

L597, Topics in Library Science: Records Management

Version 03, Dated May 11, 2007

Indiana University, Bloomington
School of Library and Information Science
South East Archives Collaborative

Summer I, 2007

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Mondays and Fridays 8:30 AM – 12:30 PM
May 11 through June 11

Records management is the management of documentary information for the purposes of supporting the goals and strategy of an organization. Unlike archives and libraries the primary purpose of records management is not to support culture, but to support business activity. The challenges of records management have trebled over the past few years with the recognition that anything opposing counsel could ask for must be managed like any other record, including documents: databases, emails with casual conversation, etc. that may have a very high value, or may be of no value to the organization at all. This requires understanding business processes as well as statutes, regulations, the litigation process, disaster recovery and business continuity, and storage architecture.

Students will learn how the purpose of records management differs from archives and library and information science. How focus on the “document” rather than a “database” or knowledge in employee’s heads creates special challenges in the workplace, like how information technology has provided for management of transactions and data, but not documents, and how employee work habits can undermine the best organization of information or search tools. Students will also learn where business and law intersect with the skills and knowledge they have learned in their library, archives, and information science courses.

Readings

Course Texts:

ANSI/ARMA 12-2005 “Establishing Alphabetic, Numeric and Subject Filing Systems,” Lenexa, KS: ARMA International, 2005.

Carol E.B. Choksy, *Domesticating Information: managing information inside the organization*. Lanham, MD: Scarecrow Press, 2006.

Virginia A. Jones and Kris E. Keyes, *Emergency Management for Records and Information Management Programs*. Prairie Village , KS: ARMA, International, 2001.

Victoria L. Lemieux, *Managing Risks for Records and Information*. Lenexa, KS: ARMA, International, 2004.

Required Readings

A. Antonacopoulos, D. Karatzas, H. Krawczyk, B. Wiszniewski, "The Lifecycle of a Digital Historical Document: Structure and Content" *Proceedings of the 2004 ACM Symposium*, Milwaukee, WI: 147-154. In OnCourse Resources.

Authenticity Task Force, "Authenticity Task Force Report" InterPARES Project, 2002.
http://www.interpares.org/display_file.cfm?doc=ip1_atf_report.pdf

Jean Barr, "A Disaster Plan in Action: How a Law Firm in the World Trade Center Survived 9/11 with Vital Records and Employees Intact," *Information Management Journal* 37, May/June (Issue 3, 2003): 28-30. In OnCourse Resources.

Eric Bellman, "After the Tsunami, Keys to Recovery Lie In Vanished Papers," *The Wall Street Journal*, January 5, 2005. In OnCourse Resources.

Michael S. Brown and W. Brent Seales, "The Digital Atheneum: New Approaches for Preserving, Restoring and Analyzing Damaged Manuscripts," *Proceedings of the 1st ACM/IEEE-CS Joint Conference on Digital Libraries*, Roanoke, Virginia, 2001: 437 – 443. In OnCourse Resources

Michael K Buckland, "What Is a 'Document'?" *Journal of the American Society for Information Science* 48, September (Issue 9, 1997): 804-809. In OnCourse Resources

Carol E.B. Choksy, "8 Steps to Develop a Taxonomy" *Information Management Journal* November/December 2006: 30-41. In OnCourse Resources.

M. T. Clanchy, *From Memory to Written Record: England 1066-1307*, 2nd ed. (Oxford: Blackwell, 1993), 1-144. In OnCourse Resources

Comptroller of the Currency, Administrator of National Banks, AL 2004–9: "Electronic Record Keeping," *OCC Advisory Letter*, 21 June 2004.
<http://www.occ.treas.gov/ftp/advisory/2004-9.doc>

Terry Cook, "Archival science and postmodernism: new formulations for old concepts," *Archival Science* v. 1 Mar (Issue 1, 2001): 3-24. In OnCourse Resources

CSO Online, "The ABCs of Intellectual Property Protection,"
http://www.csoonline.com/fundamentals/abc_ip.html

"Only veteran medical records remain safe from New Orleans flood waters," *The Daily Citizen*, September 15, 2005
<http://www.thedailycitizen.com/articles/2005/09/15/news/features/featuresrecords.prt>

