era*, edited by Christopher A. Lee, 78-89. Chicago, Society of American Archivists, 2011.

S, R - Smallwood, Robert F. "Information Governance: The Crucial First Step" and "Managing Vital E-Records." In *Managing Electronic Records: Methods, Best Practices, and Technologies*, 11-20, 135-147. Hoboken, NJ: John Wiley and Sons, 2013.

Week 12 (November 13) - Changing the Rules: Developing or Influencing Policies, Standards and Guidelines

- Creating Approachable Guidance Documents

Read:

W - DLM Forum Foundation, *MoReq2010: Modular Requirements for Records Systems - Volume 1: Core Services and Plug-in Modules*, 2011. [http://moreq2010.eu/pdf/MoReq2010-Core+Plugin\(v1-0\).pdf](http://moreq2010.eu/pdf/MoReq2010-Core+Plugin(v1-0).pdf). [Familiarize yourself with the contents of the whole document; read 1.4. Primer (p.19-30); read System Services 2.1-2.3 (p.31-39).]

S, R - Stephens, David O. "Electronic Records Retention: Managing the Data Life Cycle," "Sample Policy: Corporate Records Retention," "Sample Policy for All Employees," "Sample Policy: Legal Hold on Records Destruction," "Sample Policy: E-mail Retention," "Sample Policy: Records

Access." *Records Management: Making the Transition from Paper to Electronic*, 53-70, 75-82, 121-124, 137-140, 191-194. Lenexa, KS: ARMA, 2007.

Week 13 (November 20) – Guest Speaker: Kelly Eubank, Project Management and Implementation

Web crawl assignment due.

- Intervention early in the records lifecycle
- Project management
- Procurement
- System implementation

Read:

C - Adam, Azad. "Project Management." In *Implementing Electronic Document and Record Management Systems*, 127-150. Boca Raton: Auerbach Publications, 2008.

C - Bean, Bernadette. "A Project Plan." In *Selected Essays in Electronic Recordkeeping in Australia*, edited by Judith A. Ellis, 31-49. O'Connor, ACT, Australia: Australian Society of Archivists, 2000.

C - Davis, Simon. "Implementing an Electronic Recordkeeping System." In *Selected Essays in Electronic Recordkeeping in Australia*, edited by Judith A. Ellis, 71-95. O'Connor, ACT, Australia: Australian Society of Archivists, 2000.

C - Skelton, Karen. "Designing an Electronic Recordkeeping System." In *Selected Essays in Electronic Recordkeeping in Australia*, edited by Judith A. Ellis, 51-70. O'Connor, ACT, Australia: Australian Society of Archivists, 2000.

S, R - Smallwood, Robert F. "Procurement Governance: The Buying Process." In *Managing Electronic Records: Methods, Best Practices, and Technologies*, 355-372. Hoboken, NJ: John Wiley and Sons, 2013.

[Other Related Readings](#)

Week 14 (November 27) - Getting Records into Preservation Environments

Group Paper on Data Recovery and Ingest Assignment is due by 5pm on Friday, November 18

- Getting data into a preservation environment
- Explanation of ingest activities
- Characteristics of a good preservation environment

Read:

W - Glick, Kevin, and Eliot Wilczek. "Ingest Guide for University Electronic Records." <http://dca.lib.tufts.edu/features/nhprc/reports/ingest/index.html>

W - Lee, Christopher A. "Open Archival Information System (OAIS) Reference Model." In *Encyclopedia of Library and Information Sciences*, Third Edition, edited by Marcia J. Bates and Mary Niles Maack, 4020-4030. Boca Raton, FL: CRC Press, 2009. <http://www.ils.unc.edu/caltee/p4020-lee.pdf>

O, W - Woods, Kam, Christopher A. Lee, and Simson Garfinkel. "Extending Digital Repository Architectures to Support Disk Image Preservation and Access." In *JCDL '11: Proceeding of the 11th Annual International ACM/IEEE Joint Conference on Digital Libraries*, 57-66. New York, NY: ACM Press, 2011. <http://dx.doi.org/10.1145/1998076.1998088> or <http://www.ils.unc.edu/caltee/p57-woods.pdf>

Week 15 (December 4) - Strategies for Influencing Behavior and Promoting Adoption, Wrapping Up

