

## Appendix A: Standards

---

*The following entries constitute a selected list of organizational Web sites providing information on international, national, and state government standards relevant to electronic records, with citations to specific standards where applicable. The list does not purport to be comprehensive; in many cases, the Web sites themselves operate as portals to much richer array of information located on the Web. The entries below contain a current direct link pointing to the “standards” information on the Web site; however, given the frequency of Web page updates and the possibility of broken links to sub-URLs, a home page also has been provided for each main organization. Short descriptions for the listed organizations have been mostly taken verbatim from the Web sites themselves.*

### 1. AIIM International (Enterprise Content Management Association)

- <http://www.aiim.org>
- <http://www.aiim.org/standards.asp?ID=24488>

AIIM Standards is comprised of twenty-plus committees and working groups. Over 80 of AIIM’s standards, recommended practices and technical reports have been drafted and approved by ANSI.

AIIM holds the secretariat for ISO/TC 171 SC2, Document Imaging Applications, Application Issues. AIIM is also the administrator for the U. S. Technical Advisory Group (TAG) to ISO TC 171, Document Imaging Applications that represents the United States at international meetings.

### 2. American National Standards Institute (ANSI)

- <http://www.ansi.org>
- [http://www.ansi.org/standards\\_activities/overview/overview.aspx?menuid=3](http://www.ansi.org/standards_activities/overview/overview.aspx?menuid=3)

ANSI is a private, non-profit organization (501(c)(3)) that administers and coordinates the U.S. voluntary standardization and conformity assessment system.

- ANSI/AIIM TR31, Performance Guideline for the Legal Acceptance of Records Produced by Information Technology

### 3. ARMA (The Association for Information Management Professionals)

- <http://www.arma.org>
- <http://www.arma.org/standards/index.cfm>

Standards development is a major activity for ARMA International at both the national and international levels. ARMA is an accredited standards development organization with the American National Standards Institute (ANSI). ARMA also participates in

applicable ISO standards development committees such as TC 46/SC 11 Archives/Records Management.

**4. Cohasset Associates, Inc.**

- <http://www.cohasset.com>
- [http://www.merresource.com/library/index.php?dir=policies\\_and\\_guidelines](http://www.merresource.com/library/index.php?dir=policies_and_guidelines)

Cohasset is a private consulting firm specializing in document-based information management, and is host to the Managing Electronic Records (MER) Conferences.

**5. Committee on Institutional Cooperation (CIC), University Archivists Group (UAG)**

- <http://www-personal.umich.edu/%7Eederomedi/CIC/cic.htm>

This website sets out CIC UAG Standards for an Electronic Records Policy.

**6. The Document Site**

- <http://www.thedocumentsite.co.uk>
- [http://www.thedocumentsite.co.uk/RM\\_resources.html](http://www.thedocumentsite.co.uk/RM_resources.html)

The site is published and maintained by Reynold Leming, Managing Director of Mint Business Solutions Ltd., an information management consultancy.

**7. Electronic Media Group**

- <http://aic.stanford.edu/sg/emg/>

The mission of the Electronic Media Group (EMG) is two-fold: (1) preservation of electronic art, electronic-based cultural materials and tools of creation; and (2) to provide a means for conservators and related professionals to develop and maintain knowledge of relevant new media and emerging technologies.

- <http://info.wgbh.org/upf/> (Universal Preservation Format)

**8. Electronic Resource Preservation and Access Network (ERPANET)**

- <http://www.erpanet.org>

The European Commission—funded ERPANET Project will establish an expandable European Consortium, which will make viable and visible information, best practice and skills development in the area of digital preservation of cultural heritage and scientific objects. ERPANET will provide a virtual clearinghouse and knowledge base on state-of-the-art developments in digital preservation and the transfer of that expertise among individuals and institutions.

**9. IEEE Computer Society**

- <http://www.computer.org>
- <http://www.computer.org/standards>

With nearly 100,000 members, the IEEE Computer Society is the world's leading organization of computer professionals. Founded in 1946, it is the largest of the 37 societies of the Institute of Electrical and Electronics Engineers (IEEE).

The Society is dedicated to advancing the theory, practice, and application of computer and information processing technology.

#### **10. Indiana University Bloomington Libraries, University Archives**

- <http://www.indiana.edu/%7Elibarch/ER>

Website includes citations to white papers and standards on methodologies for designing record-keeping systems, evaluating information systems as record-keeping systems, functional requirements for record-keeping systems, record-keeping metadata specifications, and records policies and guidelines.

#### **11. International Council on Archives**

- <http://www.ica.org>

The International Council on Archives (ICA) is a decentralized organization governed by a General Assembly and administered by an Executive Committee. Its branches provide archivists with a regional forum in all parts of the world (except North America); its sections bring together archivists and archival institutions interested in particular areas of professional interest; its committees and working groups engage experts to solve specific problems. The ICA Secretariat serves the administrative needs of the organization and maintains relations between members and cooperation with related bodies and other international organizations.

