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ACKNOWLEDGMENTS

Writing the first edition of *Records and Information Management* was a joy and a challenge. Writing the second edition was as rewarding but even more challenging due to the expanding information landscape, the advances in technology, and the growing expectations that records and information professionals be both specialists in their fields and generalists when it comes to related fields.

I am sincerely grateful for the number of individuals who responded to my request for comments on the first edition and suggestions for the second. Although it was not possible to include every topic suggested in this one work, those suggestions did result in the inclusion of two additional chapters and numerous other changes.

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INTRODUCTION

In introducing the first edition of *Records and Information Management,* I asked,

> With all of the hype about social media, cloud computing, digital preservation, electronic records, big data, and the concept of information governance to tame the resulting chaos, why would anyone publish another book with a title as unpretentious as *Records and Information Management?*

Again, the answer is that the discipline of records management, which includes a responsibility to manage all information, is fundamental to every information governance program.

Since the first edition was published in 2013, much has changed—but much remains the same. Among the changes are the growth of the Internet of Things; the extreme volume and variety of data produced at a velocity hereto unmatched; the increased necessity of employing technology to categorize, analyze, and make use of the data; the recognition of the value of information assets; and the emergence of new business models that leverage the power of algorithms to manipulate data.

What has not changed since prehistoric times is our desire and need to create, capture, control, make use of, preserve—and at times destroy—records that document our personal and work lives. Advances in technology to facilitate the creation and management of records continue to introduce challenges that require technological solutions to resolve. Increasingly those solutions are offered by third-party cloud providers. In addition to employing machine learning and artificial intelligence to analyze data, vendors are offering blockchain technology to generate proof that records are authentic, verifiable, and possess integrity.

The terms *recordkeeper, records manager, records and information manager,* and *records professional* are used interchangeably in this edition to describe those who have recordkeeping responsibilities, including archivists, records managers, and information managers, regardless of their job title (e.g., digital archivist, knowledge management advisor, information governance specialist).

The breadth of knowledge expected of the successful records professional continues to expand. It now includes the need to better understand not only the business process but also the goals of the organization from a business perspective. In addition to the domain of records and information management, records professionals must master the fundamentals from related fields, including compliance, data governance, risk management, change management, and project management. This book, therefore, differs from traditional records management works by placing equal emphasis on the business operations from which records arise and the ways in which the records professional can contribute to the core mission of the enterprise beyond the lifecycle management of records.

ABOUT THIS BOOK

Seventeen individuals contributed their expertise to the conversation in the form of either perspectives (reflections) or paradigms (case studies) that are provided at the end of each

chapter. The guest authors include archivists, records managers, and information governance professionals from the United States, Canada, and the United Kingdom.

Chapter 1 provides the reader with a glimpse of the path recordkeeping and record-keepers have taken from prehistoric times to the present. Barclay Blair, founder and executive director of the *Information Governance Initiative,* reflects on the evolution of records and information management and its role in information governance. He emphasizes the pressing need to manage information as you would manage a business.

Chapter 2 expands upon the topic of building an information governance framework of policies, processes, and compliance upon strong records and information management principles. This chapter introduces laws, regulations, and standards that impact records and information management programs for both government and private organizations in the United States and abroad. Robert Smallwood, Managing Director of the *Institute for Information Governance,* discusses the consequences of carelessness with records and information in the healthcare industry and the imperative for information governance initiatives to drastically reduce medical mistakes.

Chapter 3 introduces the reader to records creation, capture, classification, and file plan development that result from business activities conducted using some of the many systems, components, networks, and applications employed by users at home and at work. Peg Eusch, University Records Officer for the University of Wisconsin–Madison, describes how a presentation she attended on File Plan Development provided the impetus for revamping the university's records management training program around the integration of records management file plan elements with the Generally Accepted Recordkeeping Principles framework.

Chapter 4 presents records retention strategies useful to those organizations that stress the role of retention and disposition in the overall information governance approach. In her contribution to this chapter, Susan Cisco, information governance subject matter expert and educator, describes how a new retention schedule was used to launch an information governance program for a consolidated entity that emerged as the result of the merger of two firms.

Chapter 5 describes ways in which records and information managers can contribute their expertise during the active phase of the information lifecycle to decisions being made about workflow processes, access controls, storage systems, metadata, and the search and retrieval processes. In her contribution to chapter 5, Charlene Cunniffe, Associate Director, Information and Records Management, uses a case study approach to illustrate the application of Lean Continuous Improvement practices to a real-world situation: records management programs and practices.

Chapter 6 describes systems of record and systems of engagement as well as the vital role records professionals play in identifying records in both types of systems and in providing guidance to those responsible for capturing and managing them. Morgan King, Director and Head of Records and Information Management, and Stephen Aaronson, Director and Head of IT Legal, explain how they work as a team to implement a full-service ERMS (electric records management system) at a leading global biotechnology company.

