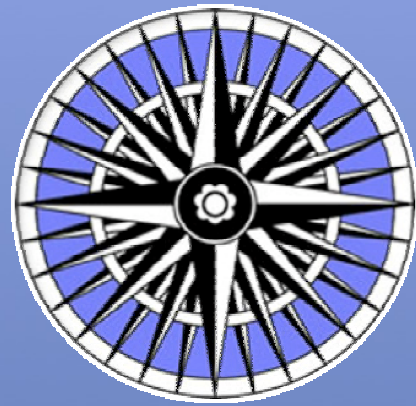


INTERNATIONAL RECORDS MANAGEMENT TRUST



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ADDITIONAL RESOURCES FOR  
ELECTRONIC RECORDS MANAGEMENT

Training in Electronic Records Management



ADDITIONAL RESOURCES FOR  
ELECTRONIC RECORDS MANAGEMENT



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**Training in Electronic Records Management**

General Editor, Laura Millar

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**ADDITIONAL RESOURCES  
FOR ELECTRONIC RECORDS  
MANAGEMENT**

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INTERNATIONAL RECORDS MANAGEMENT TRUST

## TRAINING IN ELECTRONIC RECORDS MANAGEMENT

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### Additional Resources for Electronic Records Management

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Website: <http://www.irmt.org>

## ***TERM Project Personnel***

### **Project Director**

Dr Anne Thurston, founder of the Trust, is a pioneer in defining international solutions for the management of public sector records. Both as an academic and as a programme director, she has extensive experience of working with many different governments to provide practical solutions for strengthening record-keeping systems. Her groundbreaking survey of record-keeping systems across the Commonwealth resulted in the establishment of pilot projects to restructure records systems in The Gambia and Ghana, and she established the Trust in 1989 to develop and extend this work. She joined the staff of the School of Library, Archive and Information Studies at University College London in 1980 to develop the Masters' in Records and Archives Management (International); she was also a Reader in International Records Studies. In 2000 she was awarded an OBE for services to public administration in Africa; she received a lifetime achievement award from the UK Records Management Society in 2006. She was awarded the Emmett Leahy award for Outstanding Contributions to the Information and Records Management Profession in 2007.

### **General Editor**

Laura Millar divides her time among three careers: in archives as an archival and information management consultant and educator; in publishing as a writer, editor, and instructor; and in distance education as a curriculum developer, instructional designer, and course author. She received her MAS degree in archival studies from the University of British Columbia, Canada, in 1984 and her PhD in archival studies from the University of London in 1996. From 1994 to 1999, as Managing Editor of the Management of Public Sector Records Study Programme for the International Records Management Trust and the International Council on Archives, she was responsible for the development, testing, and delivery of 18 distance education training modules and 15 associated publications in archives, records and information management. She is the author of a number of books and articles on various topics in archives, publishing, and distance education.

### **Project Manager**

A New Zealand born Australian based in Seattle, Washington, Michael Hoyle has a Masters degree in Information Management and Systems from Monash University in Australia. Prior to moving to Seattle in 2005, he was the Group Manager, Government Recordkeeping at Archives New Zealand. He has also worked in various information management and other roles in several government agencies in Australasia, including ten years at Archives New Zealand and six years at the National Archives of Australia. Michael has been a council member of the Archives and Records Association of New Zealand (1996 to 1999) and served the Association of Commonwealth Archivists and Records Managers (ACARM) as Deputy Chair (2000 to 2002) and as Chair (2002 to 2004). He also served the Pacific Branch of the International Council on Archives (PARBICA) as Secretary General (2002 to 2003) and President (2003 to 2004).

*Additional Resources for Electronic Records Management*

**Coordinator and Editor**

Laura Millar

The International Records Management Trust would like to acknowledge the support and assistance of the Department for International Development (UK).



# Contents

<b>Preface</b>	ix
<b>Introduction</b>	1
<b>Section 1:</b> Professional Associations and Organisations	3
<b>Section 2:</b> Archival Institutions	17
<b>Section 3:</b> Periodical Publications	21
<b>Section 4:</b> Records, Archives and Information Standards and Guidelines	23
<b>Section 5:</b> Records and Archives Management Publications	27
<b>Section 6:</b> Electronic Records Publications	41
<b>Section 7:</b> Websites, Listservs, Wikis and Blogs	51



## ABOUT THE *TERM* PROJECT

This module is part of an educational initiative called *Training in Electronic Records Management* or *TERM*, developed by the International Records Management Trust as part of a wider project to investigate issues associated with establishing integrity in public sector information systems. Begun in 2006, *Fostering Trust and Transparency in Governance: Investigating and Addressing the Requirements for Building Integrity in Public Sector Information Systems in the ICT Environment* was a project designed to address the crucial importance of managing records in the information technology environment. The focus of the study was pay and personnel records, since payroll control and procurement are the two major areas of government expenditure most vulnerable to misappropriation, and payroll control is, therefore, a highly significant issue for all governments.

The project provided an opportunity to explore the management of paper records as inputs to financial and human resource management information systems, the management of electronic records as digital outputs and the links between them. It also involved examining the degree to which the controls and authorisations that operated in paper-based systems in the past have been translated into the electronic working environment.

The primary geographical focus of the study was eastern and southern Africa, and two significant regional bodies participated: the Eastern and Southern Africa Regional Branch of the International Council on Archives (ESARBICA) and the Eastern and Southern African Association of Accountants General (ESAAG). Four countries from the region (Zambia, Botswana, Lesotho and Tanzania) hosted case studies, and comparative studies were carried out in West Africa (Ghana) and Asia (India).

The products of this project, which will be available without charge, include

- route maps for moving from a paper-based to an electronic information environment
- good practice indicators to measure records management integration in ICT control systems
- these training modules on the management of records in electronic form.

The project deliverables also include case studies conducted in Botswana, Ghana, India, Sierra Leone, Tanzania and Zambia. The studies focused primarily on issues related to the management of human resources and payroll functions in governments and involved research into paper-based and computerised personnel management systems. However, they provided an opportunity also to examine records and information management in the public sector in these countries. The case studies are

most relevant to those readers focusing on personnel and payroll management. However, the findings also offer valuable insights into the challenges of automation and electronic government, and the issues involved with making the transition from paper-based to electronic records and information management. The final case studies are being made available on the Trust website at [www.irmt.org](http://www.irmt.org).

The case studies all point to the general need for greater integration of records management in the design and implementation of electronic information and communications (ICT) systems. The good practice indicators produced by this project are intended to help governments determine whether or not records management requirements have been integrated in ICT systems and to provide a high-level guide to records management integration. The indicators are particularly relevant to Modules 2 and 3. The good practice statements that underpin the indicators are derived from generally accepted international standards but are also informed by the findings of the case studies.

It is hoped that the research conducted as part of this project will offer governments the resources they can use to increase their capacity to manage paper and electronic records as accurate and reliable evidence in electronic environments. Their ability to measure progress toward accountability will be enhanced, and there should be a higher success rate of e-governance applications.

## **Project Steering Team**

An international steering team oversees the work of the project, consisting of the following members.

- **Stephen Sharples**, Chair of the Steering Committee, Senior Governance Adviser, Africa Policy Department, UK Department for International Development
- **Anne Thurston**, Project Director and International Director, International Records Management Trust
- **Michael Hoyle**, Project Manager, International Records Management Trust
- **Andrew Griffin**, Research Officer and UK Director, International Records Management Trust
- **Jerry Gutu**, Chief Executive Officer, East and Southern African Association of Accountants General (ESAAG) (2006)
- **Cosmas Lamosai**, Chief Executive Officer, ESAAG (2007 and 2008)
- **Kelebogile Kgabi**, Chair, Eastern and Southern African Branch, International Council on Archives (ESARBICA), and Director, Botswana National Archives and Records Services (2006)
- **Gert Van der Linde**, Lead Financial Management Specialist, Africa Division, World Bank
- **Peter Mlyansi**, Director, Tanzania Records and National Archives Department and Chair of ESARBICA (2007 and 2008)
- **Nicola Smithers**, Public Sector Specialist, Africa Region, World Bank

- **David Sawe**, Director of Management Information Systems, Government of Tanzania
- **Ranjana Mukherjee**, Senior Public Sector Specialist, Asia Region, World Bank.

More information about the project and the other deliverables can be found on the International Records Management Trust website at [http://www.irmt.org/building\\_integrity.html](http://www.irmt.org/building_integrity.html).

