# SERI Bibliography

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*This bibliography, which was created by the SERI Education Subcommittee in 2013 and revised by the SERI Education and Programming Subcommittee in 2019, identifies resources that may be of interest to state government archivists seeking to create or expand electronic records management and digital preservation programs.*

## Introductory Resources

- Bishoff, Liz, and Erin Rhodes. "Planning for Digital Preservation: A Self-Assessment Tool." Andover, Mass.: Northeast Document Conservation Center, n.d.
- Digital Preservation Management: Implementing Short-Term Strategies for Long-Term Solutions, online tutorial developed for the Digital Preservation Management workshop, developed and maintained by Cornell University Library, 2003-2006; extended and maintained by ICPSR, 2007-2012; and now extended and maintained by MIT Libraries, 2012-on.
- Franks, Patricia C. *Records and Information Management*. 2d. ed. Chicago: American Library Association, 2018.
- Kenney, Anne R. and Nancy Y. McGovern. "The Five Organizational Stages of Digital Preservation." In *Digital Libraries: A Vision for the Twenty-first Century, a Festschrift to Honor Wendy Lougee on the Occasion of Her Departure from the University of Michigan*, ed. Patricia Hodges, Mark Sandler, Maria Bonn and John Price Wilkin. SPO Scholarly Monograph Series. Ann Arbor: University of Michigan Scholarly Publishing Office, 2003.
- National Digital Stewardship Alliance. "Levels of Preservation." 2013. Note: A new version of this document will be released in 2019.
- Megan Phillips et al. "The NDSA Levels of Digital Preservation: An Explanation and Uses." In *Archiving 2013: Proceedings of the Archiving (IS&T) Conference*. Washington, DC: Society for Imaging Science and Technology, 2013.
- Pearce-Moses, Richard, and Susan E. Davis, eds. *New Skills for a Digital Era*. Chicago: Society of American Archivists, 2008.
- Purcell, Aaron, ed. *The Digital Archives Handbook: A Guide to Creation, Preservation, and Management*. Lanham, Md.: Rowman and Littlefield, 2019. Note: paperbound, hardbound, and electronic editions of this book are available for purchase from the publisher.

## Open Archival Information System Reference Model

- Consultative Committee on Space Data Systems. *Reference Model for an Open Archival Information System*. Recommended Practice, Issue 2. CCSDS 650.0-M-2. Washington, DC: CCSDS Secretariat, 2012.

- Lavoie, Brian F. *The Open Archival Information System Reference Model: Introductory Guide*. DPC Technology Watch Report 04-01. Dublin, Ohio: OCLC and Digital Preservation Coalition, 2004.

# Policies and Strategies

## Costs and Funding Sources

- Blue Ribbon Task Force on Sustainable Digital Preservation and Access. *Sustaining the Digital Investment: Issues and Challenges of Economically Sustainable Digital Preservation*. [Washington, D.C.]: Blue Ribbon Task Force on Sustainable Digital Preservation and Access, 2008.
- Blue Ribbon Task Force on Sustainable Digital Preservation and Access. *Sustainable Economics for a Digital Planet: Ensuring Long-Term Access to Digital Information*. [Washington, D.C.]: Blue Ribbon Task Force on Sustainable Digital Preservation and Access, 2010.
- Kastellec, Mike. "Practical Limits to the Scope of Digital Preservation." *Information Technology and Libraries*. 31, no. 2 (2012): 63-71.

## Repository Certification and Organizational Assessments

- Center for Research Libraries, OCLC, and United States National Archives and Records Administration. *Trustworthy Repositories Audit and Certification: Criteria and Checklist*. Chicago: Center for Research Libraries, 2007.
- Consultative Committee for Space Data Systems. *Audit and Certification of Trustworthy Digital Repositories*. Recommended Practice. CCSDS 652.0-M-1. Washington, D.C.: Consultative Committee for Space Data Systems, 2012.
- Digital Curation Centre and Digital Preservation Europe. *DCC and DPE Digital Repository Audit Method Based on Risk Assessment*. [DRAMBORA]. Version 1.0. Last modified 1 February 2008.
- ISO. *Space Data and Information Transfer Systems -- Audit and Certification of Trustworthy Digital Repositories*. ISO 16363: 2012.    Note: This standard may be purchased from ISO.