Bryant Duhon, Jeetu Patel, and Rick Tucker, "ECM At Work—Wall Poster"
Doculabs/AIIM, 6/1/2005. In OnCourse Resources

Michael J. Earl, "Business Process Reengineering: A Phenomenon of Organization," 53-76, in *Information Management: The Organizational Dimension*, edited by Michael J. Earl (Oxford: Oxford University Press, 1996). In OnCourse Resources

Ezra, I-VII, Revised Standard Version <http://bible.oremus.org/?passage=Ezra+1>
<http://bible.oremus.org/?passage=Ezra+2> <http://bible.oremus.org/?passage=Ezra+3>
<http://bible.oremus.org/?passage=Ezra+4> <http://bible.oremus.org/?passage=Ezra+5>
<http://bible.oremus.org/?passage=Ezra+6> <http://bible.oremus.org/?passage=Ezra+7>

Michael Fishman, "Disk and Tape Backup Mechanisms" SNIA Tutorials
[http://www.snia.org/education/tutorials/2006/fall/data-management/Disk and Tape Backup Mechanisms.pdf](http://www.snia.org/education/tutorials/2006/fall/data-management/Disk_and_Tape_Backup_Mechanisms.pdf)

John Gage, "Colour and Culture," 21-33, in *Color and Meaning: Art, Science, and Symbolism*, (Berkeley: University of California Press, 1999). In OnCourse Resources.

Genesis I-II, Revised Standard Version, <http://bible.oremus.org/?passage=Genesis+1>
<http://bible.oremus.org/?passage=Genesis+2>

Eugene Grygo, "U.S. recovery: IT heroes toil to restore trading," *InfoWorld*, September 21, 2001 <http://www.infoworld.com/articles/hn/xml/01/09/21/010921hnheroes.html>

Rebecca Guenther and Jacqueline Radebaugh, "Understanding Metadata," National Information Standards Organization,
<http://www.niso.org/standards/resources/UnderstandingMetadata.pdf>

Eugene Hunn, "The Utilitarian Factor in Folk Biological Classification," *American Anthropologist*, 24, no. 2 (1982): 830-847. In OnCourse Resources.

Sheila Jasanoff, "The Eye of Everyman: Witnessing DNA in the Simpson Trial," *Social Studies of Science* 28, October-December (No. 5/6, 1998): 713-740. In OnCourse Resources.

A. Karjalainen, T. Paivarinta, P. Tyrvaainen, J. Rajala, "Genre-based metadata for enterprise document management," *Proceedings of the 33rd Annual Hawaii International Conference on Systems Sciences*, Honolulu, HI, 4-7 January 2000. In OnCourse Resources.

Bert Latamore, "The Revolution in File Virtualization—What You Need to Know," *Computerworld*, 5 January 2006.
<http://www.computerworld.com/action/article.do?command=viewArticleBasic&articleId=9007338> Also in OnCourse Resources.

Baruch Lev, "Sharpening the Intangibles Edge," *Harvard Business Review* 82, June (Issues 6, 2004): 109-116. In OnCourse Resources

Alberto Marradi, "Classification, typology, taxonomy," *Quality & Quantity* 24, May (2, 1990): 129-158. In OnCourse Resources.

Ernst Mayr, "Biological Classification: Toward a Synthesis of Opposing Methodologies," *Science* 30, October (1981): 510-516. In OnCourse Resources.

National Archives and Records Administration, Office of Management and Budget, Architecture and Infrastructure Committee, Federal Chief Information Officers Council, "Federal Enterprise Architecture Records Management Profile, December 15, 2005" <http://www.archives.gov/records-mgmt/pdf/rm-profile.pdf>

Effy Oz, "The World Trade Center Disaster: A Study on Business Continuity Planning at Organizations Directly Affected by the Sept. 11 Tragedy," Penn State University, February 2, 2004. http://www.strohlsystems.com/MediaPR/_files/WTCReport.pdf

