

Information and Records Management

INFM 718X/LBSC 708X
Seminar on E-Discovery

Agenda

- Information management
- Records management
- Discussant

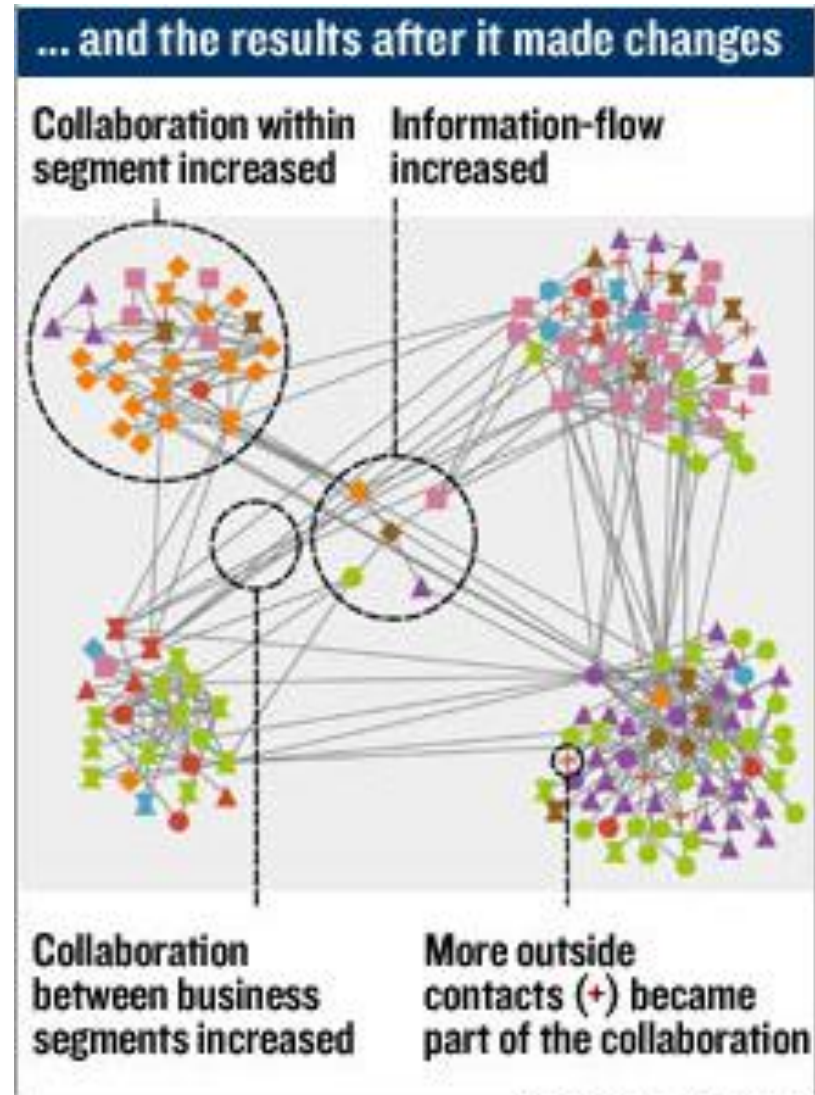
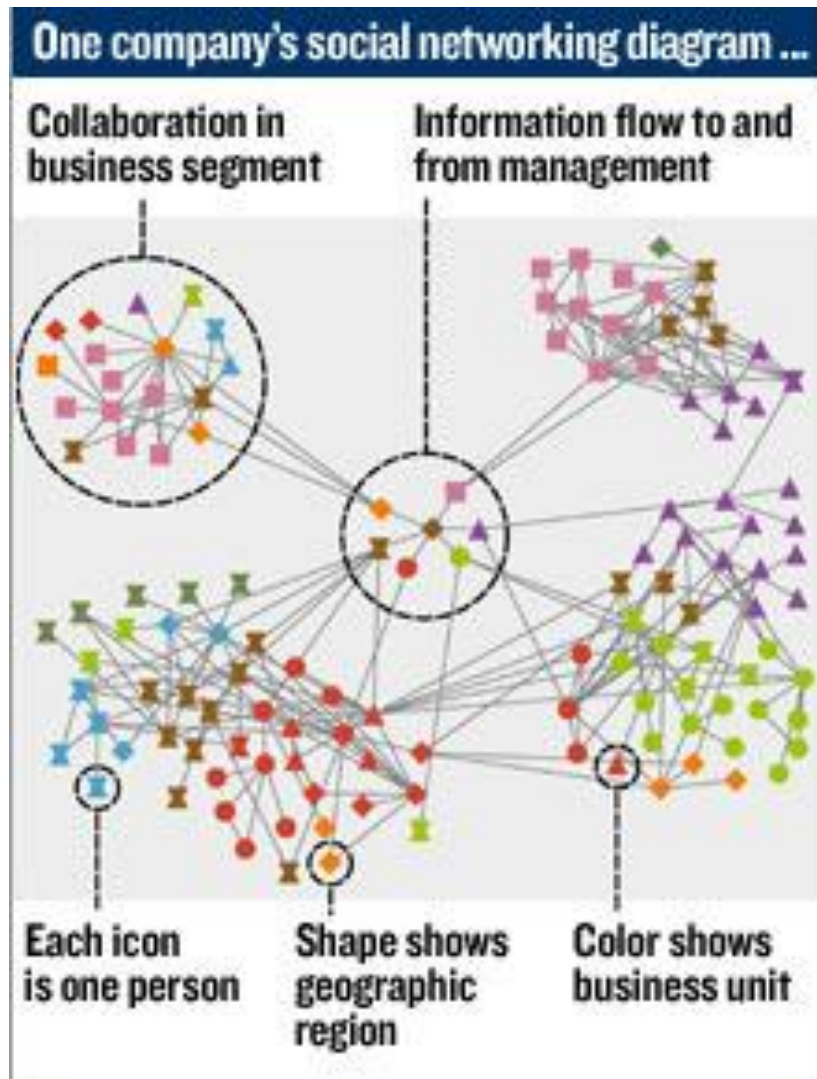
The EDI Trinity