Chapter 7 explores the ways in which records and information managers are managing social media records, including those of the first social media president, Barack Obama. It introduces emerging technologies such as autonomous vehicles, Internet of Things platforms, and augmented reality and considers the impact they will have on recordkeeping in the future. The chapter presents two methods that can be used to prepare for the inevitable changes to take place: diffusion of innovation and trend spotting. In her paradigm, Vicki L.

Lemieux, Associate Professor of Archival Science at the University of British Columbia, describes blockchain technology and the ways in which it is beginning to impact recordkeeping. She presents a series of questions for consideration when determining if blockchain technology is the right direction for the organization to take.

Chapter 8 covers business resumption, which depends upon vital (essential) records protection, disaster preparedness and recovery programs, and business continuity plans. It also introduces two cloud-based options to assist an organization's recovery after a natural or man-made disaster—Backup as a Service (BaaS) and Disaster Recovery as a Service (DRaaS). In her contribution to this chapter, Helen Nelson of the Wirral Teaching Hospital, NHS Foundation Trust, reminds us that not all incidents are catastrophic or long-lived but need to be managed regardless. Readers will be reminded that there are times when our electronic devices fail and we must resort to paper-based solutions for at least some of our work.

Chapter 9 presents several methods of monitoring and auditing records and information management programs. Risk assessment—which includes risk identification, risk analysis, and risk evaluation—is explored. Lisa Daulby, Lecturer, School of Information at San José University, describes a unique approach to identifying, assessing, and controlling records and information management risks by combining risk management methodologies, the Generally Accepted Recordkeeping Principles and the five levels of the Information Governance Maturity Model.

Chapter 10, "Information Economics, Privacy and Security," is introduced in this edition of *Records and Information Management* in response to the growing recognition that information assets have economic significance. As with physical assets and other intangible assets already recognized by the Generally Accepted Accounting Principles (e.g., patents and goodwill), information assets should be appraised, protected, and utilized to assist the organization to achieve its goals. Ilona Koti, ARMA International President 2017–2018, provides her views on the integration of information governance into the privacy and security landscape.

Chapter 11 covers the topic of inactive records management within records centers and archives, with a heavy emphasis on physical holdings. In her contribution to this chapter, Lori Lindberg, Archivist and Consultant, provides an archivist's view of the relationship between sound records management principles and practices and the archival work involved to create a company archives for the Jelly Belly Candy Company.

Chapter 12, "Long-Term Digital Preservation and Trusted Digital Repositories," is the second new chapter in this work. It was created by combining information on long-term digital preservation from the first edition's chapter on inactive records management with an overview of trusted digital repositories. Two case studies complete this chapter. The first, by Lori Ashley, Principal, Tournesol Consulting, LLC, and Patricia Morris, President and Chief Process Consultant, eArchive Science, LLC, introduces us to the approach taken to use a popular commercial service to establish an eArchive for Pharmaceutical Pre-Clinical Research Study Information. The second, by Amber D'Ambrosio, Processing Archivist and Records Manager, Willamette University Archives and Special Collections, documents a practical open-source solution for institutions with limited financial resources.

Chapter 13 presents the reader with a variety of options for records and information management education and training, including degree programs, professional development opportunities, and in-house training programs. In the United States, there is often a divide between archives and records management both in the workplace and when it comes to professional associations and certifications. In recognition of the value archival studies

programs offer the records and information management profession, the ARMA International Education Foundation (AIEF) presented its first Award for Excellence in Education to the Master of Archival Studies (MAS) program at the University of British Columbia (UBC), Canada. In her contribution to this chapter Luciana Duranti, Professor, School of Library, Archival and Information Studies at UBC, describes the MAS curriculum.

Chapter 14 explains how the information shared in chapters 2 through 13 can be used to develop a legally defensible records management program and an effective information governance strategy. In her contribution to this chapter, Diane Carlisle, Director of Professional Development for ARMA International, provides her perspective on information governance and tools available to help the organization more effectively manage its information assets.

This book is suitable for records professionals at any stage of their careers. Those wishing to learn all they can about records and information management would profit from reading all of the chapters. However, the book is also intended for experienced professionals who would benefit from a reference book that brings together a variety of topics—including archives, records and information management, information governance, information economics, privacy and security, digital preservation, and more. When necessary, important ideas or definitions are included in more than one chapter so that the chapters can be read independently.

Increasingly, organizations are forming information governance committees comprised of stakeholders from records management, information technology, legal, compliance, and business units, among others. Their task is to develop strategic information governance policies and programs. The glossary included at the end of this book will provide a basic vocabulary that should prove useful to members of these new information governance teams.