Elaine Peterson "Beneath the Metadata: Some Philosophical Problems with Folksonomy," *D-Lib Magazine*, November 2006, Volume 12 Number 11 <http://www.dlib.org/dlib/november06/peterson/11peterson.html>

Seamus Ross and Ann Gow, *Digital Archaeology: Rescuing Neglected and Damaged Data Resources*, JISC/NPO Study within the Electronic Libraries (eLib) Programme on the Preservation of Electronic Materials, February 1999. <http://www.ukoln.ac.uk/services/elib/papers/supporting/pdf/p2.pdf>

Tefko Saracevic, "Information science," *Journal of the American Society for Information Science*, v. 50 Oct (Issue 12, 1999): 1051-1063. In OnCourse Resources

The Sedona Conference Working Group on Electronic Document Retention & Production, *The Sedona Principles Best Practices: Recommendations & Principles for Addressing Electronic Document Production*. Sedona, AZ: The Sedona Conference, 2005. http://www.thesedonaconference.org/dltForm?did=7_05TSP.pdf also in OnCourse Resources

Nik Simpson, "ILM: Tiered Storage and the Need for Classification," SNIA Tutorials http://www.snia.org/education/tutorials/2006/fall/data-management/ILM-Tiered_Storage_The_Need_For_Classification.pdf

Jonathan Z. Smith, "The Influence of Symbols Upon Social Change," 129-146 in *Map is Not Territory: Studies in the History of Religions*, edited by Jonathan Z. Smith. Leiden: E. J. Brill, 1978.

SNIA-DMF, "ILM Definition and Scope An ILM Framework" July 28, 2004. <http://www.snia-dmf.org/library/DMF-ILM-Vision2.4.pdf>

Brad Stone, "Firms Fret as Office E-Mail Jumps Security Walls," *New York Times*, January 11, 2007. In OnCourse Resources

Theophrastus, "The Characters," <http://www.eudaemonist.com/biblion/characters/>

Roy C. Turnbaugh, "What is an Electronic Record?" 23-34, in *Effective Approaches for Managing Electronic Records and Archives*, edited by Bruce W. Dearstyne. (Lanham, MD: Scarecrow Press, 2002. In OnCourse Resources

U.S. Federal Rules of Evidence, Rule 803. Hearsay Exceptions; Availability of Declarant Immaterial. <http://www.law.cornell.edu/rules/fre/rules.htm#Rule803>

Upward, Frank, "Structuring the Records Continuum Part One: Post-custodial Principles and Properties," *Archives and Manuscripts* 24, (no. 2, 1996): 268-285
<http://www.sims.monash.edu.au/research/rcrg/publications/recordscontinuum/fupp1.html>

Upward, Frank, "Structuring the Records Continuum Part Two: Structuration Theory and Recordkeeping." *Archives and Manuscripts* 25, (no.1, 1997): 10-35
<http://www.sims.monash.edu.au/research/rcrg/publications/recordscontinuum/fupp2.html>

Karel Van Lerberghe, "Private and Public: The Ur-Utu Archive at Sippar-Amnanum (Tell ed-Der)," 59-77, in *Ancient Archives and Archiveal Traditions: Concepts of Record-Keeping in the Ancient World*, edited by Maria Brosius (Oxford: Oxford University Press, 2003). In OnCourse Resources

Kenneth J. Withers, "Electronically Stored Information: The December 2006 Amendments to the Federal Rules of Civil Procedure," Sedona, AZ: The Sedona Conference Institute, 2006.

JoAnne Yates, *Control through Communication: The Rise of System in American Management* (Baltimore: Johns Hopkins University Press, 1989), 1-64. In OnCourse Resources

Zubulake v. UBS Warburg LLC, No. 02 Civ. 1243, 2003 WL 21087884 (S.D.N.Y. May 13, 2003). http://www.nysd.uscourts.gov/rulings/02cv1243_051803.pdf

Zubulake v. UBS Warburg LLC, 02 Civ. 1243, 2003 WL 21714957 (S.D.N.Y. July 24, 2003). http://www.nysd.uscourts.gov/rulings/02cv01243_072403.pdf