## About the Modules

The following modules have been produced as part of this project:

- Module 1 *Understanding the Context of Electronic Records Management*
- Module 2 *Planning and Managing an Electronic Records Management Programme*
- Module 3 *Managing the Creation, Use and Disposal of Electronic Records*
- Module 4 *Preserving Electronic Records*
- Module 5 *Managing Personnel Records in an Electronic Environment.*

As well, the following two resources have been produced:

- Additional Resources* a bibliography of key resources related to the management of electronic records.
- Glossary of Terms* a consolidated glossary of relevant records management, electronic records management, information technology and computer terms.

These materials are primarily intended for use by records management practitioners in developing countries. The focus is on providing both a conceptual framework and practical guidance about important issues related to electronic records management. The goal is to produce a series of resources that can be used in a variety of ways, such as

- for self study
- for in-house training
- for management training institutes
- as a resource for university or college courses
- as supporting information for distance education courses.

A series of self-study questions has been included at the end of each module. These questions can be used by readers to assess their own understanding of the content provided in the module. The questions may also be used by trainers or educators to develop activities, assignments or other assessments to evaluate the success of any training offered. In order to facilitate the widest possible use of these questions by both learners and educators, they have been gathered together in one place at the end

of the module rather than interspersed throughout the text. Readers interested in developing educational or training initiatives using these modules are also directed to the MPSR training resources developed in 1999, and listed below, which offer guidance on how to adapt and use educational tools such as these.

## **Contributors**

A number of records and information professionals were asked to contribute to the modules, including representatives from such countries as Australia, Botswana, Canada, Kenya, Singapore, South Africa, the United Kingdom and the United States. The following people have contributed to the project as contributors, editors, reviewers and production assistants.

- Keith Bastin, United Kingdom, reviewer
- Adrian Brown, United Kingdom, contributor
- Luis Carvalho, United Kingdom, administrative coordinator
- Donald Force, United States, editor
- Elaine Goh, Singapore, contributor
- Andrew Griffin, United Kingdom, contributor
- Greg Holoboff, Canada, graphic artist
- Michael Hoyle, United States, contributor
- Shadrack Katuu, South Africa, contributor
- Segomotso Keakopa, Botswana, contributor
- Lekoko Kenosi, Kenya, contributor
- Charles Kinyeki, Kenya, reviewer
- Barbara Lange, Canada, desktop publisher
- Helena Leonce, Trinidad and Tobago, reviewer
- Mphalane Makhura, South Africa, reviewer
- Walter Mansfield, United Kingdom, contributor, editor
- Peter Mazikana, Zimbabwe, contributor
- John McDonald, Canada, contributor
- Laura Millar, Canada, contributor, editor
- April Miller, United States, contributor
- Patrick Ngulumbe, South Africa, reviewer
- Greg O’Shea, Australia, contributor
- Lori Podolsky Nordland, Canada, contributor
- Peter Sebina, Botswana, contributor
- Anthea Seles, Canada, contributor
- Elizabeth Shepherd, United Kingdom, reviewer
- Kelvin Smith, United Kingdom, contributor
- Jim Suderman, Canada, contributor, reviewer
- Setareki Tale, Fiji, reviewer

- Louisa Venter, South Africa, reviewer
- Justus Wamukoya, Kenya, reviewer
- Richard Wato, Kenya, reviewer
- Geoffrey Yeo, United Kingdom, reviewer
- Zawiyah Mohammad Yusef, Malaysia, reviewer.

## **Relationship with the MPSR Training Programme**

The modules are designed to build on and support the *Management of Public Sector Records* training programme, developed by the International Records Management Trust in 1999. The MPSR training resources consist of over thirty separate training tools that address basic records management issues for developing countries. While some information found in those earlier modules may also be found in this new training programme, the concept behind this new set of modules is that they build upon but do not replace those earlier fundamental records management training tools. However, this new TERM programme focuses on the electronic record-keeping environment that is becoming so prevalent in the early years of the 21<sup>st</sup> century.

Readers wishing to orient themselves to basic records management principles will want to refer back to those MPSR resources, which are available free of charge from the International Records Management Trust website at [www.irmt.org](http://www.irmt.org). Those training resources are identified below.

### **Training Modules**

- 1 The Management of Public Sector Records: Principles and Context
- 2 Organising and Controlling Current Records
- 3 Building Records Appraisal Systems
- 4 Managing Records in Records Centres
- 5 Managing Archives
- 6 Preserving Records
- 7 Emergency Planning for Records and Archives Services
- 8 Developing the Infrastructure for Records and Archives Services
- 9 Managing Resources for Records and Archives Services
- 10 Strategic Planning for Records and Archives Services
- 11 Analysing Business Systems
- 12 Understanding Computer Systems: An Overview for Records and Archives Staff
- 13 Automating Records Services
- 14 Managing Electronic Records
- 15 Managing Financial Records
- 16 Managing Hospital Records
- 17 Managing Legal Records
- 18 Managing Personnel Records

## **Procedures Manuals**

- 19 Managing Current Records: A Procedures Manual
- 20 Restructuring Current Records Systems: A Procedures Manual
- 21 Managing Records Centres: A Procedures Manual
- 22 Managing Archives: A Procedures Manual
- 23 Planning for Emergencies: A Procedures Manual
- 24 Model Records and Archives Law
- 25 Model Scheme of Service

## **Educators' Resources**

- 26 Educators' Resources
  - Introduction to the Study Programme
  - Glossary of Terms
  - Additional Resources for Records and Archives Management
  - Educators' Resource Kit
  - Writing Case Studies: A Manual.

## **Case Studies**

- 27 Case Studies Volume 1
- 28 Case Studies Volume 2
- 29 Case Studies Volume 3

The introduction to each module in the TERM programme includes more specific information about relevant MPSR resources that readers may wish to review in association with the TERM module in question.

## **A Note on Terminology**

As with any material related to computer technologies, these modules contain a great deal of specialised terminology. Every attempt has been made to define key terms the first time they are used. When important concepts are discussed cross-references are included as appropriate to earlier references or to the glossary of terms. Readers are also directed to the *Additional Resources* tool for more information on various topics, and web addresses are included whenever detailed information is provided about particular organisations or specific resource materials.

The modules are written using British English (programme, organisation) though of course many computer terms use American English: thus an organisation may run a records management 'programme' but it uses a particular software 'program.' Abbreviations and acronyms are defined the first time they are used in each module and are used as sparingly as possible.

One exception is ERM for 'electronic records management': this acronym is used regularly throughout all the resources as appropriate when referring to the general concept of managing computer-generated records. When referring to an electronic



records management system – that is, to specific software programs designed to manage electronic records – the term ERMS is used. It is recognised, however, that ERMS software may also offer document management features: supporting the creation, use and maintenance of both documents (such as works in progress) and records (official, final documents). When referring specifically to software that manages both documents and records, the acronym EDRMS is used, but the acronym ERMS is used more often, particularly when the concept of electronic records management systems is discussed more generally.

## **For More Information**

For more information or to download a copy of these resource materials free of charge, go to the International Records Management Trust website at [www.irmt.org](http://www.irmt.org). The Trust can be reached as follows:

International Records Management Trust  
4th Floor  
7 Hatton Garden  
London EC1N 8AD UK

phone +44 (0) 20 7831 4101  
fax +44 (0) 20 7831 6303  
email [info@irmt.org](mailto:info@irmt.org)  
website [www.irmt.org](http://www.irmt.org)



# ABOUT THIS RESOURCE

This resource tool provides information about a range of resources available in the field of electronic records management and in other fields related to the modules in *The Training in Electronic Records Management (TERM) Programme*. This tool focuses on major English-language sources for records and archives management practice in Australia, New Zealand, the United Kingdom and North America. Information from other countries or regions is included as appropriate. This tool only includes references to significant publications, major organisations or general works related to records and archives management.

This resource tool is organised into sections according to the key topics discussed throughout the modules in this training programme, as follows.

**Section 1:** Professional Associations and Organisations

**Section 2:** Archival Institutions

**Section 3:** Periodical Publications

**Section 4:** Records, Archives and Information Standards and Guidelines

**Section 5:** Records and Archives Management Publications

**Section 6:** Electronic Records Publications

**Section 7:** Websites, Listservs, Wikis and Blogs

Recognising that a printed bibliographic tool is virtually obsolete as soon as it is published, the compiler has focused on key resources – particularly professional associations and archival institutions – that remain available and useful over time, even if the specific publications or products they produce change. It is hoped that users find this tool useful and also that, as time passes and some of the publications listed in this tool become obsolete, users will turn to the key resources identified to find other, more up-to-date materials.



## SECTION 1

# PROFESSIONAL ASSOCIATIONS AND ORGANISATIONS

This section identifies key professional associations and organisations involved with records or archives management or other fields related to the topics discussed in the MPSR and TERM modules. Entries are in alphabetical order by the name of the organisation. Where addresses and contact numbers are available, this information is included.