- Policy, design, implementation and standards (Pitt project)
- Market, laws, norms, architecture (Lessig)
- Combining strategies to fit the organizational context
- Systems and software:
 - Records management applications
 - Existing tools and applications
 - Metadata

Individual Paper about Data Recovery and Ingest Assignment is due by start of class

Read:

W - Guidance on Managing Records in Web 2.0/Social Media Platforms. U.S. National Archives and Records Administration. October 20, 2010. <http://www.archives.gov/records-mgmt/bulletins/2011/2011-02.html>

C - Lange, Michele C. S., and Kristin M. Nimsger. "Sample Preservation Letter to Employees and Custodians" (359-363) and "Sample Preservation letter to Departing Employees and Custodians" (365-369). *Electronic Evidence and Discovery: What Every Lawyer Should Know Now*. 2nd ed. Chicago, IL: Section of Science & Technology Law American Bar Association, 2009.

W - Lavoie, Brian F. "The Incentives to Preserve Digital Materials: Roles, Scenarios, and Economic Decision-Making." Dublin, Ohio: OCLC Research, 2003. <http://www.oclc.org/research/projects/digipres/incentives-dp.pdf> [Look over the whole

document, but focus particularly on: Executive Summary (p.2-4), Incentives to Preserve (10-13), A Simple Economic Framework (13-19)]

C - Lessig, Lawrence. "What Things Regulate." In *Code and Other Laws of Cyberspace*, 85-99. New York: Basic Books, 1999.

[Other Related Readings](#)

Sources Specifically about Current Legal Requirements

R - Adam, Azad. "Managing the Cultural Change of EDRMS." In *Implementing Electronic Document and Record Management Systems*, 185-198. Boca Raton: Auerbach Publications, 2008.

S - Baron, Jason R. "The PROFS Decade: NARA, E-Mail, and the Courts." In *Thirty Years of Electronic Records*, edited by Bruce I. Ambacher, 105-37. Lanham, MD: Scarecrow Press, 2003.

R - Bearman, David. "The Implications of *Armstrong v. the Executive Office of the President for the Archival Management of Electronic Records*." In *Electronic Evidence: Strategies for Managing Records In Contemporary Organizations*, 118-144. Pittsburgh, PA: Archives & Museum Informatics, 1994.

W - Charlesworth, Andrew. "Legal Issues Relating to the Archiving of Internet Resources in the UK, EU, USA and Australia." JISC [Joint Information Systems Committee] and Wellcome Trust, 2003. http://www.jisc.ac.uk/uploaded_documents/archiving_legal.pdf

W - Coyle, Karen. "Rights in the Premis Data Model: A Report for the Library of Congress." 2006. <http://www.loc.gov/standards/premis/Rights-in-the-PREMIS-Data-Model.pdf>

S - Gränström, Claes. "Swedish Society and Electronic Data." In *History and Electronic Artefacts*, edited by Edward Higgs, 317-30. Oxford: Clarendon Press, 1998.

Litman, Jessica. *Digital Copyright*. Amherst, NY: Prometheus Books, 2001. [Table of Contents and some Excerpts at <http://www.msen.com/~litman/digital-copyright/>]

O - Martins, Cristine S., and Sophia J. Martins. "The Impact of the USA Patriot Act on Records Management." *Information Management Journal* 39, no. 3 (2005): 52-58. <http://proquest.umi.com/pqdweb?did=842580321&sid=3&Fmt=2&clientId=15094&RQT=309&VName=PQD>

S, O - Montaña, John C. "The End of the Ostrich Defense." *Information Management Journal* 39, no. 1 (2005): 26-34. <http://proquest.umi.com/pqdweb?did=785348251&sid=3&Fmt=4&clientId=15094&RQT=309&VName=PQD>

O - Panko, Raymond R. "Spreadsheets and Sarbanes-Oxley: Regulations, Risks, and Control Frameworks." *Communications of the Association for Information Systems* 17 (2006): 647-76.

W - Rainsberger, Richard. "FERPA and University Research Records." Paper presented at the ECURE: Preservation and Access for College and University Resources, Tempe, AZ, March 2, 2004. <http://www.asu.edu/ecure/2004/rainsberger/index.html>

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