

Practical Benefits from Information and Records Management Standards

Betsy Fanning
Director, Standards and Member Services, AIIM

Agenda

- ▶ AIIM
- ▶ Standards Overview
- ▶ Key Information Standards
- ▶ Implementing Standards
- ▶ Call to Action

Who are we?

AllIM is the community focused on providing education, research, and best practices to help organizations find, control, and optimize their information for maximum value.

Membership Value Program Focused On

Market Education:

Events and information services that help users specify, select, and deploy ECM solutions to solve organizational problems.

Professional Development:

Education and training for ECM professionals.

Peer Networking:

Through chapters, networking groups, programs, partnerships and the web, create opportunities that allow users, suppliers, consultants and the channel to engage and connect with one another.

Industry Advocacy:

The voice of the ECM industry in key standards organizations, with the media, and with government decision-makers.

AIIM Standards Involvement

- ANSI Accredited Standards Development Organization
- Open Source Standards – DMWare
- ISO Secretariat (on behalf of ANSI)
 - ISO/TC 171 – Document Management Applications
http://www.iso.org/iso/standards_development/technical_committees/list_of_iso_technical_committees/iso_technical_committee.htm?commid=53650
 - ISO/TC 171/SC2 – Document Management Applications – Application Issues
http://www.iso.org/iso/standards_development/technical_committees/list_of_iso_technical_committees/iso_technical_committee.htm?commid=53674
- TC 171 Member Countries (15) including:
 - Australia
 - France
 - Germany
 - Japan
 - Spain
 - Sweden
 - United Kingdom

Types of Standards

- ▶ Formal de jure
 - ANSI, ISO, ITU, IEC, JTC1
- ▶ De Facto or market standards
 - Microsoft Windows
 - TIFF and PDF
 - JAVA
- ▶ Internet Standardization
 - IETF and W3C
- ▶ Coalitions & Consortiums
 - OASIS, OMG, WfMC and others

“A standard is Something That Ships in Volume” – Bill Joy of Sun Microsystems

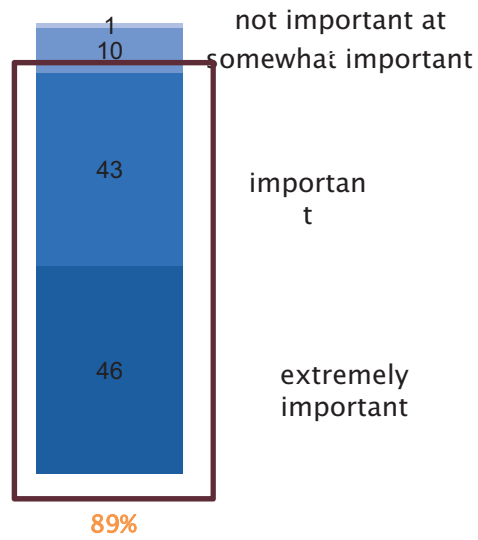
Standards Development

- ▶ Process based in procedures
- ▶ Openness
- ▶ Due process
- ▶ Voluntary



Non-AIIM

How important is the effective management of electronic information to the long-term success of your organization?

