Instructor:
Catherine Stollar Peters

Contact Information:
Email: email through Blackboard or cspeters@albany.edu
Cell phone: (to be used only in emergencies) (512) 573-0081
Office location: TBD

Office Hours:
By appointment as arranged by student and instructor. I am usually available just before and just after class. If there is not sufficient time to discuss your questions during those times, it is very easy to set up a time to meet with me during the week or weekend. Either talk to me after class or email me and we will work something out.

Course Overview:
This course is an introduction to issues in record keeping in the digital age. In addition to covering issues related to electronic records management, we will discuss digital curation, web archiving, personal information management, and managing electronic records in manuscript repositories.

Course Objectives:
At the end of this class, students should understand:

- Structures of electronic records and levels of representation
- Models for understanding records creation, use, disposal, and curation
- Implications of authenticity, integrity, reliability, and usability for records in electronic systems
- Issues related to long- and short-term retention of electronic records and strategies for mitigating those issues
- Record keeping strategies for electronic records in a variety of environments including: corporations, governments, cultural heritage institutions, and personal archives

Course Expectations:
Students are expected to attend every class, participate in class discussions, complete assignments on time, and complete a final class project. This course will largely depend on student participation in discussions. In order to contribute adequately to class discussions, students will need to read materials before class. 10% of each student’s grade comes from in-class participation and a failure to contribute to discussions in-class will result in a lowering of the participation portion of your final grade.
Late/Missed Work, Absence, and Academic Dishonesty
Please consult the Graduate Bulletin and go to http://www.albany.edu/grad/requirements_general_admissions.html#academic_standards for the criteria to be considered to receive extensions for late work and to understand what counts as an excusable absence. The Graduate Bulletin also provides information regarding cheating, plagiarism, or disruption of class. Please read this information and understand that your failure to comply with the University’s published code of student conduct shall result in disciplinary penalties that range from failing a class assignment to dismissal from the University. (From Güney’s INF 721 Syllabus).

Textbook:
There are no required textbooks for this course. All readings will be available on Blackboard or online.

If you are serious about managing electronic records and digital curation, three books you might want to purchase for future reference are:

(for a records management focus)


(for a digital curation focus)

Assignments:
Participation (10%)
Numeric data file exercise (5%)
File identification exercise (5%)
Data Management Plan (10%)
Final Exam (20%)
Final Project (30%)

In-class participation (10%)
This portion of your grade comes from actively participating in class discussions. You must read all assigned materials before class and attend class to participate in discussions. Your active engagement with the readings and with the rest of the class during discussions is necessary to learn the information covered in this course.
Numeric data file exercise (5%) due February 11
I will assign a data file to the class that you will need to access, review, and interpret to answer a few basic questions.

File identification exercise (5%) due February 25
I will assign a few files for which you will need to identify the file format. You will need to use a variety of approaches discussed in class to complete this assignment.

Data Management Plan (10%) due April 8
Using a NSF grant-funded project that I will assign, you will need to create a Data Management Plan that could have been included in the grant submission. You are allowed to be creative with this assignment to fill in the gaps between what is known and what is unknown about the grant-funded project and institution.

Final Exam (20%) May 13 at 8pm
The final for this course will be composed of multiple choice and short answer questions. The final will come from course readings with an emphasis on concepts discussed in class.

Final Project (30%) due May 6
You will have a few options for completing the final project for this course. You must be present on the final class day to present and to watch your classmates present or you will loose 20% of your earned points for this project.

Option A: Personal Inventory and Preservation Plan
1. Inventory your records. Choose whether you will answer questions about your records like you would in an inventory interview or if you will use file listing tools. (Examples of a file listing tool include the test.bat file that you used in the File Identification Assignment or other file listing tools.) You do not have to individually list email since that’s the focus of option B.
2. Make sure you incorporate your paper records into your inventory. How will you survey your paper records? Is your paper records inventory like your electronic records inventory or does your survey method differ depending on the format of materials? How and why?
3. Categorize your records into general series.
4. Using your records categories, find a schedule that would apply to your records. Would you implement that schedule? Why or why not? Use references from the course readings to clarify and support your opinions. You may have to adapt a records retention schedule to meet the needs of personal records.
5. Identify preservation strategies for your records by format.
6. What impact would loss of “permanent” records have on you or your family?
7. How will someone access your personal archive?
8. Now consider traces of your digital self on the Internet. Who controls those traces? Are they records? What retention policies apply to those traces?
Turn in to me by Monday, May 6, 2012:
1. Your detailed answers to the questions above.
2. Your inventory documents. (file listings won’t count toward the final page count, but answers to inventory questions will)
3. Your records retention schedule (or a reference to it so I can look at it. Will not count towards page limit.)

Total submission (minus any computer generated file listings and record retention schedule) should be 20-30 pages.

Option B: Archive your email. (Minimum of 100 emails)
1. Create an archive of your email. If the original format is proprietary, create an .mbox copy of your archive.
2. Determine retention periods for your email. Note the schedule you used to define your retention periods.
3. Determine if you will implement the records retention schedule on your email archive. Why or why not? Include references from the readings to justify your position.
4. Visualize your email using one of the tools we discussed in class. How might you use a visualization tool to learn about your email corpus? As an appraisal tool? An access tool? Other reasons?
5. Create an XML file for your email archive. Use the CERP parser, mail2xml, Xena, or the PeDALS extractor. Explain your process. Do you this is the most effective way to preserve your email corpus? Why or why not?
6. Redact a file in the email archive (the redaction can be in the body of the email or as an attachment.) How did you find the information that needed to be redacted? Will you keep an original version of the redacted file? Is your process scalable to an email archive of 50,000 redactions?