Zubulake v. UBS Warburg LLC, 02 Civ. 1243, 2004. WL 1620866 (S.D.N.Y. July 20, 2004). http://www.nysd.uscourts.gov/rulings/02cv01243_order_072004.pdf

Recommended reading:

Briet, Suzanne. *Qu'est-ce que la documentation?* Paris, EDIT, 1951.
<http://martinetl.free.fr/briet.pdf>

ICA Committee on Best Practices and Professional Standards, “International Standard For Activities/Functions of Corporate Bodies,” Paris, France, May 2006

http://www.ica.org/biblio/ISAF_ENG.pdf

Assignments

Day due	What	How	% of grade
Everyday	Participation	Contributions to class discussion	20%
Monday, May 14	Example of different media used to create records: web page links or attachment	Due as email to instructor before class	5%
Friday, May 18	List of different enemies to preservation of records	Due as email to instructor before class	5%
Monday, May 21	2-page paper on the use of the term “preservation” in archives, records management and litigation and the differences among them	Due at end of class session	10%
Monday, May 21	File>Save As for a complicated web page. 2-page paper: 1) Describe what is lost: content and metadata. 2) Does it matter to the use of the document?	Due as attachment to instructor as an email sent to instructor before class	5%
Friday, May 25	2-5 page paper describing how metadata for records management is different from metadata for archives, museums and/or libraries	Due at end of class session	15%
Friday, June 1	3-page paper, What is a records series and how does it fit into a taxonomy?	Due at end of class session	15%
Friday, June 8	Find an archives disaster recovery plan on the Internet and critique it	Due as attachment to an email sent to instructor before class	10%
Monday, June 11	5-page paper, What is evidence from the perspective of archives and the law?	Due at end of class session	15%
	TOTAL		100.00%

SLIS Grading Policy

The following definitions of letter grades have been defined by student and faculty members of the Curriculum Steering Committee and have been approved by the faculty as an aid in evaluation of academic performance and to assist students by giving them an understanding of the grading standards of the School of Library and Information Science.

A	4.0	Outstanding achievement. Student performance demonstrates full command of the course materials and evinces a high level of originality and/or creativity that far surpasses course expectations.
A-	3.7	Excellent achievement. Student performance demonstrates thorough knowledge of the course materials and exceeds course expectations by completing all requirements in a superior manner.
B+	3.3	Very good work. Student performance demonstrates above-average comprehension of the course materials and exceeds course expectations on all tasks as defined in the course syllabus.
B	3.0	Good work. Student performance meets designated course expectations, demonstrates understanding of the course materials and performs at an acceptable level.
B-	2.7	Marginal work. Student performance demonstrates incomplete understanding of course materials.
C+	2.3	Unsatisfactory work. Student performance demonstrates incomplete and inadequate understanding of course materials.
C	2.0	Unacceptable work. Coursework performed at this level will not count toward the MLS or MIS degree. For the course to count toward the degree, the student must repeat the course with a passing grade.
C-	1.7	
D+	1.3	
D	1.0	
D-	0.7	
F	0.0	Failing. Student may continue in program only with permission of the Dean.

Late submissions

Late submissions will be accepted only by previous arrangement.

Academic misconduct

Academic misconduct (e.g. plagiarism) and personal misconduct by students in this class are defined and will be dealt with according to the procedures in [the Indiana University Code of Student Ethics](#).

Class Meetings

Friday, May 11--First Class Session

Introduction, records management, history of records management

What is records management?

Choksy, *Domesticating Information*, Introduction

Terry Cook, "Archival science and postmodernism: new formulations for old concepts," *Archival Science* v. 1 Mar (Issue 1, 2001): 3-24. In OnCourse Resources

Genesis I-II, Revised Standard Version, <http://bible.oremus.org/?passage=Genesis+1>
<http://bible.oremus.org/?passage=Genesis+2>

Baruch Lev, "Sharpening the Intangibles Edge," *Harvard Business Review* 82, June (Issues 6, 2004): 109-116. In OnCourse Resources

Tefko Saracevic, "Information science," *Journal of the American Society for Information Science*, v. 50 Oct (Issue 12, 1999): 1051-1063. In OnCourse Resources

History of RM

Required Reading:

Choksy, *Domesticating Information*, chapter 1

Ezra, I-VII, Revised Standard Version <http://bible.oremus.org/?passage=Ezra+1>
<http://bible.oremus.org/?passage=Ezra+2> <http://bible.oremus.org/?passage=Ezra+3>
<http://bible.oremus.org/?passage=Ezra+4> <http://bible.oremus.org/?passage=Ezra+5>
<http://bible.oremus.org/?passage=Ezra+6> <http://bible.oremus.org/?passage=Ezra+7>

Read one from the following three:

M. T. Clanchy, *From Memory to Written Record: England 1066-1307*, 2nd ed. (Oxford: Blackwell, 1993), 1-144. In OnCourse Resources

Karel Van Lerberghe, "Private and Public: The Ur-Utu Archive at Sippar-Amnanum (Tell ed-Der)," 59-77, in *Ancient Archives and Archiveal Traditions: Concepts of Record-Keeping in the Ancient World*, edited by Maria Brosius (Oxford: Oxford University Press, 2003). In OnCourse Resources

JoAnne Yates, *Control through Communication: The Rise of System in American Management* (Baltimore: Johns Hopkins University Press, 1989), 1-64. In OnCourse Resources

Monday, May 14—Second Class Session

Media, Readability, Durability, Conversions, Authenticity

Bring in a picture of your desk

Authenticity Task Force, "Authenticity Task Force Report" InterPARES Project, 2002.
http://www.interpares.org/display_file.cfm?doc=ip1_atf_report.pdf

Choksy, *Domesticating Information*, Chapter 2 & 3.

Comptroller of the Currency, Administrator of National Banks, AL 2004–9: Electronic Record Keeping, OCC Advisory Letter, 21 June 2004.

<http://www.occ.treas.gov/ftp/advisory/2004-9.doc>

Theophrastus, “The Characters,” <http://www.eudaemonist.com/biblion/characters/>

Roy C. Turnbaugh, “What is an Electronic Record?” 23-34, in *Effective Approaches for Managing Electronic Records and Archives*, edited by Bruce W. Dearstyne. (Lanham, MD: Scarecrow Press, 2002. In OnCourse Resources

U.S. Federal Rules of Evidence, Rule 803. Hearsay Exceptions; Availability of Declarant Immaterial. <http://www.law.cornell.edu/rules/fre/rules.htm#Rule803>

Friday, May 15—Third Class Session

Preservation, Conversion, Destruction, What is a document and a record

Bring in a high-level inventory of the breakfast food aisle in the grocery store where you shop.

Michael K Buckland, “What Is a ‘Document’?” *Journal of the American Society for Information Science* 48, September (Issue 9, 1997): 804-809. In OnCourse Resources

Choksy, *Domesticating Information*, Chapter 4.

Sheila Jasanoff, “The Eye of Everyman: Witnessing DNA in the Simpson Trial,” *Social Studies of Science* 28, October-December (No. 5/6, 1998): 713-740. In OnCourse Resources.

Seamus Ross and Ann Gow, *Digital Archaeology: Rescuing Neglected and Damaged Data Resources*, JISC/NPO Study within the Electronic Libraries (eLib) Programme on the Preservation of Electronic Materials, February 1999.

<http://www.ukoln.ac.uk/services/elib/papers/supporting/pdf/p2.pdf>

Recommended reading:

Briet, Suzanne. *Qu'est-ce que la documentation?* Paris, EDIT, 1951.

Jonathan Z. Smith, “The Influence of Symbols Upon Social Change,” 129-146 in *Map is Not Territory: Studies in the History of Religions*, edited by Jonathan Z. Smith. Leiden: E. J. Brill, 1978. In OnCourse Resources.

Michael S. Brown and W. Brent Seales, “The Digital Atheneum: New Approaches for Preserving, Restoring and Analyzing Damaged Manuscripts,” *Proceedings of the 1st ACM/IEEE-CS Joint Conference on Digital Libraries*, Roanoke, Virginia, 2001: 437 – 443. In OnCourse Resources

Monday, May 21—Fourth Class Session

Document architecture, Metadata, Indexing/Tagging

Make certain to bring to class the colored sheets sent to you by Dr. Choksy.