- <http://www.ica.org/biblio.php?pbodycode=CER&ppubtype=pub&plangue=eng>  
ICA Committee on Current Records in Electronic Environments
- <http://www.ica.org/biblio.php?pbodycode=CDS&ppubtype=pub&plangue=eng>  
ICA Committee on Descriptive Standards

#### **12. International Organization for Standardization**

- <http://www.iso.org>
- <http://www.iso.org/iso/en/ISOOnline.openerpage>

A network of national standards institutes from 148 countries working in partnership with international organizations, governments, industry, business and consumer representatives. The source of ISO 9000, ISO 14000 and more than 14,000 International Standards for business, government and society.

- ISO 15489-1 and 2:2001(E), International Standard: Information and Documentation – Records Management

**13. International Research on Permanent Authentic Records in Electronic Systems (InterPARES Project)**

- <http://www.interpares.org>
- <http://www.interpares.org/links.htm>

The International Research on Permanent Authentic Records in Electronic Systems (InterPARES) aims at developing the theoretical and methodological knowledge essential to the long-term preservation of authentic records created and/or maintained in digital form. This knowledge should provide the basis from which to formulate model policies, strategies and standards capable of ensuring the longevity of such material and the ability of its users to trust its authenticity.

**14. MoReq (“Model Requirements”) Project**

- <http://www.cornwell.co.uk/moreq> or [http://www.inform-consult.com/services\\_moreq.asp](http://www.inform-consult.com/services_moreq.asp); also (additional information about MoReq and its place relative to other efforts; from AIIM Europe) <http://www.arkivochdokument.se/library/2003/Konf%20F%20Records%20Management%20-%20About%20MOREQ%20and%20DLM%20-%20Roger%20Crumpton.pdf>

An EEC model records management requirement and specification.

**15. Monash University, Australia, School of Information Management and Systems**

- <http://www.sims.monash.edu.au/index.html>
- <http://www.sims.monash.edu.au/research/rcrg/links.html>

The mission of the School of Information Management and Systems is to advance through teaching, research and community engagement, the organization, application, management and use of information and information technology, and to enhance our understanding of the impact of information on individuals, organizations, institutions, and society.

**16. NAGARA (National Association of Government Archives and Records Administrators)**

- <http://www.nagara.org>
- <http://www.nagara.org/links.html>

NAGARA is a professional organization dedicated to the effective use and management of government information and publicly recognizing their efforts and accomplishments.

**17. National Archives (United Kingdom)**

- <http://www.nationalarchives.gov.uk>
- <http://www.nationalarchives.gov.uk/electronicrecords/advice/default.htm>  
Standards on the development and best practices for e-records management systems, includes toolkits and suggestions for developing corporate policies and inventory systems.
- <http://www.nationalarchives.gov.uk/electronicrecords>

**18. National Archives of Australia**

- <http://www.naa.gov.au>
- <http://www.naa.gov.au/recordkeeping/rkpubs/summary.html> (links to record-keeping publications)

**19. New South Wales State Records**

- <http://www.records.nsw.gov.au/publicsector/erk/electronic.htm> (electronic record-keeping)

**20. OASIS**

- <http://www.oasis-open.org/home/index.php>  
Non-profit consortium coordinating development of e-business standards; parent organization for LegalXML.

**21. Open Archives Initiative**

- <http://www.openarchives.org/index.html>
- [http://www.oaforum.org/oaf\\_db/list\\_db/list\\_protocols.php](http://www.oaforum.org/oaf_db/list_db/list_protocols.php)

The Open Archives Initiative develops and promotes interoperability standards that aim to facilitate the efficient dissemination of content. The Open Archives Initiative has its roots in an effort to enhance access to e-print archives as a means of increasing the availability of scholarly communication.

**22. Research Libraries Group**

- <http://www.rlg.org>
- [http://www.rlg.org/en/page.php?Page\\_ID=553](http://www.rlg.org/en/page.php?Page_ID=553)

Current Projects, including Encoded Archival Context Activities and Encoded Archival Description activities.

The Research Libraries Group (RLG) is an international consortium of universities and colleges, national libraries, archives, historical societies, museums, independent research collections and public libraries. Its mission is to “improve access to information that

supports research and learning” through collaborative activities and services that include organizing and preserving as well as sharing information resources.

**23. Society of American Archivists**

- <http://www.archivists.org>
- [http://www.archivists.org/governance/handbook/standards\\_com.asp](http://www.archivists.org/governance/handbook/standards_com.asp) (Standards Committee)

The Standards Committee is responsible for overseeing the process of developing, implementing, and reviewing standards pertinent to archival practice and to the archival profession and for providing for effective interaction with other standards-developing organizations whose work affects archival practice.

