

Records and Information Management

T H I R D E D I T I O N

Patricia C. Franks

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FOR REVIEW ONLY

INTRODUCTION

This third edition of *Records and Information Management* was compiled amid the Fourth Industrial Revolution (4IR), a digital revolution. The COVID-19 pandemic declared in March 2020 hastened the adoption of digital technologies in the workplace. As non-exempt employees were laid off or forced to work from home in states with lockdown orders, public and private organizations reimaged their business operations. They invested in technology to allow remote access to systems that enabled employees to communicate, collaborate, and continue business operations. At the same time, artificial intelligence (AI) and machine learning (ML) became ubiquitous in our daily and work lives (e.g., chatbots, virtual assistants, recommendation systems). Applications powered by AI/ML rapidly changed (and are continuing to change) the way records and information managers capture, manage, preserve, and provide access to digital assets.

Even though we are in a perpetual state of sociotechnical change, there is one constant: *data, records, and information are still created, managed, used, shared, retained, and disposed of or preserved for future generations.* This book—and the field of records and information management—is more important than ever! Its goal is to provide stability in a world that gets overly excited about the next new thing. That's not to say our profession is exempt from challenges. It's just that we have learned over the centuries the importance of documenting the actions and decisions made within our organizations and the need for creativity and flexibility in doing so in a dynamically evolving environment.

ABOUT THIS BOOK

Records and information management (RIM) is central to the governance of data, records, and information in this era of connectivity, advanced analytics, automation, and artificial intelligence. This book covers the basics of records management, information governance, and data governance, and it introduces important concepts from the fields of risk management, privacy, and cybersecurity. It provides an overview of the evolution of technology and thinking in our field while in every chapter acknowledging the influence of emerging and developing technologies and encouraging new ways of meeting the resulting challenges.

Five of the fourteen chapters in the book (3, 4, 5, 10, and 11) cover activities central to the records and information lifecycle, from creation through destruction or preservation. Two chapters (2 and 13) focus on building an information governance program. Five chapters cover one topic each: an overview of the evolution of records and information management (1); digital information and recordkeeping systems (6); emerging and disruptive technologies (7); essential records, disaster

preparedness and recovery, and business continuity (8); and information value, risk, and privacy and security (9). Two new chapters were added to demystify data governance, automation, and artificial intelligence (12) and to emphasize the leadership and management skills required of RIM professionals (14). The topics covered are enhanced by two contributions to each chapter written by thought leaders and practitioners eager to share their ideas and experiences with you.

Chapter 1, “Evolution of Records and Information Management,” provides an overview of recordkeeping from prehistoric times through the early part of the twenty-first century. Once you read this chapter, you’ll realize that RIM professionals are on a never-ending odyssey to record activities and transactions; to identify new technology and processes to make their task more efficient; and to deal with the resulting unintended consequences that require more advanced technology and newer, improved processes.

Chapter 2, “Building an Information Governance Program on a Solid RIM Foundation,” presents a case for building an information governance framework of policies, processes, and compliance upon strong RIM principles. It examines laws, regulations, and standards that impact both government and private organizations and introduces the topic of electronic discovery and the electronic discovery reference model.

Chapter 3, “Records Creation, Capture, Classification, and File Plan Development,” presents the many activities that take place to capture and organize records created as the result of business transactions. The importance of metadata, controlled language, and auto-classification tools is covered.

Chapter 4, “Records Retention Strategies: Inventory, Appraisal, Retention, and Disposition,” presents records retention strategies useful to all organizations regardless of size or industry, emphasizing the role of retention and disposition in the overall information governance strategy.

Chapter 5, “Records and Information Access, Storage, and Retrieval,” describes ways in which records and information managers can contribute their expertise during the active phase of the information lifecycle to decisions about workflow processes, access controls, storage systems, metadata, and the search and retrieval processes.

Chapter 6, “Enterprise Information and Recordkeeping Systems,” 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.

Chapter 7, “Emerging and Disruptive Technologies,” explores these technologies and their potential impact on the RIM profession. It covers topics such as blockchain distributed ledger technology, digital communications tools, and the metaverse. And it offers tools and techniques, such as trend spotting, that can help professionals prepare for the inevitable changes to take place.

Chapter 8, “Essential Records, Disaster Preparedness and Recovery, and Business Continuity,” explains the difference between a business resumption plan

and a disaster preparedness and recovery plan; offers guidance for developing an essential records program; provides steps to prepare for and recover from damage to records; and introduces the business continuity lifecycle model.

Chapter 9, “Information Value, Risk, and Privacy and Security,” presents the concept of information as a business asset and explores related risk and security issues. Among the topics covered are information economics, information asset privacy, information asset classification, and cybersecurity.

Chapter 10, “Physical Records, Records Centers, and Archives,” provides guidance to those responsible for protecting and preserving physical records. Among the topics covered are document imaging (scanning and conversion) and digitizing, records center planning and design, commercial records centers, and archives planning and design.

Chapter 11, “Digital Preservation and Trusted Digital Repositories,” explains the need for digital preservation and the requirements to implement trusted digital repositories. Related standards and models, including ISO 16363, the standard for audit and certification of trustworthy digital repositories, and the OAIS Reference Model, ISO 14721, are examined.

Chapter 12, “Data Governance, Automation, and Artificial Intelligence,” is new to this edition, and each topic is covered in its own section. AI standards, laws and regulations, and frameworks are reviewed. The concept of paradata (documentation of the AI process) is introduced, along with tips to manage new records created using AI.

Chapter 13, “From Records Management to Information Governance: An Evolution,” explains how the information shared in chapters 2 through 12 can be used to develop a legally defensible records management program and an effective information governance strategy. Information governance training and certification are discussed.

Chapter 14, “Leadership and Management Skills for Information Professionals,” is the second new chapter. It explores the differences between management and leadership and introduces theories for both, as well as recommendations for lifelong education, training, and professional development.

This third edition of *Records and Information Management* is written, like its predecessors, for undergraduate and graduate students preparing for careers in RIM and related fields. Therefore, it incorporates both theory and practice. It provides a comprehensive view of our field for information professionals seeking certification in the areas of records management and information governance. It provides the background professionals in other domains (e.g., legal, privacy, risk management, cybersecurity, artificial intelligence) need to understand the core requirements for managing the data, information, and records they work with daily.

Those wishing to learn all they can about RIM would benefit from reading the entire book. However, experienced professionals may find themselves referring to one or more chapters as the need arises. Important ideas and definitions are included in more than one chapter so that the chapters can be read independently.

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Information governance committees have become commonplace in organizations, and recently data governance and AI governance committees have been forming. Ideally, RIM professionals will be represented on these committees. The glossary included at the end of this book will provide a basic vocabulary that should prove useful to members of these new governance teams.

FOR REVIEW ONLY

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