## Policy Development

- Council of State Archivists. *Digital Preservation Policy Development* [webinar slides and policy review checklist]. September 2013.
- Council of State Archivists. Digital Preservation Policies: Building a Framework [webinar slides]. April 2014.
- Northeast Document Conservation Center. "Digital Preservation Policy Template." Andover, Mass.: Northeast Document Conservation Center, n.d.

## Working with Service Providers
- Reilly, Bernard. "Planning for Digital Preservation: 20 Questions for Providers of Digital Storage Services." Andover, Mass.: Northeast Document Conservation Center, 2007.

# Electronic Records Management

- Cunningham, Adrian. "Digital Curation/Digital Archiving: A View from the National Archives of Australia." *American Archivist* Vol. 71, No. 2 (Fall-Winter 2008): 530-43.
- Cunningham, Adrian. "Good Digital Records Don't Just "Happen": Embedding Digital Recordkeeping as an Organic Component of Business Processes and Systems." *Archivaria* 71 (Spring 2011): 21–34.
- Gilliland, Anne J. and Sue McKemmish. "Recordkeeping Metadata, the Archival Multiverse, and Societal Grand Challenges." *International Conference on Dublin Core and Metadata Applications, 2012*.
- Guercio, Mario. "Principles, Methods, and Instruments for the Creation, Preservation, and Use of Archival Records in the Digital Environment." *American Archivist* 64 (Fall-Winter 2001): 238-69.
- Kunde, Nancy. "Getting It Done—Collaboration and Development of the Digital Records Conversion Standard." *American Archivist* Vol. 72, No. 1 (Spring-Summer 2009): 146-169.
- North Carolina. Dept. of Cultural Resources. "Digital Preservation Education for NC State Employees."
- United States. Department of Defense. *Design Criteria for Electronic Records Management Software Applications*. Washington, D.C.: Department of Defense, 2007. (DOD 5015.2-std.) Note: This standard, commonly known as DOD 5015.2, sets forth mandatory and optional baseline functional requirements for [federal] records management application software.
- United States. National Archives and Records Administration. "Electronic Records Management Initiative."
- United States. National Archives and Records Administration. "Toolkit for Managing Electronic Records."

# Acquisition

- Consultative Committee for Space Data Systems. *Producer-Archive Interface Methodology Abstract Standard*. Recommendation. Issue 1. CCSDS 651.0-M-1. Washington, DC: CCSDS Secretariat, 2004.
- Duranti, Luciana. "From Digital Diplomatics to Digital Records Forensics." *Archivaria* 68 (Fall 2009): 39–66.
- Kirschenbaum, Matthew G., Richard Ovenden, and Gabriela Redwine. *Digital Forensics and Born-Digital Content in Cultural Heritage Collections*. Washington, D.C.: Council on Library and Information Resources, 2010.
- Xie, Sherry L. "Building Foundations for Digital Records Forensics: A Comparative Study of the Concept of Reproduction in Digital Records Management and Digital Forensics." *American Archivist* Vol. 74, No. 2 (Fall-Winter 2011): 576-99.

# Preservation

## Processing

Erway, Ricky. *You've Got to Walk Before You Can Run: First Steps for Managing Born-Digital Content Received on Physical Media*. Dublin Ohio: OCLC Research, 2012. https://www.oclc.org/content/dam/research/publications/library/2012/2012-06.pdf


Faulder, Erin, et al. *Digital Processing Framework*. August 2018. https://ecommons.cornell.edu/handle/1813/57659


## Open Standards and File Formats

- Arms, Caroline, and Fleischhauer, C. "Digital Formats: Factors for Sustainability, Functionality, and Quality." In *Archiving 2005: Proceedings of the Archiving (IS&T) Conference*. Washington, DC: Society for Imaging Science and Technology, 2006.
- Brown, Adrian. *Selecting File Formats for Long-Term Preservation*. Digital Preservation Guidance Note 1. Kew: National Archives [United Kingdom]: 2008.
- CENDI Digital Preservation Task Group. *Formats for Digital Preservation: A Review of Alternatives and Issues*. CENDI 2006-1. [Washington, D.C.]: CENDI, 2007.
- Corrado, Edward M. "The Importance of Open Access, Open Source, and Open Standards for Libraries." *Issues in Science and Technology Librarianship* no. 42(Spring 2005).
- Park, Eun G. and Oh Sam. "Examining Attributes of Open Standard File Formats for Long-term Preservation and Open Access." *Information Technology and Libraries* 31 (December 2012): 44-65.
- PDF Association. *PDF/A in a Nutshell 2.0: PDF for Long Term Archiving*. Berlin: Association for Digital Document Standards, 2013.
- Prom, Christopher J. *Preserving E-mail*. DPC Technology Watch Report 11-01. [Heslington, U.K.]: Digital Preservation Coalition, 2011.
- Rog, Judith, and Caroline van Wijk. "Evaluating File Formats for Long-Term Preservation." *New Technology of Library and Information Service* (2007): 83-90.
- Sullivan, Susan J. "An Archival/Records Management Perspective on PDF/A." *Records Management Journal* 16, no.1 (2006): 51-56.