- <http://www.archivists.org/catalog/stds99/index.html> (Standards for Archival Description Handbook)
- <http://www.archivists.org/assoc-orgs/index.asp> (links to related associations)
- <http://www.loc.gov/ead> (Encoded Archival Description website)
- <http://www.archivists.org/saagroups/ers/index.asp> (Electronic Records section)

**24. State University of New York, Albany, Center for Technology in Government**

- <http://demo.ctg.albany.edu/projects/mfa>

The Center for Technology in Government works with governments to develop information strategies that foster innovation and enhance the quality and coordination of public services, carrying out this mission through applied research and partnership projects that address the policy, management and technology dimensions of information use in the public sector. Website contains references to publications concerning functional requirements for electronic record-keeping.

**25. University of Michigan/University of Leeds, CAMiLEON Project**

- <http://www.si.umich.edu/CAMILEON/index.html>

The CAMiLEON Project is developing and evaluating a range of technical strategies for the long term preservation of digital materials. User evaluation studies and a preservation cost analysis are providing answers as to when and where these strategies will be used. The project is a joint undertaking between the Universities of Michigan (USA) and Leeds (UK) and is funded by JISC and NSF.

**26. University of Pittsburgh, School of Information Sciences**

- <http://www.archimuse.com/papers/nhprc/meta96.html>

Metadata specifications derived from functional requirements: reference model for business acceptable communications.

**27. University of Virginia Library and Cornell University Fedora Project**

- <http://www.fedora.info>

The Fedora project was funded by the Andrew W. Mellon Foundation to build an open-source digital object repository management system based on the Flexible Extensible Digital Object and Repository Architecture (Fedora). The new system demonstrates how distributed digital library architecture can be deployed using web-based technologies, including XML and Web services. Fedora was jointly developed by the University of Virginia and Cornell University.

**28. U.S. Department of Agriculture, Records Management**

- <http://www.ocio.usda.gov/irm/records>  
Comprehensive web site with links to federal resources.

**29. U.S. Department of Defense, 5015.2 Standard**

- <http://www.dtic.mil/whs/directives/corres/html/50152std.htm>  
Design Criteria Standard for Electronic Records Management Software Applications (June 2002). This Standard is issued under the authority of DoD Directive 5015.2, "Department of Defense Records Management Program," March 6, 2000, which provides implementing and procedural guidance on the management of records in the Department of Defense. This Standard sets forth mandatory baseline functional requirements for Records Management Application (RMA) software used by DoD Components in the implementation of their records management programs; defines required system interfaces and search criteria to be supported by the RMAs; and describes the minimum records management requirements that must be met, based on current National Archives and Records Administration (NARA) regulations.
- <http://jrtc.fhu.disa.mil/recmgt/standards.htm>.  
"Functional baseline requirements" study that provides additional requirements and data element descriptions for records management metadata.

**30. U.S. Environmental Protection Agency (Records Management Website)**

- <http://www.epa.gov/records/policy/index.htm> (contains links to additional sites)

**31. U.S. Library of Congress, Metadata Encoding & Transmission Standard (METS)**

- <http://www.loc.gov/standards/mets>  
The METS schema is a standard for encoding descriptive, administrative, and structural metadata regarding objects within a digital library, expressed using the XML schema language of the World Wide Web Consortium. The standard is maintained in the Network Development and MARC Standards Office of the Library of Congress, and is being developed as an initiative of the Digital Library Federation.

**32. U.S. National Aeronautics and Space Administration, Science Office of Standards and Technology**

- <http://ssdoo.gsfc.nasa.gov/nost>
- <http://ssdoo.gsfc.nasa.gov/nost/isoas>

Summarizing U.S. efforts towards ISO archiving standards.

**33. U.S. National Archives and Records Administration**

- <http://www.archives.gov>
- [http://www.archives.gov/records\\_management](http://www.archives.gov/records_management)
- [http://www.archives.gov/records\\_management/initiatives/transfer\\_to\\_nara.html](http://www.archives.gov/records_management/initiatives/transfer_to_nara.html)

Expanding Acceptable Transfer Requirements: Transfer Instructions for Permanent Records

**34. U.S. National Institute of Standards and Technology (NIST)**

- <http://www.nist.gov>
- <http://www.itl.nist.gov/iaui>

The Information Access Division (IAD), part of NIST's [Information Technology Laboratory](#), provides measurements and standards to advance technologies dealing with access to multimedia and other complex information.

- <http://www.itl.nist.gov>

The Information Technology Laboratory (ITL) works with industry, research, and government organizations to make this technology more usable, more secure, more scalable, and more interoperable than it is today. We develop the tests and test methods that both the developers and the users of the technology need to objectively measure, compare and improve their systems.

**35. Utah Division of State Archives**

- <http://archives.utah.gov/recmanag/electronic.htm>

(Comprehensive web site listing electronic record-keeping related resources including from all 50 states)

**36. World Wide Web Consortium (W3C)**

- <http://www.w3c.org>
- <http://www.w3c.org/RDF> (Resource Description Framework)
- <http://www.w3c.org/Consortium/Activities>

The World Wide Web Consortium (W3C) develops interoperable technologies (specifications, guidelines, software, and tools) to lead the Web to its full potential. W3C is a forum for information, commerce, communication, and collective understanding.

**37. XML.ORG**

- <http://www.xml.org>

XML standards for specific industry areas.