## **American Society for Information Science and Technology (ASIS&T)**

ASIS&T

1320 Fenwick Lane, Suite 510

Silver Spring, MD

20910 USA

Tel: +1 301 495 0900

Fax: +1 301 495 0810

Email: [asis@asis.org](mailto:asis@asis.org)

Website: <http://www.asis.org/index.html>

ASIS&T brings together diverse streams of knowledge, focusing what might be disparate approaches into novel solutions to common problems. ASIS&T bridges the gaps not only between disciplines but also between the research that drives and the practices that sustain new developments. ASIS&T counts among its membership some 4,000 information specialists from such fields as computer science, linguistics, management, librarianship, engineering, law, medicine, chemistry and education; individuals who share a common interest in improving the ways society stores, retrieves, analyses, manages, archives and disseminates information.

## **Archives and Records Association of New Zealand**

PO Box 11-553

Manners Street

Wellington, New Zealand

Website: [http://www.aranz.org.nz/Site/library/Comma\\_article\\_list.aspx](http://www.aranz.org.nz/Site/library/Comma_article_list.aspx)

ARANZ is an incorporated society, established in 1976, with the aim of promoting the understanding and importance of records and archives in New Zealand. ARANZ is administered nationally by a Council of elected members. Branches have been

established in Auckland, Otago/Southland, Central Districts, Waikato/Bay of Plenty and Wellington.

## **Association of Canadian Archivists**

PO Box 2596, Station D

Ottawa, ON

K1P 5W6 Canada

Tel: +1 613 234 6977

Fax: +1 613 234 8500

Email: [aca@archivists.ca](mailto:aca@archivists.ca)

Website: <http://archivists.ca/home/default.aspx>

The Association of Canadian Archivists is the national archival organisation in Canada. The association publishes a journal and newsletter, organises annual conference and participates in a variety of educational opportunities for archivists in Canada.

## **Association of Commonwealth Archivists and Records Managers (ACARM)**

c/o IRMT

4<sup>th</sup> Floor, 7 Hatton Garden

London

EC1N 8AD UK

Email: [newsletter@acarm.org](mailto:newsletter@acarm.org)

Website: <http://www.acarm.org/>

ACARM provides a network of professional information and advice for records managers and archivists in countries of the Commonwealth.

## **Association for Information and Image Management (AIIM)**

### **Headquarters**

1100 Wayne Ave., Suite 1100

Silver Spring, MD

20910-5603 US

Tel (toll free in US): +1 888 839 3165

Tel: +1 301 587 8202

Fax: +1 301 587 2711

Email: [aiim@aiim.org](mailto:aiim@aiim.org)

**European Office**

AIIM Europe  
8, Canalside  
Lowesmoor Wharf  
Worcester  
WR1 2RR UK  
Tel: +44 0 1905 727613  
Fax: +44 0 1905 727609  
Email: [info@aiim.org.uk](mailto:info@aiim.org.uk)  
Website: <http://www.aiim.org/>

The Association for Information and Image Management was organised to bring together the users and providers of document and information management technologies, such as document management, knowledge management, workflow and imaging. This organisation has a mail order bookstore that offers publications, standards and tools that apply to every facet of both paper and electronic records management.

**The Association for Information Management  
(ASLIB)**

Holywell Centre  
1 Phipp Street  
London  
EC2A 4PS UK  
Tel: +44 0 20 7613 3031  
Fax: +44 0 20 7613 5080  
Email: [aslib@aslib.com](mailto:aslib@aslib.com)  
Website: <http://www.aslib.co.uk/>

Founded in 1924, ASLIB is a corporate membership organisation with over 2,000 members in some seventy countries. ASLIB actively promotes best practice in the management of information resources, represents its members and lobbies on all aspects of the management of and legislation concerning information at local, national and international levels.

**Association of Records Managers and Administrators  
(ARMA International)**

ARMA International  
13725 W. 109th Street, Suite 101  
Lenexa, KS  
66215 US  
Tel: +1 913 341 3808  
Fax: +1 913 341 3742  
Email: [hq@arma.org](mailto:hq@arma.org)  
Website: <http://www.arma.org/index.cfm>

The Association of Record Managers and Administrators (ARMA International) is a not-for-profit association of over 10,000 information professionals in the United States, Canada and over thirty other nations. Among other positions, ARMA International members are employed as records and information managers, Managing Information Systems and Automated Data Processing professionals, imaging specialists, archivists, hospital administrators, legal administrators, librarians and educators.

The ARMA website also includes links to other professional associations involved with record keeping and includes an extensive 'bookstore' with a wide range of advice and information, from introductory to expert. Prices for publications vary and there are significant discounts for ARMA members.

## **Australian Society of Archivists Inc.**

PO Box 83

O'Connor ACT

2601 Australia

Email: [office@archivists.org.au](mailto:office@archivists.org.au)

Website: <http://www.archivists.org.au/>

The Australian Society of Archivists (ASA) is the professional body for archivists in Australia. It was formed in 1975 in response to the growing number of archivists in Australia and to the increasing demand for archival skills. The society is administered on a national basis by an elected council, branches and special interest groups are active in the states and territories.

The Australian Society of Archivists aims to

- promote a professional identity amongst archivists
- promote the keeping care and use of archives and encourage research and development in all areas of archival practice
- establish and maintain standards of archival practice and professional conduct amongst archivists, including standards of archival qualifications and professional training
- encourage the responsible use of archives including cooperating with other organisations and groups with common interests and concerns
- encourage communication and cooperation amongst archivists, their institutions and the users of archives
- publish and disseminate information relevant to the archival profession.

## **Canadian Conservation Institute**

1030 Innes Road

Ottawa, ON

K1A 0M5 Canada

Tel: +1 613 998 3721

Fax: +1 613 998 4721

Email: [cci-icc\\_services@pch.gc.ca](mailto:cci-icc_services@pch.gc.ca)

Website: [http://www.cci-icc.gc.ca/main\\_e.aspx](http://www.cci-icc.gc.ca/main_e.aspx)



The Canadian Conservation Institute (CCI) is a Special Operating Agency within the Department of Canadian Heritage. The Institute was created in 1972 to promote the proper care and preservation of Canada's moveable cultural heritage and to advance the practice, science, and technology of conservation. The CCI supports the heritage community by providing guidance on conservation treatments and preventive measures and by conducting research and development into conservation issues. The CCI publishes a number of resource tools. Some of these resources are available for purchase and some can be downloaded from the CCI website: go to <https://www.cci-icc.gc.ca/bookstore/index-e.cfm>.

## **Commonwealth Association for Public Administration and Management (CAPAM)**

L'Esplanade Laurier  
300 Laurier Ave West  
West Tower, Room A-1245  
Ottawa, ON  
K1N 6Z2 Canada  
Tel: +1 613 996 5026  
Fax: +1 613 947 9223  
Email: [capam@capam.org](mailto:capam@capam.org)  
Website: <http://www.capam.org/>

The aim of CAPAM is to enhance Commonwealth co-operation in improving managerial competence and achieving organisational excellence in government. CAPAM exchanges experiences on new developments and innovations in management in governments by building networks among elected and senior officials, academics and non-governmental organisations. CAPAM provides rapid access to information on best practices in government administration.

## **Co-ordinating Council of Audiovisual Archives Associations (CCAAA)**

Website: <http://www.ccaaa.org/>

CCAAA represents the interests of worldwide professional archive organisations with interests in audiovisual materials including films, broadcast television and radio, and audio recordings of all kinds. Although predominantly working in the public sector, we reflect a broad range of interests across the broadcast media, arts, heritage, education and information sectors. The professional archivists that CCAAA ultimately represents work in institutions such as archives, libraries and museums at national and local level, university teaching and research departments, and broadcasting organisations.

Member institutions include the Association for Recorded Sound Collections ([www.arsc-audio.org](http://www.arsc-audio.org)), the Association of Moving Image Archivists ([www.amianet.org](http://www.amianet.org)), the International Association of Sound and Audiovisual Archives ([www.iasa-web.org](http://www.iasa-web.org)), the International Council on Archives ([www.ica.org](http://www.ica.org)), the International Federation of Film Archives ([www.fiafnet.org](http://www.fiafnet.org)), the International Federation of Library Associations and Institutions ([www.ifla.org](http://www.ifla.org)), the International Federation of Television Archives ([www.fiatifta.org](http://www.fiatifta.org)) and the Southeast Asia-Pacific Audiovisual Archive Association ([www.seapavaa.org](http://www.seapavaa.org)).