## Web Archiving

- Bragg, Molly and Kristine Hanna. "The Web Archiving Life Cycle Model." [San Francisco]: Internet Archive, 2013.
- Crymble, Adam. "An Analysis of Twitter and Facebook Use by the Archival Community." *Archivaria* 70 (Fall 2010): 125–51.
- Kahle, Brewster. "Universal Access to All Knowledge." *American Archivist* 70 (Spring-Summer 2007): 23-31.
- Pearce-Moses, Richard. "Janus in Cyberspace: Archives on the Threshold of the Digital Era." *American Archivist* 70 (Spring-Summer 2007): 13-22.

## Archival Storage

- Brown, Adrian. *Selecting Storage Media for Long-Term Preservation*. Digital Preservation Guidance Note 2. Kew: National Archives [United Kingdom], 2008.

## Metadata

- Caplan, Priscilla. *Understanding PREMIS*. Washington, D.C.: Library of Congress Network Development and MARC Standards Office, 2009.
- Evans, Joanne and Nadav Rouche. "Utilizing Systems Development Methods in Archival Systems Research: Building a Metadata Schema Registry." *Archival Science* 4(3-4) (2004): 315-334.  Note: Electronic copies of this article may be purchased from Springer and other commercial services.
- Evans, Joanne, Sue McKemmish and Karuna Bhoday. "Create Once, Use Many Times: The Clever Use of Recordkeeping Metadata for Multiple Archival Purposes." *Archival Science* 5(1) (2005): 17-42.  Note: Electronic copies of this article may be purchased from Springer and other commercial services.
- Fear, Kathleen. "User Understanding of Metadata in Digital Image Collections: Or, What Exactly Do You Mean by 'Coverage'?" *American Archivist* 73 (Spring-Summer 2010): 26-60.
- ISO. *Geographic Information—Metadata*. ISO 19115:2003.   This standard "defines the schema required for describing geographic information and services. It provides information about the identification, the extent, the quality, the spatial and temporal schema, spatial reference, and distribution of digital geographic data."   This standard may be purchased from ISO.
- Library of Congress: "ALTO: Technical Metadata for Optical Character Recognition."   **ALTO** (Analyzed Layout and Text Object) is a XML schema for technical metadata describing the layout and content of physical text resources, such as pages of a book or a newspaper. It most commonly serves as an extension schema used within the Metadata Encoding and Transmission Schema (METS) administrative metadata section. However, it can also be used independently.
- Library of Congress. "AudioMD and VideoMD: Technical Metadata for Audio and Video."   *These XML schemas* detail technical metadata for audio- and video-based digital objects. They often serve as extension schemas within the Metadata Encoding and Transmission Standard (METS) administrative metadata section or in the PREMIS element. They are also suitable for use as standalone metadata documents or may be considered for incorporation into other metadata schemas.
- Library of Congress. "MADS: Metadata Authority Descriptive Schema."  MADS is an XML schema that may be used to provide metadata about agents (people, organizations), events, and terms (topics, geographics, genres, etc.). It is a companion to the Metadata Object Description Schema (MODS).
- Library of Congress. "METS: Metadata Encoding and Transmission Standard."  The METS schema is a standard for encoding descriptive, administrative, and structural metadata concerning electronic records and other digital objects.
- Library of Congress. "MIX: NISO Metadata for Images in XML Schema."  The Library of Congress' Network Development and MARC Standards Office, in partnership with the NISO Technical Metadata for Digital Still Images Standards Committee and other interested experts, is developing an XML schema for a set of technical data elements required to manage digital image collections.