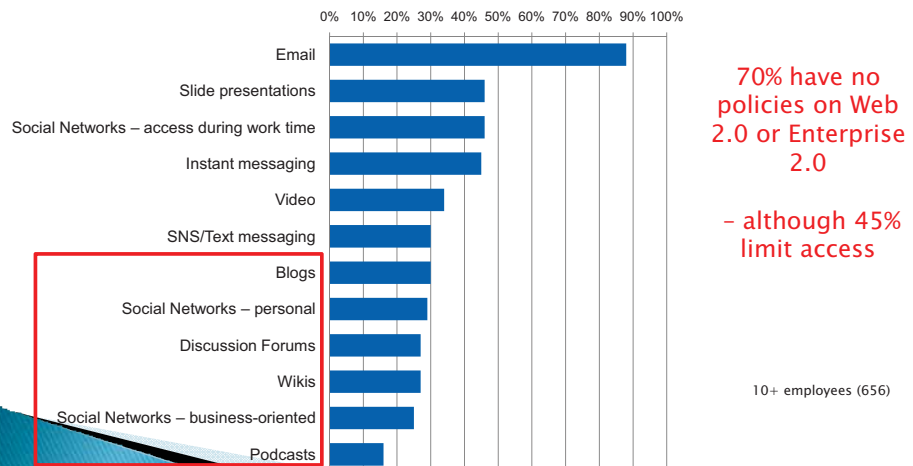


It's not if, but when to Implement E2.0 Technologies



The more “exotic”, the less it is controlled

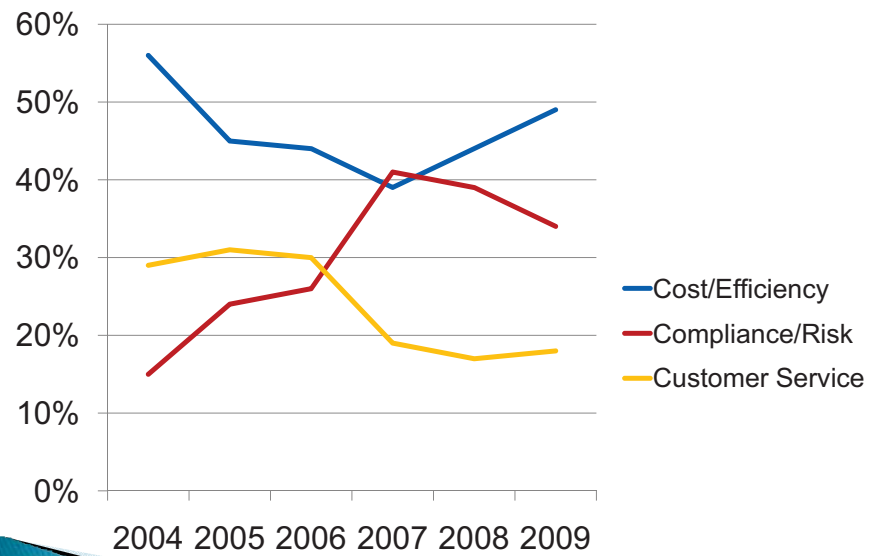
Does your organization have a specific policy or guidance on the USAGE and/or CONTENT of the following technologies?



Top 3 Projects in 2008

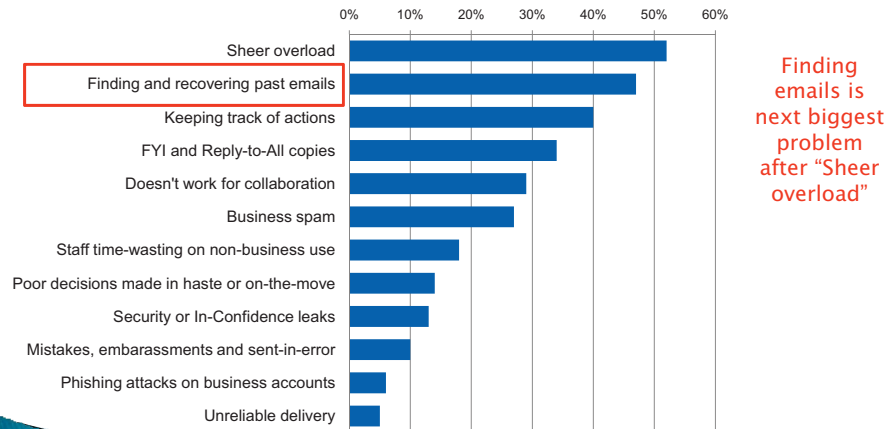
- ▶ Document Control
- ▶ Records Management/Archiving
- ▶ E-mail Management

Business Driver in 2009



Email in the business

Which THREE of the following would you say are the biggest problems generally with email as a business tool?



General Standards

- ▶ ISO 15489, *Information and documentation – Records management*
 - Provides guidance on managing records¹⁾ of originating organizations, public or private, for internal and external clients.
- ▶ ISO 15801, *Information stored electronically – Recommendations for trustworthiness and reliability*
 - Describes the implementation and operation of document management systems that can be considered to store electronic information in a trustworthy and reliable manner
- ▶ ISO/TR 14105, *Human and organizational issues for successful electronic image management (EIM) implementation*
 - Focuses on the cognitive, physical, organizational, and human factors as they apply to usability criteria for Electronic Document Management Systems (EDMS) development, selection, and implementation

General Standards

- ▶ ISO/DIS 10244, *Document management – Business process/workflow baselining and analysis*
 - Specifies the detailed information associated with the activities organizations perform when documenting existing work or business processes (business process baselining), defining the level of information required to be gathered, methods of documenting the processes, and the procedures used when evaluating or analyzing the work or business processes
- ▶ ANSI/AIIM TR2, *Glossary of Document Technologies*
- ▶ ISO TR 18492, *Long-term preservation of electronic document-based information*
 - provides practical methodological guidance for the long-term preservation and retrieval of authentic electronic document-based information, when the retention period exceeds the expected life of the technology (hardware and software) used to create and maintain the information
- ▶ ANSI/AIIM TR31–2004, *Legal Acceptance of Records Produced by Information Technology Systems*

Metadata Standards

- ▶ ISO 15836, Information and documentation – The Dublin Core metadata element set
 - ANSI/NISO Z39.85, The Dublin Core Metadata Element Set
- ▶ ISO/PDTR 11864, Document management – Guidelines for the creation of a metadata crosswalk system
- ▶ ISO 2788, Documentation – Guidelines for the establishment and development of monolingual thesauri
- ▶ ISO 5964, Documentation – Guidelines for the establishment and development of multilingual thesauri