## **Council on Library and Information Resources (CLIR)**

1755 Massachusetts Avenue, NW Suite 500

Washington, DC

20036 US

Tel: +1 202 939 4750

Fax: +1 202 939 4765

Website: <http://www.clir.org/>

The Council on Library and Information Resources fosters collaboration between educational institutions and other non-profit organisations in order to meet the challenges, identify roles and responsibilities and make recommendations relating to the preservation of digital information, covering many types of 'digital objects.' CLIR's six areas of interest are preservation awareness, digital libraries, leadership, economics of information, resources for scholarship and international developments.

## **European Commission on Preservation and Access (ECPA)**

Royal Netherlands Academy of Arts and Sciences

Kloveniersburgwal 29

P.O. Box 19121

NL-1000 GC

Amsterdam, The Netherlands

Tel: +33 20 551 0839

Fax: +31 20 620 4941

Website: <http://www.knaw.nl/ecpa/>

The European Commission on Preservation and Access was established in 1994 to promote the preservation of the documentary heritage in Europe. In 2008, with the finalisation of the TAPE project, [www.tape-online.net](http://www.tape-online.net), the ECPA decided to bring its work to a close. The websites of the ECPA will remain on air for some time, and all the information resources have been transferred to several other organisations, which will use them for their own activities. The mailing lists of the ECPA, EPIC-LST, Inkcorrosion-L, SEPIA-LST, and TAPE, closed at the end of July 2008.

## **The Institute of Health Record Information and Management (IHRIM)**

Gordon Nicholson LHRIM

141 Leander Drive

Castleton, Rochdale

OL11 2XE UK

Tel & Fax: +1 1706 868481

Email: [ihrim@zen.co.uk](mailto:ihrim@zen.co.uk)

Website: <http://www.ihrim.co.uk/>

IHRIM was established in 1948, primarily as an educational body. Its objectives are to provide various levels of qualification as well as career and professional assistance

for members working in the field of health records, information, clinical coding and related professions. The Institute offers support for students studying for professional qualifications and it provides the routes to qualification at a number of levels by way of different examinations.

## **The Institute for Information Management**

PO Box 6328

St Kilda Road Central

Melbourne, Victoria

8008 Australia

Tel: +31 3 1300 722 007

Fax: +31 3 9525 3656

Email: [iim@iim.org.au](mailto:iim@iim.org.au)

Website: [www.iim.org.au](http://www.iim.org.au)

IIM aims to become the definitive Australasian industry source on the information management industry. It strives to bring together users of information management systems with providers of information management technologies; promote innovative use of information management technologies; support the development of effective information management systems; and disseminate information about industry trends and new developments in information management systems and technologies.

## **International Centre for the Study of the Preservation and Restoration of Cultural Property (ICCROM)**

Via de San Michele 13

00153 Rome, Italy

Tel: +39 06 585 531

Fax: +39 06 585 3349

Email: [iccrom@iccrom.org](mailto:iccrom@iccrom.org)

Website: <http://www.iccrom.org/>

ICCROM is an intergovernmental organisation with ninety member states concerned with conserving all types of heritage, whether movable or immovable. ICCROM serves as a clearinghouse for information and a forum for discussion. It seeks to integrate the conservation of cultural heritage by collecting, studying and disseminating information, coordinating research, offering consultancy assistance, providing training opportunities and promoting awareness of cultural heritage issues.

## **International Committee of the Blue Shield (ICBS)**

c/o The International Council on Archives

60, rue des Francs-Bourgeois

75003

Paris, France

Tel: +33 1 402 76306

Fax: + 33 1 427 22065

Email: [ica@ica.org](mailto:ica@ica.org)

Website: <http://www.ifla.org/blueshield.htm>

The International Committee of the Blue Shield was established in 1996 by four non-governmental organisations: the International Council on Archives (ICA), the International Council of Museums (ICOM), the International Council on Monuments and Sites (ICOMOS), and the International Federation of Library Associations and Institutions (IFLA). The International Committee of the Blue Shield aims to advise on the protection of endangered heritage, to facilitate international response to emergencies, to encourage the protection of cultural property, to offer training at the national and regional level to manage and protect against disasters and to consult with other agencies on issues of preservation and protection. As a cooperative programme of several agencies, the ICBS can be contacted through agencies such as the International Council on Archives.

## **International Council on Archives (ICA)**

60, rue des Francs-Bourgeois

75003

Paris, France

Tel: +33 1 402 76306

Fax: + 33 1 427 22065

Email: [ica@ica.org](mailto:ica@ica.org)

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

The ICA is the professional organisation for the world archival community, dedicated to the preservation, development and use of the world's archival heritage. The International Council on Archives brings together national archival institutions, professional associations of archivists, regional, local and other archival facilities and individual archivists. The ICA has more than 1,450 members in 170 countries and territories. It is a non-governmental organization, and it works in close co-operation with inter-governmental organisations like UNESCO and the Council of Europe. It also maintains close links with other non-governmental organisations. Its aims are to promote the preservation, development and use of the world's archival heritage.

ICA's international activities include

- a general programme of publications and conferences
- a development programme, promoting co-operation within and between regional branches
- a European programme promoting archival co-operation in Europe
- a professional programme carried out by the sections and committees
- a series of special projects, many in conjunction with UNESCO and other international organisations.

The ICA has a full-time Secretariat based in the Paris headquarters, which undertakes the general administration of the organisation. The professional output of the ICA comes from its network of members and contacts throughout the world who give their time and their professional expertise on a voluntary basis.

The ICA issues a wide range of publications, including manuals, guidelines, and standards, as well as proceedings of various conferences. Information about

publications can be found at [www.ica.org/en/downloads](http://www.ica.org/en/downloads). The ICA also regularly updates its member directory, which is available on the ICA website. The ICA includes regional branches, sections, committees and project groups involved with a range of records and archives issues.

### **Regional Branches**

- ALA: Asociacion latinoamericana de archivos
- ARBICA: Arab Regional Branch
- CARBICA: Caribbean Regional Branch
- CENARBICA: Central Africa Regional Branch
- EASTICA: East Asian Regional Branch
- ESARBICA: Eastern and Southern Africa Regional Branch
- EURASICA: Eurasian Regional Branch
- NAANICA: North American Archival Network
- PARBICA: Pacific Regional Branch
- SARBICA: Southeast Asian Regional Branch
- SWARBICA: South and West Asian Regional Branch
- WARBICA: West African Regional Branch

### **Sections**

- SAE: Section for Archival Education and Training
- SAN: Section on Notarial Records
- SAR: Section on Architectural Records
- SBL: Section of Business and Labour Archives
- SIO: Section of Archivists of International Organizations
- SKR: Section of Archives of Churches and Religious Denominations
- SLA: Provisional Section on Literature and Art Archives
- SMA: Section of Municipal Archives
- SPA: Section of Records Management and Archival Professional Associations
- SPO: Section on Sports Archives
- SPP: Section for Archives of Parliaments and Political Parties
- SUV: Section on University and Research Institution Archives

Those involved with teaching records and archives management are specifically directed to information about the ICA Section on Archival Education and Training (SAE). The SAE is involved in records and archives education and training around the world; it hosts a website that includes a bibliography of readings used by teachers of records and archives management courses.

Three recent ICA publications, developed in conjunction with the Australasian Digital Recordkeeping Initiative, are particularly relevant to the care of electronic records.

- *Principles and Functional Requirements for Records in Electronic Office Environments – Module 1: Overview and Statement of Principles*. ICA 2008. Available electronically at <http://www.ica.org/en/node/38972>.
- *Principles and Functional Requirements for Records in Electronic Office Environments – Module 2: Guidelines and Functional Requirements for Electronic Records Management Systems*. ICA 2008. Available electronically at <http://www.ica.org/en/node/38970>.
- *Principles and Functional Requirements for Records in Electronic Office Environments – Module 3: Guidelines and Functional Requirements for Records in Business Systems*. Available electronically at <http://www.ica.org/fr/node/38968>.

## **The International Federation of Health Records (IFHRO)**

Roper St. Francis Healthcare  
316 Calhoun Street  
Charleston, SC  
29401 US

Tel: +1 843-724-2995

Email: [info@ifhro.org](mailto:info@ifhro.org)

Website: <http://www.ifhro.org/>

The International Federation of Health Records (IFHRO) supports national associations and health record professionals to implement and improve health records and the systems, which support them. IFHRO was established in 1968 as a forum to bring together national organizations committed to improvement in the use of health records in their countries. The founding organisations recognised the need for an international organisation to serve as a forum for the exchange of information relating to health records and information technology.

## **International Organization for Standardization (ISO)**

1, ch. de la Voie-Creuse  
Case postale 56  
CH-1211 Geneva  
20 Switzerland

Tel: +41 22 749 01 11

Fax: +41 22 733 34 30

Website: <http://www.iso.org/iso/home.htm>

The International Organization for Standardization (ISO) is a worldwide federation of national standards bodies from some 130 countries, one from each country. ISO promotes the development of standardisation in order to help facilitate the international exchange of goods and services as well as to help develop cooperation in intellectual, scientific, economic and technical activities.