Rebecca Guenther and Jacqueline Radebaugh, “Understanding Metadata,” National Information Standards Organization,

<http://www.niso.org/standards/resources/UnderstandingMetadata.pdf>

ANSI/ARMA 12-2005 “Establishing Alphabetic, Numeric and Subject Filing Systems,” Lenexa, KS: ARMA International, 2005.

John Gage, “Colour and Culture,” 21-33, in *Color and Meaning: Art, Science, and Symbolism*, (Berkeley: University of California Press, 1999). In OnCourse Resources.

A. Karjalainen, T. Paivarinta, P. Tyrvaainen, J. Rajala, “Genre-based metadata for enterprise document management,” *Proceedings of the 33rd Annual Hawaii International Conference on Systems Sciences*, Honolulu, HI 4-7 January 2000. In OnCourse Resources.

Elaine Peterson “Beneath the Metadata: Some Philosophical Problems with Folksonomy,” *D-Lib Magazine*, November 2006, Volume 12 Number 11

<http://www.dlib.org/dlib/november06/peterson/11peterson.html>

Recommended Reading:

A. Antonacopoulos, D. Karatzas, H. Krawczyk, B. Wiszniewski, “The Lifecycle of a Digital Historical Document: Structure and Content” *Proceedings of the 2004 ACM Symposium*, Milwaukee, WI: 147-154. In OnCourse Resources.

Friday, May 25—Fifth Class Session

Organizing information, Security and privacy, Classification and taxonomies

After break today we will conduct an experiment. You will need:

A packet of Sweet ‘n Low

A cup filled $\frac{3}{4}$ full of water

A stirrer

A spoon

Choksy, *Domesticating Information*, 171-195.

Choksy, “8 Steps to Develop a Taxonomy” *Information Management Journal* November/December 2006: 30-41. In OnCourse Resources.

Bert Latamore, “The Revolution in File Virtualization—What You Need to Know,” *Computerworld*, 5 January 2006.

<http://www.computerworld.com/action/article.do?command=viewArticleBasic&articleId=9007338> Also in OnCourse Resources.

Ernst Mayr, "Biological Classification: Toward a Synthesis of Opposing Methodologies," *Science* 30, October (1981): 510-516. In OnCourse Resources

Recommended reading:

Alberto Marradi, "Classification, typology, taxonomy," *Quality & Quantity* 24, May (2, 1990): 129-158. In OnCourse Resources.

ICA Committee on Best Practices and Professional Standards, "International Standard For Activities/Functions of Corporate Bodies," Paris, France, May 2006
http://www.ica.org/biblio/ISAF_ENG.pdf

Monday, May 28—No Class

Friday June 1—Sixth Class Session

Life cycles, Copies, Business processes, Records in networks

Choksy, *Domesticating Information*, Chapter 5.

Michael J. Earl, "Business Process Reengineering: A Phenomenon of Organization," 53-76, in *Information Management: The Organizational Dimension*, edited by Michael J. Earl (Oxford: Oxford University Press, 1996). In OnCourse Resources

Upward, Frank. "Structuring the Records Continuum Part One: Post-custodial Principles and Properties," *Archives and Manuscripts* 24, (no. 2, 1996): 268-285
<http://www.sims.monash.edu.au/research/rcrg/publications/recordscontinuum/fupp1.html>

Upward, Frank. "Structuring the Records Continuum Part Two: Structuration Theory and Recordkeeping." *Archives and Manuscripts* 25, (no.1,1997): 10-35
<http://www.sims.monash.edu.au/research/rcrg/publications/recordscontinuum/fupp2.html>

Recommended Reading:

National Archives and Records Administration, Office of Management and Budget, Architecture and Infrastructure Committee, Federal Chief Information Officers Council, "Federal Enterprise Architecture Records Management Profile, December 15, 2005"
<http://www.archives.gov/records-mgmt/pdf/rm-profile.pdf>

Monday, June 4—Seventh Class Session

Business continuity, vital records, security and privacy, and the value of records

Jean Barr, "A Disaster Plan in Action: How a Law Firm in the World Trade Center Survived 9/11 with Vital Records and Employees Intact," *Information Management Journal* 37, May/June (Issue 3, 2003): 28-30. In OnCourse Reserve

Choksy, *Domesticating Information*, 159-170

Eric Bellman, "After the Tsunami, Keys to Recovery Lie In Vanished Papers," *The Wall Street Journal*, January 5, 2005. In OnCourse Resources.