- Library of Congress. "MODS: Metadata Objects Descriptive Standards."  MODS is an XML schema for a bibliographic element set that may be used for a variety of purposes. It is fuller than Dublin Core and simpler and more user-friendly than MARC.
- Library of Congress. "PREMIS: Preservation Metadata Maintenance Activity."   Preservation Metadata: Implementation Strategies (PREMIS) is the international standard for metadata needed to support the long-term preservation and usability of electronic records and other digital objects.
- Library of Congress. "TextMD: Technical Metadata for Text."   This XML schema details technical metadata for text-based digital objects. It is most commonly used within the Metadata Encoding and Transmission Schema (METS) administrative metadata section, but can also stand alone or incorporated into the PREMIS element .
- Library of Congress. "VRA Core: A Data Standard for the Description of Images and Works of Art and Culture."  This XML schema is a data standard for the description of works of visual culture as well as the images that document them.
- National Information Standards Organization. *Understanding Metadata*. Bethesda, Md.: National Information Standards Organization, 2004. Note: the 2004 edition of this publication is no longer accessible via NISO's website, which now includes a less detailed 2017 revision, but an archived copy is available via the Internet Archive.
- Park, Jung-ran, and Yuji Tosaka. "Metadata Creation Practices in Digital Repositories and Collections: Schemata, Selection Criteria, and Interoperability." *Information Technology and Libraries* 29 (September 2010): 104-16.
- OCLC/RLG Working Group on Preservation Metadata. *Preservation Metadata and the OAIS Information Model: A Metadata Framework to Support the Preservation of Digital Objects*. Dublin, Ohio: OCLC, 2002.
- Sternfeld, Joshua. "Archival Theory and Digital Historiography: Selection, Search, and Metadata as Archival Processes for Assessing Historical Contextualization." *American Archivist* 74 (Fall-Winter 2011): 544-75. Note: members of the Society of American Archivists may access this article via the SAA website.

## Risk Assessment

- Barateiro, José, Gonçalo Antunes, and José Borbinha. "Addressing Digital Preservation: Proposals for New Perspectives." *International Digital Preservation and the Joint Conference of Digital Libraries*, Austin, Texas, 19 June 2009.
- Caplan Priscilla, Brian LaVoie, Brian, and Sally Vermaaten. "Identifying Threats to Successful Digital Preservation, the SPOT Model for Risk Assessment." *D-Lib Magazine* 18 (September/October 2012).
- Lawrence, Gregory W., William R. Kehoe, Oya Y. Rieger, William H. Walters, and Anne R. Kenney. Risk Management of Digital Information: A File Format Investigation. Washington, D.C.: Council on Library and Information Resources, 2000.
- Littman, Justin. "Actualized Preservation Threats." *D-Lib Magazine* 13(July/August 2007).
- McLeod, Rory. "Risk Assessment; Using a Risk-Based Approach to Prioritise Handheld Digital Information." *iPRES 2008: The Fifth International Conference on Preservation of Digital Objects*.
- Wright, Richard, Ant Miller, and Matthew Addis. "The Significance of Storage in the Cost of Risk of Digital Preservation." *International Journal of Digital Curation*, 4 (3) 2009: 104-22.