ISO has established many standards that affect records and archives work, particularly with regard to quality of microfilm, photographic equipment, paper quality and so on.

ISO standards are identified by the term 'ISO' and a number, such as ISO 9000, the standard for quality management and quality assurance, or the ISO 14000 series of standards for environmental management. Of particular note is Technical Committee 46: Information and Documentation, which is the committee responsible for developing standards related to records and information management.

## **International Records Management Trust (IRMT)**

4<sup>th</sup> Floor, 7 Hatton Garden

London

EC1N 8AD UK

Tel: +44 20 7831 4101

Fax: +44 20 7831 7404

Email: [info@irmt.org](mailto:info@irmt.org)

Website: <http://www.irmt.org>

The Trust was established in 1989 to respond to widespread and progressive deterioration in record keeping in the developing countries. As technology has an increasing impact on the way that records are created, used and stored, the Trust has committed itself to supporting the transition from paper to electronic records. It draws upon extensive field experience and an international network of professional contacts to serve citizens in countries around the world through helping to build evidence-based governance. As a non-profit organisation governed by Trustees, the Trust's work is funded through grants and contracts. There are three interrelated streams of activities: consultancy services, education and training and development research.

One core product of the Trust directly relevant to electronic records management is *The E-Records Readiness Tool*, first published in 2004 and available online at [http://www.nationalarchives.gov.uk/rmcas/documentation/eRecordsReadinessTool\\_v2\\_Dec2004.pdf](http://www.nationalarchives.gov.uk/rmcas/documentation/eRecordsReadinessTool_v2_Dec2004.pdf).

## **Joint Information Systems Committee (JISC)**

Brettenham House

5 Lancaster Place

London

WX2E 7EN UK

Tel: +44 20 3006 6099

Fax: +44 20 7240 5377

Email: [info@jisc.ac.uk](mailto:info@jisc.ac.uk)

Website: <http://www.jisc.ac.uk/>

The UK-based Joint Information Systems Committee (JISC) serves to provide world-class leadership in the innovative use of ICT to support education and research. Among the most products developed by JISC is *The Electronic Records Management Training Package*, an online training package developed in 2003 that was designed to help staff working in the UK Further and Higher Education (FE and HE) sectors to better manage their electronic records. This training package provides a step-by-step assessment tutorial approach as well as the ability to search, pick and choose from a



wide range of individual topics including organising records, managing email, retention and disposal and preservation. The training package is suitable for use by all levels of staff and in all areas of FE / HE institutions either on an individual basis or as part of a group training programme. While the website has not been updated to reflect new information about this initiative since 2004, it is worth investigating the status of the materials.

## **Records Management Society (RMS)**

14 Blandford Square

Newcastle upon Tyne

NE1 4HZ UK

Tel: +44 191 244 2839

Fax: +44 191 245 3802

Website: <http://www.rms-gb.org.uk/>

The Records Management Society, launched in 1983, recognised the ever-increasing number of people working in the fields of records and information management. All those concerned with records and information, regardless of their professional or organisational status or qualifications, can join the Society. Organisations wishing to develop records or information systems and those that provide services in these fields are also welcome. Regular meetings are held to hear guest speakers or to hold discussions on topics as wide-ranging as office technology, organisation of records services, legal aspects of records management and the role of service companies. The Society also facilitates training programmes and produces a number of technical and information publications.

## **Society of Archivists**

Prioryfield House

20 Canon Street

Taunton, Somerset

TA1 1SW UK

Tel: +44 1823 327030

Fax: +44 1823 271719

Email: [membership@archives.org.uk](mailto:membership@archives.org.uk)

Website: <http://www.archives.org.uk/>

The Society of Archivists is a professional society for archivists, archive conservators and records managers in the United Kingdom and Ireland. It aims to promote the care and preservation of archives, the better administration of record repositories, and to advance the training of its members. Membership, which consists of registered members, members, student members and institutional affiliates, is open to all those involved or qualified in archive administration, conservation and records management or in related areas, as well as full time students. Membership of the Society carries with it a mandatory adhesion to a professional code of conduct.



## **Society of American Archivists**

17 North State Street

Suite 1425

Chicago, IL

60602-3315 US

Tel: +1 312 606 0722

Fax: +1 312 606 0728

Email: [info@archivists.org](mailto:info@archivists.org)

Website: <http://www.archivists.org/>

The Society of American Archivists is the oldest and largest national archival professional association in North America, established in 1936. The Society provides communication services through scholarly journals and newsletters; it also offers continuing education courses and career opportunities, particularly for archivists in the United States. The website has useful contacts and links and especially an extensive list of publications which can be ordered by mail or electronically.

## **United Nations Educational Scientific and Cultural Organization (UNESCO)**

Communication and Information Sector

1, rue Miollis

75732 Paris

Cedex 15, France

Tel: + 33 1 4568 4243

Fax: + 33 1 4568 5581

Website <http://www.unesco.org/>

The Communication and Information Sector (CI) was established in 1990. Its programmes are rooted in UNESCO's Constitution, which requires the organisation to promote the 'free flow of ideas by word and image.' Besides its staff at UNESCO Headquarters in Paris, the CI Sector is represented in 27 UNESCO field offices.

The Communication and Information Sector consists of

- the Communication Development Division
- the Division for Freedom of Expression, Democracy and Peace
- the Information Society Division.

The Sector also provides the secretariats for two intergovernmental programmes: the International Programme for the Development of Communication (IPDC) and the Information for All Programme (IFAP).

The three principal strategic objectives of the Sector's programmes are

- promoting the free flow of ideas and universal access to information
- promoting the expression of pluralism and cultural diversity in the media and world information networks
- promoting access for all to ICTs.

The UNESCO Archives Portal provides access to websites of archival institutions around the world. It is also a gateway to resources related to records and archives management and to international co-operation in this area. With the Archives Portal, UNESCO seeks to provide a single interactive access point to information for archivists and users of archives worldwide. UNESCO also makes the records and archives RAMP studies available for download at [http://unesdoc.unesco.org/ulis/search\\_form.shtml](http://unesdoc.unesco.org/ulis/search_form.shtml).

## ARCHIVAL INSTITUTIONS

This section includes information about selected national archival institutions, particularly those with active research programmes. Entries are in alphabetical order by the name of the institution. Where addresses and contact numbers are available, this information is included. This list only highlights some key institutions that are playing a major role in electronic records management. The websites for many of these institutions include links to other national or state repositories and related agencies.

### **Archives New Zealand**

10 Mulgrave Street  
Thorndon, Wellington  
6011 New Zealand  
Tel: +64 4 499 5595  
Fax: +64 4 495 6210  
Email: [reference@archives.govt.nz](mailto:reference@archives.govt.nz)  
Website: <http://www.archives.govt.nz/>

Archives New Zealand, or Te Rua Mahara o te Kāwanatanga in the Maori language, is the official guardian of New Zealand's public archives. ANZ gathers, stores and protects original archival materials including government documents, maps, paintings, photographs and film. The Public Records Act 2005 sets the framework for contemporary recordkeeping across government and Archives New Zealand works with government agencies to administer the Act.

Among the record-keeping resources developed by Archives New Zealand are many products associated with the Continuum programme, which is a whole-of-government approach to records care. The Continuum programme provides tools and services to government agencies to meet best practice records standards. Among the resources developed as part of the programme are fact sheets, guides, disposal authorities, standards and records-related forms and templates, many of which are available for download on the Continuum website. See <http://continuum.archives.govt.nz/>.

### **Library and Archives Canada**

395 Wellington Street  
Ottawa, ON  
K1A 0N3 Canada  
Tel: +1 613 996 5115  
Fax: +1 613 995 6274  
Website: <http://www.collectionscanada.gc.ca/index-e.html>

Library and Archives Canada (formerly the National Archives of Canada) is an active partner in international archival projects, including hosting the International Council on Archives website and participating in a range of ICA activities. The LAC website includes valuable information about archival policies and procedures, examples of on-line research tools and finding aids and information about exhibitions and publications.

The Information Management Portal on the Library and Archives Canada website provides access to information and activities related to information management from the Government of Canada, Canadian and international sources. A wide range of information and resources is available through this site, available at [http://www.informationmanagement.gc.ca/index\\_e.asp](http://www.informationmanagement.gc.ca/index_e.asp).

## **Library of Congress**

101 Independence Ave SE

Washington, DC

20540 US

Tel: +1 202 707 5000

Website: <http://www.loc.gov/index.html>

The Library of Congress is involved with extensive research into the management and preservation of records and archives. Much information is available online and publications can be ordered.

