TOPIC 5. Design and Implementation of a Recordkeeping System - Course Review

Week Twelve
Revisit key themes.

Reading
The reading for Week 12 is the same as Week 11, there is plenty to cover the two weeks.

Lecture material
On campus and OCL students should work through this list of questions and use it as a checklist for your revision of the subject. You should be able to answer every question. In class Week 12 will be spent on the Week 11 lecture materials.

Week 13 is our guest presenter, Russell McCaskie, CSIRO. Some pre-reading will be set, to be read by both on campus and OCL students. Russell’s powerpoint presentation and recorded talk will be provided via our website and the library as usual.

Revision Questions
If you are a new Information Manager in a private sector company that has compliance requirements, how would you define or explain “records”?

If we are the Department of Human Services and we publish a list of “Safe Houses” for threatened women, is this a record?

What then is “records management”?

What are some examples of business reasons for good recordkeeping and a corporate record framework?

Why would you use a standard such as AS ISO 15489?

Who does AS ISO 15489 say is responsible for recordkeeping in our organisations & why? 4 levels.

What is the DIRKS methodology?

Define Workflow. What are the different emphases in the definitions of workflow?
DIRKS and AS ISO 15489 recommend “analysis of business activity” or functional analysis (Step B). What is functional analysis? What might you use this technique for, what outcomes can be achieved?

What do we need to understand about an organisation and its regulatory and social context? And why is this useful in a recordkeeping context?

Is records management part of knowledge management or vice versa? What is their relationship to each other, if any?

Define appraisal.

So what is disposal?

Explain the difference between the records continuum model and the records lifecycle model for the appraisal (& disposal) process.

How does the records continuum model relate to the implementation of electronic document/records management technology in an organisation?

What do you think are the 5 most important functionality aspects of an Electronic Document & Records Management System? Why?

The South Australian tender documents for an Electronic Document & Records System (RFP 215/03) specified (amongst other things) that: “the system must allow agencies …. to meet legal requirements by maintaining data integrity through the system security” (p.14). What does this mean?

What is the AGLS Metadata Element Set (AS 5044.1 & 2 – 2002 AGLS) & what is it used for?

What is the purpose of the standard: VERS Metadata Scheme, PROS 99/007 (version #2), Specification 2?

How does the US Sarbanes-Oxley Act 2002 relate to recordkeeping?

What is the purpose or role of the National Information Privacy Principles?

List some preservation strategies to enable access to electronic records over time.

What is the primary purpose of the World Wide Web Consortium’s “Web Accessibility Initiative”?

Is there a difference between custody or ownership of a record? If so, what is this? Give an example.

What is the difference between a custodial and a distributed model for archives management?
Why would you do a post-implementation review (DIRKS Step H) of the roll out of an ED/RMS?

What do you think are essential skills for a modern Information or Records Manager (eg. see NSW State Records website, or paper by Philip Bantin)?

If you are implementing a 2nd generation ED/RMS which manages both hardcopy records and electronic records, what options are available to you for managing the changeover process from a traditional RMS that simply profiled files and documents? That is, how are you going to move from the old system to the new one, what are you going to do with the legacy hardcopy records, etc.