"Only veteran medical records remain safe from New Orleans flood waters," *The Daily Citizen*, September 15, 2005

<http://www.thedailycitizen.com/articles/2005/09/15/news/features/featuresrecords.prt>

CSO Online, "The ABCs of Intellectual Property Protection,"

http://www.csoonline.com/fundamentals/abc_ip.html

Eugene Grygo, "U.S. recovery: IT heroes toil to restore trading ," *InfoWorld*, September 21, 2001.

<http://www.infoworld.com/articles/hn/xml/01/09/21/010921hnheroes.html>

Virginia A. Jones and Kris E. Keyes, *Emergency Management for Records and Information Management Programs*. Prairie Village , KS: ARMA, International, 2001.

Victoria L. Lemieux, *Managing Risks for Records and Information*. Lenexa, KS: ARMA, International, 2004.

Recommended Reading:

Effy Oz, "The World Trade Center Disaster: A Study on Business Continuity Planning at Organizations Directly Affected by the Sept. 11 Tragedy," Penn State University, February 2, 2004. http://www.strohlsystems.com/MediaPR/_files/WTCReport.pdf

Friday, June 8—Eighth Class Session

Statutes, regulations, the rules of evidence, court cases and eDiscovery

Structure of U.S. law and its relationship to government regulation and court cases. Some differences among common law and statutory law. Why statutes, regulations, and litigation is a part of records management.

Kenneth J. Withers, "Electronically Stored Information: The December 2006 Amendments to the Federal Rules of Civil Procedure," Sedona, AZ: The Sedona Conference Institute, 2006. in OnCourse Resources

Zubulake v. UBS Warburg LLC, No. 02 Civ. 1243, 2003 WL 21087884 (S.D.N.Y. May 13, 2003). http://www.nysd.uscourts.gov/rulings/02cv1243_051803.pdf

Zubulake v. UBS Warburg LLC, 02 Civ. 1243, 2003 WL 21714957 (S.D.N.Y. July 24, 2003). http://www.nysd.uscourts.gov/rulings/02cv01243_072403.pdf

Zubulake v. UBS Warburg LLC, 02 Civ. 1243, 2004. WL 1620866 (S.D.N.Y. July 20, 2004). http://www.nysd.uscourts.gov/rulings/02cv01243_order_072004.pdf

Recommended Reading:

The Sedona Conference Working Group on Electronic Document Retention & Production, *The Sedona Principles Best Practices: Recommendations & Principles for Addressing Electronic Document Production*. Sedona, AZ: The Sedona Conference, 2005. http://www.thesedonaconference.org/dltForm?did=7_05TSP.pdf also in OnCourse Resources

Monday, June 11—Ninth Class Session

Electronic records in records management, where do we go from here?

Bryant Duhon, Jeetu Patel, and Rick Tucker, “ECM At Work—Wall Poster” Doculabs/AIIM, 6/1/2005. In OnCourse Resources

Michael Fishman, “Disk and Tape Backup Mechanisms” SNIA Tutorials http://www.snia.org/education/tutorials/2006/fall/data-management/Disk_and_Tape_Backup_Mechanisms.pdf

Nik Simpson, “ILM: Tiered Storage and the Need for Classification,” SNIA Tutorials http://www.snia.org/education/tutorials/2006/fall/data-management/ILM-Tiered_Storage_The_Need_For_Classification.pdf

SNIA-DMF, “ILM Definition and Scope An ILM Framework” July 28, 2004. <http://www.snia-dmf.org/library/DMF-ILM-Vision2.4.pdf>

Brad Stone, “Firms Fret as Office E-Mail Jumps Security Walls,” *New York Times*, January 11, 2007. In OnCourse Resources