## **National Archives of Australia**

PO Box 7425

Canberra ACT

2610 Australia

Tel: +61 2 6212 3900

Fax: +61 2 6212 3999

Email: [ref@naa.gov.au](mailto:ref@naa.gov.au)

Website: <http://www.naa.gov.au/>

The National Archives of Australia offers a number of publications free, including information about various archival issues. The NAA also participates in international activities and makes many of its resources available on its website.

One of the recent online tools developed by NAA is *Check-up: A Tool for Assessing Your Agency's Information and Records Management*. This tool, available at <http://www.naa.gov.au/records-management/check-up/index.aspx>, helps organisations assess the current state of their information and records management practices. The NAA has also published a number of records and archives management publications, many of which are available for purchase or can be downloaded from the institution's website. See <http://www.naa.gov.au/records-management/publications/publications-a-z.aspx> for more information. Some tools particularly relevant to electronic records management are listed below:

- National Archives of Australia. *Archiving Web Resources: A Policy for Keeping Records of Web-based Activity in the Commonwealth Government*.

Commonwealth of Australia, revised January 2001. Available at <http://www.naa.gov.au/records-management/publications/Archiving-web-policy.aspx>.

- National Archives of Australia. *Archiving Web Resources: Guidelines for Keeping Records of Web-based Activity in the Commonwealth Government*. Commonwealth of Australia, March 2001. Available at <http://www.naa.gov.au/records-management/publications/Archiving-web-guidelines.aspx>.
- National Archives of Australia. *Guidelines for Implementing the Specifications for Electronic Records Management Systems Software (ERMS)*. 2007. Available at <http://www.naa.gov.au/records-management/publications/ERMS-guidelines.aspx>.
- National Archives of Australia. *Specifications for Electronic Records Management Systems Software*. 2007. Available at <http://www.naa.gov.au/records-management/publications/ERMS-specs.aspx>.

## **National Archives and Records Administration (NARA)**

700 Pennsylvania Avenue, NW

Washington, DC

20408-0001 US

Fax: +1 301 837 0483

Website: <http://www.archives.gov/index.html>

The National Archives and Records Administration is an independent federal agency of the United States government, responsible for preserving the nation's history and managing its federal records. NARA has a wide range of publications available on archival management issues; the website provides details. People can also view NARA's general disposal schedules online through the website.

NARA has developed a wide range of training tools and online resources, including a CD-based self-study course called Records Management for Everyone as well as a series of online and face-to-face courses on records and archives issues, some of which are available outside of the government environment. More information about training opportunities and resources can be found at <http://www.archives.gov/records-mgmt/training/>. Also available is the Toolkit for Managing Electronic Records, a web portal that provides summary descriptions of a range of products and resources created to help organisations manage their electronic records. These tools have been developed by NARA and by other organisations around the world. The toolkit, which operates much like a searchable catalogue or index of resources, is searchable online at <http://toolkit.archives.gov/>.

Among the many NARA publications relevant to electronic records management is *NARA Guidance on Managing Web Records*, published in January 2005 and available at <http://www.archives.gov/records-mgmt/policy/managing-web-records.html>.

## **State Records New South Wales**

PO Box 516

Kingswood NSW

2747 Australia

Tel: +61 2 9673 1788

Fax: +61 2 9833 4518

Email [info@records.nsw.gov.au](mailto:info@records.nsw.gov.au)

Website: <http://www.records.nsw.gov.au/>

The website for State Records New South Wales offers valuable information on record keeping, including online finding aids to holdings, updates on programmes and services, and online versions of various publications including the *Government Recordkeeping Manual*. Information about this and other products can be found at [http://www.records.nsw.gov.au/staterecords/publications\\_nsw\\_public\\_sector\\_3778.asp](http://www.records.nsw.gov.au/staterecords/publications_nsw_public_sector_3778.asp).

## **The National Archives (TNA)**

Kew, Richmond

Surrey TW9 4DU UK

Tel: +44 208 876 3444

Website: <http://www.nationalarchives.gov.uk/>

The National Archives (formerly the Public Record Office) in the United Kingdom seeks to ensure that public records are preserved for present and future access and to raise awareness of the importance of caring for records and archives. TNA conducts a variety of preservation-related activities, including preservation coordination and training, preservation copying, preservation cataloguing, and conservation and restoration work. It has also developed an extensive research programme in electronic records management.

Among the resources for electronic records management are the web pages outlining *Services for Professionals: Electronic Records: Advice and Guidance*, available at <http://www.nationalarchives.gov.uk/electronicrecords/advice/default.htm>.

## **The Washington State Digital Archives**

960 Washington Street

Cheney, Washington

99004 US

Tel: +1 509 235 7509

Fax: +1 509 235 7504

Email: [digitalarchives@secstate.wa.gov](mailto:digitalarchives@secstate.wa.gov)

Website: [www.digitalarchives.wa.gov](http://www.digitalarchives.wa.gov)

The Washington State Digital Archives based in Spokane, Washington, is the nation's first archival facility dedicated specifically to the preservation of electronic records created by public agencies at both state and local levels. The facility, located on the campus of Eastern Washington University campus, was designed as a purpose-built digital repository, with custom designed web interfaces and database storage facilities.

## SECTION 3

# PERIODICAL PUBLICATIONS

Below are selected English-language periodical publications on records and archives management, electronic records management and information management and technology. See also the periodicals section of the UNESCO Archives Portal for detailed information about a range of journals related to records and archives management.

*American Archivist* (USA: <http://www.archivists.org/periodicals/aa-toc.asp>)

*Archifacts* (New Zealand:

<http://www.aranz.org.nz/Site/publications/archifacts/archifacts.aspx>)

*Archival Issues* (USA: <http://www.midwestarchives.org/archivalissues.asp>)

*Archival Science* (Netherlands: <http://www.springerlink.com/content/105703/>)

*Archivaria* (Canada: <http://archivists.ca/publications/archivaria.aspx>)

*Archives & Museum Informatics* (USA: <http://www.archimuse.com/>)

*Archives and Manuscripts* (Australia: <http://www.archivists.org.au/directory/80>)

*D-Lib Magazine* (USA: <http://www.dlib.org/>)

*ESARBICA Journal* (South Africa: [http://www.ajol.info/journal\\_index.php?jid=207](http://www.ajol.info/journal_index.php?jid=207))

*Flash* (France: <http://www.ica.org/en/node/38980>)

*Health Informatics Journal* (UK: <http://jhi.sagepub.com/>)

*Infonomics* (USA: <http://www.aiim.org/Edoc/Default.aspx>)

*InfoRMAA Quarterly* (Australia: <http://www.rmaa.com.au/docs/about/IQ/index.cfm>)

*Information and Management* (UK:

[http://www.elsevier.com/wps/find/journaldescription.cws\\_home/505553/description#description](http://www.elsevier.com/wps/find/journaldescription.cws_home/505553/description#description))

*Information Management Journal* (USA: <http://www.arma.org/imj/index.cfm>)

*Information Research* (Sweden: <http://informationr.net/ir/>)

*Intelligent Enterprise* (USA: <http://www.intelligententerprise.com/>)

*International Journal of Information Management & Technology* (UK:

<http://www.inderscience.com/browse/index.php?journalID=18>)

*International Journal of Information Management* (UK:

[http://www.elsevier.com/wps/find/journaldescription.cws\\_home/30434/description](http://www.elsevier.com/wps/find/journaldescription.cws_home/30434/description))

- Journal of the Society of Archivists* (UK: <http://www.archives.org.uk/publications/journalofthesocietyofarchivists.html>)
- Online Information Review* (New Zealand: <http://info.emeraldinsight.com/products/journals/journals.htm?id=oir>)
- Recordkeeping* (UK: <http://www.nationalarchives.gov.uk/services/recordkeeping.htm>)
- African Journal of Library, Archives and Information Science* (Nigeria: <http://www.ajol.info/journals/ajlais>)
- Records Management Journal* (UK: [http://www.aslib.co.uk/publications/ejournal\\_list/Records%20Management%20Journal.htm](http://www.aslib.co.uk/publications/ejournal_list/Records%20Management%20Journal.htm))
- Records Management society RMS Bulletin* (UK: <http://www.rms-gb.org.uk/rms-bulletin>)



# RECORDS, ARCHIVES AND INFORMATION STANDARDS AND GUIDELINES

## **International Standards and Guidelines**

### **International Council on Archives**

All ICA standards are available online at <http://www.ica.org/en/standards>.