- Data
- Information
- Records

Sources of ESI

- Enterprise databases
- Web sites
- File systems
 - Organized
 - Shared
 - Personal
- Email
- Backup tapes
- Voicemail
- Instant messaging
- File systems
 - Metadata
 - Deleted files
- Security badge access logs
- Personally owned systems
 - Files
 - Email
- Cloud services
 - Gmail/Hotmail/...
 - Dropbox/Google Docs/...
 - Facebook
 - Twitter
 - SMS

Formal and Informal Social Networks



The Activity Trinity

- Use
- Retain
 - Proactive (records management)
 - Reactive (legal hold)
- Destroy
 - Reasonable (cost, business risk, ...)
 - “Bad faith” (litigation risk)

Internal Stakeholders

- Business functions
 - Operations
 - Sales
 - Management (audit, ...)
 - Support functions (purchasing, human resources, ...)
- Information technology staff
- Records management staff
- Legal staff

Who to Believe?

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 **FREE WHITE PAPER**
HOW DOCUMENT STORAGE
CAN SAVE YOU MONEY

GRAY MATTER

When Data Disappears

By KARI KRAUS
Published: August 6, 2011

Kari Kraus is an assistant professor in the College of Information Studies and the English department at the University of Maryland.

[Enlarge This Image](#) College Park, Md.



Caroline Hwang

LAST spring, the Harry Ransom Center at the University of Texas acquired the papers of Bruce Sterling, a renowned science fiction writer and futurist. But not a single floppy disk or CD-ROM was included among his notes and manuscripts. When pressed to explain why, the prophet of high-tech said digital preservation was doomed to fail. "There are forms of media which are just inherently unstable," [he said](#), "and the attempt to stabilize them is like the attempt to go out and stabilize the corkboard at the laundromat."

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Nothing Disappears from the Internet

Before endorsing Mitt Romney, Jon Huntsman [tried to scrub](#) his website of attacks made on the GOP frontrunner. But the DNC had copies and put them together in a [new video](#).

Here's the video:

It's All Still True



0:00 / 1:17

Replication

- Business continuity
- Disaster recovery
- Parallel access
- Latency mitigation
- Leakage
 - Convenience
 - Unauthorized disclosure
 - Theft
 - Disposal

IT Support Functions

- Management (CIO, CTO, projects, audit, ...)
- Acquisition (systems, services, outsourcing, ...)
- Development (software, Web, migration, ...)
- Operations (servers, network, backups, ...)
- Security (network, data, ...)
- Support (training, help desk, ...)

Management Structures

- Execution
 - Centralized
 - Distributed
- Control
 - Centralized
 - Distributed
- Network architectures
 - Workstations
 - Cloud
 - Peer-to-peer
- Centralized Functions
 - Relational database
 - Servers
 - Mail
 - Web
 - Backups

Critical Events

- Hardware refresh
 - Migration, concurrent operations
- System upgrade
 - Backward compatibility
- Change of outsourcing contractor
 - Service Level Agreement (SLA) continuation
- Termination of employment
 - ESI, tacit knowledge, file encryption passwords

Risk Management

- Awareness
 - Training
 - Detection
 - Red team
- Mitigation
 - Proactive
 - Technology
 - Policy
 - Process
 - Reactive

Information Management Policies

- Access control (systems, FERPA, classified, ...)
- Change control (Content, authorization, ...)
- Acceptable use (personal use, malicious use , ...)
- Dissemination control (Web sites, blogs, ...)
- System integrity (wireless devices, media, ...)
- Privacy (rights, assurances, ...)
- Backup management (periodicity, restoration, ...)
- Legal holds

Sedona Guidelines

1. Information and records management is important in the electronic age
2. An organization's information and records management policies and procedures should be realistic, practical, and tailored to the circumstances of the organization
3. An organization need not retain all electronic information ever generated or received

Sedona Guidelines (cont.)