PDF Standards

- ▶ PDF/A (Archive), ISO 19005-1
 - Specifies how to use the Portable Document Format (PDF) for long-term preservation of electronic documents. It is applicable to documents containing combinations of character, raster, and vector data
- ▶ PDF/E (Engineering), ISO 24517-1
 - Specifies the use of the Portable Document Format (PDF) for the creation of documents used in engineering workflows and architectural and GIS documents
- ▶ PDF/UA (Universal Access), ISO/CD 14289
 - Specifies how to use the Portable Document Format (PDF) to produce electronic documents which are accessible to address Section 508 concerns
- ▶ PDF Healthcare
 - Describes the features and functions of the proposed, voluntary, and industry-wide use of the Portable Document Format (PDF) for the healthcare industry (Exchange of electronic health records)

PDF Standards

- ▶ PDF, ISO 32000-1
 - Specifies a digital form for representing electronic documents to enable users to exchange and view electronic documents independent of the environment in which they were created or the environment in which they are viewed or printed
- ▶ PDF/VT, ISO 16612 (various parts)
 - Enables those involved in variable data printing to take advantage of tools, conventions and technologies already in use
- ▶ PDF/X, ISO 15930 (various parts)
 - Specifies the use of the Portable Document Format (PDF) for the dissemination of complete digital data, in a single exchange, that contains all elements ready for final print reproduction
- ▶ PRC, ISO/WD 14739-1
 - Describes Version 1 of a product representation compact (PRC) file format for three dimensional (3D) content data

XML Standards

- ▶ ANSI/AIIM 21, Recommended Practice – Strategy Markup Language – Part 1: StratML Core
 - Specifies an Extensible Markup Language (XML) vocabulary and schema (XSD) for the elements that are common and considered to be part of the essential core of the strategic plans of all organizations worldwide
- ▶ ebXML
 - Specifies a modular suite of specifications that enables enterprises of any size and in any geographical location to conduct business over the Internet

Implementation Guidelines – ARP1

- ▶ Presents set of procedures and activities to implement a document management system
- ▶ Provides overview of document management and related technologies
- ▶ Identifies specific standards to be followed
- ▶ Provides document management project management guidance
- ▶ FREE on AIIM Web site <http://www.aiim.org/standards> AIIM ARP-1



ERM Standards

- ▶ ANSI/AIIM/ARMA TR48, Framework for the Integration of Electronic Document Management Systems and Electronic Records Management Systems
 - Presents a framework for the integration of Electronic Document Management Systems (EDMS) and Electronic Records Management Systems (ERMS)
- ▶ DoD 5015.2, Design Criteria Standard for Electronic Records Management Software Applications
 - Provides implementation and procedural guidance on the management of records
- ▶ MoREQ2, Model Requirements for the Management of Electronic Records
 - Provides guidance in the acquisition of records management applications
- ▶ VERS, Victoria Electronic Records Standard
 - Promotes accurate, reliable and authentic electronic records, supporting open and accountable Government and preserving digital heritage

Why Standards?

- ▶ Promote interchangeability of products
- ▶ Increase compatibility and interoperability among products
- ▶ Offer investment protection
- ▶ Make global expansion possible
- ▶ Reduce the cost of writing product-specific interfaces

“Proprietary Standards-based products are more Expensive to Buy and Maintain”

Why to end users need standards?

- ▶ Ensure better success rate and longer system life
- ▶ Protect vital corporate records and technology investment through interchangeability
- ▶ Reduce risks
- ▶ Promotes ease of implementation and maintenance of systems
- ▶ Promotes interoperability and information sharing



Why do vendors need Standards?

- ▶ Promote interchangeability of products
- ▶ Improve performance, increase sales, and grow profits
- ▶ Expand markets through better interoperability and increased credibility
- ▶ Gain competitive advantage
- ▶ Reduce the cost of writing product-specific interfaces



Implementing standards in an organization is like any project...

- ▶ Form a committee
- ▶ Determine the goals
- ▶ Research and gather data
 - Read Case law
 - Investigate current product offerings and installed architecture
 - Explore Case studies
 - Understand your organization's goals
 - Determine the end result of using standards



Requirements Analysis

- ▶ Determine the items suitable for standardization
- ▶ Understand the current environment
 - What standards are in use today
 - How does the organization work
- ▶ Learn all that you can



Implementation Criteria

- ▶ Maturity of Definition
 - investigate the version or revision of the standard
- ▶ Adoption
 - popular because they were widely accepted or adopted
- ▶ Endurance
 - how long the standard has been available
- ▶ Needs
 - Understand what the organization needs and relate it to the overall strategy

Standards Strategy

- ▶ Review current standards in use
- ▶ Identify standards needed
- ▶ Review organizational standards
- ▶ Identify specific organizational standards that are needed
- ▶ Create or participate in the development of standards if they do not exist
- ▶ Develop best practices as a first step

Call to Action

- ▶ Get Involved in a standards committee
- ▶ Join AIIM
- ▶ AIIM Standards Web pages www.aiim.org/standards
- ▶ AIIM Standards Blog
- ▶ Download AIIM ARP-1: 2009 <http://www.aiim.org/standards>
- ▶ AIIM Standards on Facebook, Twitter, and LinkedIn
- ▶ Learn about standards – PDF/A, Seminar March 26 at Doubletree Washington Hotel

Email - bfanning@aiim.org
Phone - 1.301.755.2682