ICA ISAD(G): *General International Standard Archival Description, Second Edition.*

ICA ISAAR(CPF): *International Standard Archival Authority Record for Corporate Bodies, Persons, and Families, Second Edition.*

ICA ISDF: *International Standard for Describing Functions.*

ICA ISDIAH: *International Standard for Describing Institutions with Archival Holdings.*

### **International Organization for Standards (ISO)**

All ISO standards are available for purchase at the ISO website at [http://www.iso.org/iso/iso\\_catalogue.htm](http://www.iso.org/iso/iso_catalogue.htm). Go to the catalogue and search for the standard by number or title.

ISO 15489: 2001: *Information and Documentation – Records Management.*

ISO 15836: 2003: *Information and Documentation – The Dublin Core Metadata Element Set.*

ISO 14721: 2003. *Space Data and Information Transfer Systems – Open Archival Information Systems – Reference Model.* (See also the link provided below under OAIS.)

ISO 19005-1: 2005. *Document Management – Electronic Document File Format for Long-term Preservation.*

ISO/IEC 26300: 2006. *Open Document Format for Office Applications.*

### **OAIS**

Consultative Committee on Space Data Systems. *Reference Model for an Open Archival Information System (OAIS): CCSDS 650.0-R1.1.* Washington, DC: CCSDS Secretariat. 2001. Available for download at <http://public.ccsds.org/publications/archive/650x0b1.pdf>.

## Australian Standards and Guidelines

AS 4390: *Records Management* (1996). Available for purchase at the Standards Australia service provider for distribution of standards:  
<http://infostore.saiglobal.com/store/>.

AS ISO 15489-2002, *Records Management* (2002). Available for purchase at the Standards Australia service provider for distribution of standards:  
<http://infostore.saiglobal.com/store/>.

For background on the Australian standard, see David Roberts, *The New Australian Records Management Standard*. Presentation to the National Association of Government Archives and Records Administrators (NAGARA), California, 1997. Available at <http://www.records.nsw.gov.au/publicsector/rk/sacramento/sacramento.htm>.

## European Standards and Guidelines

DLM Forum. *Model Requirements for the Management of Electronic Records (MoReq)*. 2001. More information is available at  
<http://www.cornwell.co.uk/edrm/moreq.asp>.

MoReq 2. *Model Requirements Specification for the Management of Electronic Records*. 2008. More information is available at <http://www.moreq2.eu/>.

## United Kingdom Standards and Guidelines

British Standards Association. BS DISC PD 0025-1:2002: *Effective Records Management. A Management Guide to the Value of BS ISO 15489-1*. Available for purchase at the BSA website at <http://www.standardsuk.com/>.

British Standards Association. BS DISC PD 0025-2:2002: *Effective Records Management. Practical Implementation of BS ISO 15489-1*. Available for purchase at the BSA website at <http://www.standardsuk.com/>.

British Standards Association. BS 4783:1 (1998): *Storage, Transportation and Maintenance of Media for Use in Data Processing and Information Storage*.

Part 1: *Recommendations for Disk Packs, Storage Modules and Disk Cartridges*.

Part 2: *Recommendations for Magnetic Tape on Open Spools*.

Part 3: *Recommendations for Flexible Disk Cartridges*.

Part 4: *Recommendations for Magnetic Tape Cartridges and Cassettes*.

Part 8: *Recommendations for 4mm and 8mm Helical Scan Tape Cartridges*.

All these standards are available for purchase at the BSA website at <http://www.standardsuk.com/>. Note that Parts 5, 6 and 7 have been withdrawn.

National Archives, UK. *Requirements for Electronic Records Management Systems*. 2002. (Contains multiple parts, including: functional requirements, metadata standard,

reference document, revised reference document, case management and workflow and implementation guidance, configuration and metadata issues.) Available for download at <http://www.nationalarchives.gov.uk/electronicrecords/reqs2002/>.

## **United States Standards and Guidelines**

Department of Defense. *DoD 5015.2. Design Criteria Standard for Electronic Records Management Software Applications*. 2007. This most recent iteration is available electronically at <http://jitc.fhu.disa.mil/recmgt/p50152stdapr07.pdf>.

## **Archival Codes of Ethics**

Association of Canadian Archivists. *Code of Ethics*. Available for download at the ACA official website at <http://archivists.ca/about/ethics.aspx>.

Australian Society of Archivists. *Code of Ethics*. Available for download at the ASA official website at <http://www.archivists.org.au/asa-code-ethics>.

International Council on Archives. *Code of Ethics for Archivists*. Available for download at the ICA official website at <http://www.ica.org/en/node/30046>.

Society of American Archivists. *Code of Ethics*. Available for download at the SAA official website at [http://www.archivists.org/governance/handbook/app\\_ethics.asp](http://www.archivists.org/governance/handbook/app_ethics.asp).

Society of Archivists (UK). *Code of Conduct*. Available for download at the SA official website at <http://www.archives.org.uk/membership/codeofconduct.html>.



## RECORDS AND ARCHIVES MANAGEMENT PUBLICATIONS

This section identifies major English-language publications related to records and archives management, regardless of the format or media of the records. Entries in this listing are organised in alphabetical order by author or by title if there is no author identified.

The information included here includes references originally identified in the *Additional Resources* tool published as part of the Management of Public Sector Records Programme in 1999 and originally made available on the IRMT website at [www.irmt.org](http://www.irmt.org). The present bibliography expands on that MPSR tool and includes references relevant to the topics discussed in the Training in Electronic Records Management (TERM) Programme. This new *Additional Resources* document is intended to supersede the previous IRMT publication.

Information in this section is organised by topic or type of publication, as follows:

- Glossaries
- Fundamentals of records and archives management
- Management and planning issues
- Current records management
- Business systems analysis and business process re-engineering
- Classification, retention, appraisal and disposal
- Archives management
- Preservation and emergency planning
- Managing records from specific sectors (financial, hospital and medical, legal, personnel).

If necessary, topics have been subdivided into categories to address specific issues. Naturally, some publications might relate to more than one subject; in such instances the entry has usually been included under the most logical topic; in rare instances a publication is included twice. Because many publications may relate to more than one topic, users are encouraged to read all entries carefully to identify as much useful information as possible. General publications are included under the *Fundamentals of Records and Archives Management* section.

As a general rule, only monograph publications such as books or reports are included here. References to journal articles or short readings are not included unless they are

particularly significant. A small number of older publications are included (that is, pre-1990 or so), if they are considered ‘classics’ in the field, but the focus is on more recent sources of information, from the last ten to fifteen years.

Given the unique issues associated with electronic records management, publications and resources specifically addressing electronic records issues are identified separately in the next section. This separation is not intended to suggest that the management of records differs depending on medium or format; however, the vast quantity of publications demands some division of information into logical categories for easier access and use by readers of this tool.

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## ELECTRONIC RECORDS PUBLICATIONS

As noted in the previous section, the unique issues associated with electronic records management requires that publications and resources specifically addressing electronic records issues should be identified separately from publications related to broader, non-media specific records and archives care in the broader. As noted, this separation is not intended to imply that electronic records management ought to be considered unique or different from other types of records management. However, making sense of the tremendous volume of publications requires that the topics be divided for ease of access.

This section identifies major English-language publications related to electronic records management. Entries are organised in alphabetical order by author or by title if there is no author identified.

The information included here includes references originally identified in the *Additional Resources* tool published as part of the Management of Public Sector Records Programme in 1999 and originally made available on the IRMT website at [www.irmt.org](http://www.irmt.org). The present bibliography expands on that MPSR tool and includes references relevant to the topics discussed in the Training in Electronic Records Management (TERM) Programme. This new *Additional Resources* document is intended to supersede the previous IRMT publication.

Information in this section is organized by topic or type of publication, as follows:

- General electronic records management
- Planning and managing an ERM programme
- Preservation
- Trusted digital repositories
- Websites related to trusted digital repositories
- Metadata management
- Metadata schemas
- Characterisation and normalisation software.

## General Electronic Records Management

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## **Websites Related to Trusted Digital Repositories**

### **Australia**

National Archives of Australia. Official website: <http://www.naa.gov.au/>.

### **United Kingdom**

National Archives. Official website: <http://www.nationalarchives.gov.uk/>.



## United States

Cornell University Digital Archives. Official website:

<http://dlxs2.library.cornell.edu/c/cuda/>.

Florida Digital Archives . Official website: <http://www.fcla.edu/digitalArchive/>.

National Archives and Records Administration. Official website:

<http://www.archives.gov/>.

Online Computer Library Center (OCLC). Official website: <http://www.oclc.org/>.

San Diego Super Computer. Official website: <http://www.sdsc.edu/>.

Washington State Archives. Official website:

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## Metadata Schemas

**Dublin Core** Metadata Initiative official website: <http://dublincore.org/>.

**Government of Canada** Records Management Metadata Standard official website:

<http://www.collectionscanada.gc.ca/government/products-services/007002-5001-e.html>.