4. An organization adopting an information and records management policy should also develop procedures that address the creation, identification, retention, retrieval and ultimate disposition or destruction of information and records
5. An organizations policies and procedures must mandate the suspension of ordinary destruction practices and procedures as necessary to comply with preservation obligations related to actual or reasonably anticipated litigation, government investigation or audit

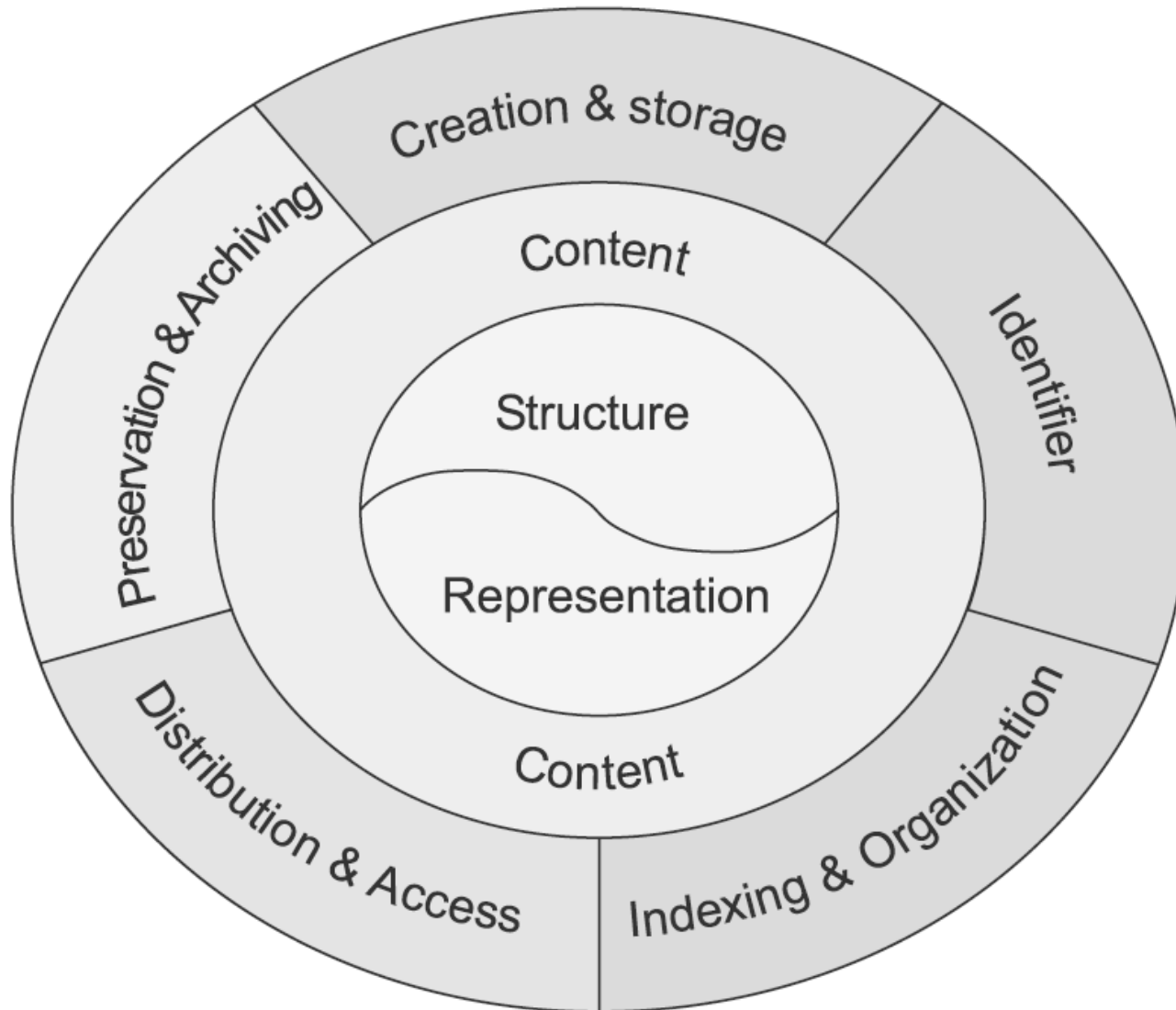
Defining “Records”

- ISO 15489-1:2001: Information created, received and maintained as evidence and information by an organization or person in pursuance of legal obligations or in the transactions of business”
- ICA Committee on Electronic Records: A recorded information produced or received in the initiation, conduct or completion of an institutional or individual activity and that comprises content, content and structure sufficient to provide evidence of the activity.

Records Management

- “Schedules”
 - What
 - How long
 - (Why)
- Classification
 - Specialized staff (e.g., executive assistant)
 - End-user (e.g., for email)
 - Embedded rules (hand-written or learned)

Information Life Cycle



Famous Last Words

- Word of the day: spoliation
 - Destruction or altering of evidence
- “There are some communications that should not be put in written form”
 - (hmmm ... how is it that we know this was said?)