Turn in to me by Monday, May 6, 2012:
1. A paper answering the questions above and documenting your process.
2. A screenshot of your visualization(s).
3. Part of the XML file you created (2 pages or so). (You can submit this in Blackboard).
4. The redacted email file or attachment.

Total submission (minus the XML file) should be 20-30 pages.
Assignment weights:

<table>
<thead>
<tr>
<th>Assignment Weights</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>10%</td>
<td>In-class participation</td>
</tr>
<tr>
<td>5%</td>
<td>Numeric data file exercise</td>
</tr>
<tr>
<td>5%</td>
<td>File identification exercise</td>
</tr>
<tr>
<td>10%</td>
<td>Data Management Plan</td>
</tr>
<tr>
<td>20%</td>
<td>Final Exam</td>
</tr>
<tr>
<td>30%</td>
<td>Final Project</td>
</tr>
</tbody>
</table>

Grading scale:

<table>
<thead>
<tr>
<th>Grade Percent</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>&gt;=93%</td>
</tr>
<tr>
<td>A-</td>
<td>&gt;=90% AND &lt;93%</td>
</tr>
<tr>
<td>B+</td>
<td>&gt;=87% AND &lt;90%</td>
</tr>
<tr>
<td>B</td>
<td>&gt;=83% AND &lt;87%</td>
</tr>
<tr>
<td>B-</td>
<td>&gt;=80% AND &lt;83%</td>
</tr>
<tr>
<td>C+</td>
<td>&gt;=77% AND &lt;80%</td>
</tr>
<tr>
<td>C</td>
<td>&gt;=73% AND &lt;77%</td>
</tr>
<tr>
<td>C-</td>
<td>&gt;=70% AND &lt;73%</td>
</tr>
<tr>
<td>D+</td>
<td>&gt;=67% AND &lt;70%</td>
</tr>
<tr>
<td>D</td>
<td>&gt;=63% AND &lt;67%</td>
</tr>
<tr>
<td>D-</td>
<td>&gt;=60% AND &lt;63%</td>
</tr>
<tr>
<td>F</td>
<td>&lt;60%</td>
</tr>
</tbody>
</table>

Readings and Assignments (subject to change):

Week 1 (1/28): Introduction to course
No readings

Week 2 (2/4): Overview of issues in electronic records management

Assigned: Numeric data file exercise (20%) (Due 2/11)


**Week 3 (2/11): Designing and implementing record keeping systems**

ISO 15489  
http://www.dcc.ac.uk/resources/briefing-papers/standards-watch-papers/iso-15489


Requirements for Trustworthy Recordkeeping Systems and the Preservation of Electronic Records in a University Setting. (2006.) Tufts and Yale Fedora and the Preservation of University Records Project

Optional Reading:  
McLeod, Julie and Childs, Sue, *Assessing the impact of ISO 15489: the first international standard for records management*, October 2005

**Week 4 (2/18): Inventories and file formats**

Assigned: File Identification (20%) (Due 2/25)

NARA. Frequently asked questions about records inventories  
http://www.archives.gov/records-mgmt/faqs/inventories.html#information

http://perpos.gtri.gatech.edu/publications/TR%2009-05-Final%20Report.pdf (focus on the file format identification section)

Review the following file format registries tools and compare them:  
[REGISTRIES] PRONOM (http://www.nationalarchives.gov.uk/PRONOM/Default.aspx) and UDFR (http://www.udfr.org/)
Week 5 (2/25): Appraisal, records retention, scheduling and disposal


Data Asset Framework: http://www.dcc.ac.uk/resources/tools-and-applications/data-asset-framework (skim this)

**Week 6 (3/4): Unstructured data I: Email and documents**


CERP
http://siarchives.si.edu/cerp/index.htm (read the CERP overview at CERP_project_summary_122008_CC.pdf)

Preservation of Electronic Mail Collaboration Initiative
EMCAP (http://www.records.ncdcr.gov/emailpreservation/)


**Week 7 (3/11): Unstructured data II: Web 2.0, websites, art and literature**


Franks, Patricia C. (2010.) How federal agencies can effectively manage records created using new social media tools. In Using Technology Series. Washington, DC: IBM Center for the


For local flavor:

No class (3/18)

Week 8 (3/25): Structured data

Assigned: Data Management Plan (20%) (Due 4/8)

NSF. Chapter II: Proposal preparation instructions (read the section on preparing data management plans. This is what you will use to dictate how to write your own DMP.) http://www.nsf.gov/pubs/policydocs/pappguide/nsf11001/gpg_2.jsp#dmp

Data Management planning tool
https://dmp.cdlib.org/

ICPSR. Guidelines for effective data management plans http://www.icpsr.umich.edu/icpsrweb/ICPSR/dmp/


R. Arovelius et al. (2010.) Management and preservation of scientific records and data. ICA. (skim this)

**Week 9 (4/1): Digital curation strategies I**


**Week 10 (4/8): Digital curation strategies II**


Mellor, P., Wheatley,P. and Sergeant, D. (2002.) Migration on request, a practical technique for preservation. Lecture Notes in Computer Science. Springer. pp 516-526. [http://www.springerlink.com/content/752vmvw0g0w40dj2/](http://www.springerlink.com/content/752vmvw0g0w40dj2/)


**Week 11 (4/15): Evaluating record keeping systems**


DRAMBORA http://www.repositoryaudit.eu/

**Week 12 (4/22): Record keeping in small archives and manuscript archives**

Cook, Terry. Byte-ing off what you can chew: Electronic records strategies for small archival institutions:

PARADIGM: Workbook on digital private papers http://www.paradigm.ac.uk/workbook/ (skim this)


**Week 13 (4/29): Personal record keeping**


**Week 14 (5/6): Final project presentations**

Final Exam Monday May 13, 2013 at 8pm