**MARC** (MACHine Readable Cataloguing) Standard official website:

<http://www.loc.gov/marc/>.

**PADI** (Preserving Access to Digital Information – National Library of Australia) official website: <http://www.nla.gov.au/padi/topics/32.html>.

**PANDORA** (Preserving and Accessing Networked Documentary Resources of Australia) official website: <http://pandora.nla.gov.au/about.html>.

**PREMIS** (PREservation Metadata Implementation Strategies) official website: <http://www.oclc.org/research/projects/pmwg/>.

## **Characterisation and Normalisation Software**

### **DROID and PRONOM**

Official website: <http://droid.sourceforge.net/wiki/index.php/Introduction>.

Official website: <http://www.nationalarchives.gov.uk/pronom>.

### **Global Digital Format Registry**

Official website: <http://hul.harvard.edu/gdfr/>.

### **Jacksum**

Official website: <http://www.jonelo.de/java/jacksum/index.html>.

### **JHOVE**

Official website: <http://hul.harvard.edu/jhove/>.

### **NLNZ Metadata Extractor**

Official website: <http://meta-extractor.sourceforge.net/>.

### **Planets**

Official website: <http://www.planets-project.eu/>.

### **Normalisation Software**

#### **METS**

Official website: <http://www.loc.gov/standards/mets/>.

#### **OpenOffice**

Official website: <http://www.openoffice.org/>.

#### **PDF/A**

Official website: <http://www.digitalpreservation.gov/formats/fdd/fdd000125.shtml>.

#### **XENA**

Official website: <http://xena.sourceforge.net/>.

**Digital Repository Software**

**CERN** Advanced Storage Manager (CASTOR)

Official website: <http://castor.web.cern.ch/castor/>.

**CONTENTdm**

Official website: <http://www.contentdm.com/>.

**DAITSS**

Official website: <http://www.fcla.edu/digitalArchive/index.htm>.

**DSpace**

Official website: <http://www.dspace.org>.

**EPrints**

Official website: [www.eprints.org/](http://www.eprints.org/).

**Fedora**

Official website: <http://www.fedora.info>.

**Greenstone**

Official website: <http://www.greenstone.org/>.

**LOCKSS**

Official website: <http://www.lockss.org/lockss/Home>.

**SRB:** DICE Storage Resource Broker

Official website: <http://www.sdsc.edu/srb/>.



## WEBSITES, LISTSERVS, WIKIS AND BLOGS

This section lists some useful websites and listservs on records, archives and related topics as well as a handful of wikis and web logs (blogs) that have emerged in recent years on records and archives issues. This list is far from complete and the world of web-based information exchange is constantly changing, so readers are advised to keep researching new avenues for sharing information and ideas.

### Websites

The following websites contain useful information about archives and records issues.

**Archival Solidarity** is a project of the International Council on Archives (ICA) that aims to co-ordinate efforts in the international archives community to carry out foreign assistance projects to develop tools and expertise for developing communities and communities in transition. Go to <http://archives3.concordia.ca/Solidarity/default.html>.

**Archives and Human Rights** hosted by UNESCO, this site contains the newsletter of the ICA Working Group on archives and human rights. Go to <http://www.unesco.org/archives/hrgnews/>.

**Canadian Archival Resources on the Internet** was created and maintained by Cheryl Avery, University of Saskatchewan Archives and Steve Billinton. The site is a model for those wishing to set up a comprehensive directory of sites. Especially valuable are its links to other international gateways. Go to <http://www.usask.ca/archives/menu.html>.

**Canadian Heritage Information Network (CHIN)** is a comprehensive organisation with a number of publications and reports of interest to record-keeping professionals. Go to <http://www.chin.gc.ca/English/index.html>.

**Collections Link** is a collaboration of more than 20 national professional groups, bodies and associations who are responsible for providing advice and support to museums, archives, libraries and other collections-holding organisations in the UK. The site holds useful resources for collections management, and archival conservation and preservation. Go to <http://www.collectionslink.org.uk/>.

**Open Society Archives** is an archives and centre for research and documentation based at the Central European University, Hungary. Its collections and activities relate to the period after the *Second World War*, mainly *The Cold War*, *The history of the formerly communist countries*, *Human rights*, and *War crimes*. Go to <http://www.osa.ceu.hu/>.

**Ready, 'Net, GO! Archival Internet Resources** is an American-based website that is especially good for explaining searching tools and strategies for exploring the Internet. Go to <http://www.tulane.edu/~lmiller/ArchivesResources.html>.

**Records and Information Management Resources on the Internet** was originally developed and maintained by Alan S. Zaben as a service to records professionals. It sits on the ARMA Rio Grande Chapter site and has an extensive list of sites and sources for records managers and archivists. The site is no longer being updated but still contains useful information. Go to <http://www.irmstrategies.com/links/rmrl.html>.

**State University of New York at Albany, Center for Technology in Government** includes important papers on record-keeping issues. Go to <http://www.ctg.albany.edu/>.

## Listservs

'Listservs' are informal electronic discussion groups conducted through electronic mail. The following listservs deal with records and archives issues.

### **ACARM Listserv (Commonwealth)**

Web address: [http://www.acarm.org/contacts\\_list.shtml](http://www.acarm.org/contacts_list.shtml).

### **Archives and Archivists Listserv (United States)**

Web address: [http://www.archivists.org/listservs/arch\\_listserv\\_terms.asp](http://www.archivists.org/listservs/arch_listserv_terms.asp).

### **Archon Listserv (United States)**

Web address: [http://archon.org/mailman/listinfo/archon\\_archon.org](http://archon.org/mailman/listinfo/archon_archon.org).

### **Aus-Archivists Listserv (Australia)**

Web address: <http://lists.archivists.org.au/cgi-bin/mailman/listinfo/aus-archivists>.

### **Electronic Records Listserv (United States)**

Web address: <http://www.arma.org/erecords/listserv.cfm>.

### **International Council on Archives Listserv (International)**

Web address: <http://www.mailman.srv.ualberta.ca/mailman/listinfo/ica-l>.

### **NZR Listserv (New Zealand)**

Web address: <http://www.aranz.org.nz/SITE/links/default.aspx#52030-8>.

### **Padiforum Listserv (Australian digital preservation and access)**

Web address: <http://www.nla.gov.au/padi/forum/>.

### **Records Management Listserv (United States)**

Web address: <http://lists.ufl.edu/cgi-bin/wa?S1=recmgmt-l>.

### **RMAA Listserv (Australian records management)**

Web address: [http://lyris.rmaa.com.au/lyris.pl?join=rmaa\\_list](http://lyris.rmaa.com.au/lyris.pl?join=rmaa_list).

## Archives Wikis and Blogs

### ACERM

A blog on electronic records management. ACERM stands for Accelerating Positive Change in Electronic Records Management. See <http://acerm.blogspot.com/>.

### ADAPT

ADAPT stands for An Approach to Digital Archiving and Preservation Technology; this virtual association works on various projects to develop technologies for building scalable and reliable infrastructures for the long-term preservation of and access to digital assets. Recent papers and presentations of interest from 2007 can be found as follows:

- PAWN: a Policy-Driven Software Environment for Implementing Producer-Archive Interactions in Support of Long Term Digital Preservation: see the paper at <https://wiki.umiacs.umd.edu/adapt/images/e/ea/Pawn-archiving07-uploaded.pdf>.
- The Use of the Producer-Archive Workflow Network (PAWN) in Support of Customized Archival Practice: see the paper at <https://wiki.umiacs.umd.edu/adapt/images/7/7f/Digccurr07-paper-final.pdf>.
- A paper on the long term management of Long Term Sustainment of Digital Information for Science and Engineering: see the PowerPoint presentation at <https://wiki.umiacs.umd.edu/adapt/images/8/89/ADAPT-NIST-04-07.ppt>.

To access the ADAPT home page, go to [https://wiki.umiacs.umd.edu/adapt/index.php/Main\\_Page](https://wiki.umiacs.umd.edu/adapt/index.php/Main_Page).

### ArchivesBlogs

A syndicated collection of blogs by and for archivists. See <http://archivesblogs.com/>.

### Archives Hub Blog

A blog maintained by the staff of Archives Hub, the access point for descriptions of archives in UK repositories. See <http://www.archiveshub.ac.uk/blog/>.

### The Industrial Librarian

A collection of blogs on records management issues managed by Dave Hook, a Canadian corporate librarian. See <http://davehook.blogspot.com/2006/02/records-management-blogs.html>.

### Reading Archives

A blog maintained by Richard Cox of the United States. See <http://readingarchives.blogspot.com/>.

### Record Management Futurewatch

A blog maintained by Steve Bailey. See <http://www.rmfuturewatch.blogspot.com/>.







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