## Additional Preservation Related Resources

- Community-Owned Digital Preservation Tool Registry. COPTR describes tools useful for long term digital preservation and acts as a finding and evaluation tool to help practitioners discover the tools they need to perform particular preservation tasks.
- Council on Library and Information Resources. *Authenticity in the Digital Environment: An Exploratory Analysis of the Central Role of Trust*. Washington, D.C.: Council on Library and Information Resources, 2000.
- Council on Library and Information Resources (CLIR) reports. CLIR has published more than 150 reports on topics relating to analog and digital preservation, digital libraries, economics of information, and information usage trends. Many of these reports are of interest to archivists as well as librarians.
- DeRidder, Jody L. "Benign Neglect: Developing Life Rafts for Digital Content." *Information Technology and Libraries* Vol. 30 No. 2 (June 2011): 71-74.
- D-Lib Magazine. *D-Lib Magazine* focuses on new technologies, applications, contextual social and economic issues, and other topics of interest to digital librarians and archivists.
- Dappert, Angela and Adam Farquhar. "Significance is in the Eye of the Stakeholder." In *Proceedings of the 13th European Conference on Research and Advanced Technology for Digital Libraries*. 2009.
- Digital Preservation Coalition (DPC). DPC Technology Watch Reports. These reports focus on specific tools, standards, or topics of interest to archivists and librarians seeking to preserve and provide access to digital materials. They are written for real-world practitioners and are extensively reviewed prior to release.
- Gladney, Henry M. "Long-Term Preservation of Digital Records: Trustworthy Digital Objects." *American Archivist* 72 (Winter 2009): 401-35.
- Grimard, Jacques. "Managing the Long-term Preservation of Electronic Archives or Preserving the Medium and the Message." *Archivaria* 59 (Spring 2005): 153-67.
- Higgins, Sarah. "The [Digital Curation Centre] DCC Curation Lifecycle Model." *International Journal of Digital Curation* 3 (June 2008): 134-40.
- Lee, Christopher A., and Helen Tibbo. "Where's the Archivist in Digital Curation? Exploring the Possibilities through a Matrix of Knowledge and Skills." *Archivaria* 72 (Fall 2011): 123–68.
- Moore, Reagan. "Towards a Theory of Digital Preservation." *International Journal of Digital Curation* 1(June 2008): 63-75.
- National Information Standards Organization. *Syntax for the Digital Object Identifier*. ANSI/NISO Z39.84-2005. This standard "defines the composition and order of the unambiguous alphanumeric identifier string in the Digital Object Identifier (DOI) system used to reference an intellectual property entity in the digital environment."
- United Nations. Educational, Scientific and Cultural Organization. Information Society Division. *Guidelines for the Preservation of Digital Heritage*. Prepared by the National Archives of Australia. CI-2003/WS/3. 2003.
- Northeast Document Conservation Center NEDCC Preservation Leaflets. These short, plainly written publications contain information about a wide variety of topics relating to preservation of born-digital, digitized, and analog materials.
- Rosenthal, David S. H., Thomas Robertson, Tom Lipkis, Vicky Reich, and Seth Morabito. "Requirements for Digital Preservation Systems." *D-Lib Magazine* 11 (November 2005).

- Tibbo, Helen. "On the Occasion of SAA's Diamond Jubilee: A Profession Coming of Age in the Digital Era." *American Archivist* 75 (Spring-Summer 2012): 16-34. Note: members of the Society of American Archivists may access this article via the SAA website.
- Thomaz, Katia P. "Critical Factors for Digital Records Preservation." *Journal of Information, Information Technology, and Organizations* 1 (2006): 21-39.

# Access

- DeRidder, Jody L., Presnell, Amanda Axley, and Walker, Kevin W. "Leveraging Encoded Archival Description for Access to Digital Content: A Cost and Usability Analysis." *American Archivist* Vol. 75, No. 1 (Spring-Summer 2012): 143-70.
- Carroll, Laura, Erika Farr, Peter Hornsby, and Ben Ranker. "A Comprehensive Approach to Born-Digital Archives." *Archivaria* 72 (Fall 2011): 61–92.
- Prom, Christopher J. "Using Web Analytics to Improve Online Access to Archival Resources." *American Archivist* Vol. 74, No. 1 (Spring-Summer 2011): 158-84. Note: members of the Society of American Archivists may access this article via the SAA website.
- University of California Systemwide Libraries. UC Guidelines for Born-Digital Archival Description. 2017.

# Digital Preservation Organizations

- Best Practices Exchange. The BPE is a grassroots community of librarians, archivists, records managers and other information professionals dedicated to managing digital information in government and non-government settings. It hosts an annual unconference.
- Digital Preservation Coalition. The DPC is a British membership organization that supports digital preservation by promoting knowledge exchange, technical capacity building, quality and integrity assurance, advocacy, and strategic partnerships. It also produces a wide range of publications and other resources.
- International Internet Preservation Consortium. The IIPC seeks to improve Web archiving standards, best practices, and tools and promotes Web archiving collaboration and broad access to and use of archived Web content.
- National Digital Stewardship Alliance. The NDSA is a collaborative, volunteer organization of archivists, librarians, content creators, and others committed to the long-term preservation and management of digital content.
- Open Source Initiative. The OSI promotes and advocates for the usage of open source software and seeks to bring together the varied constituencies within the open source community.
- Preserving Digital Objects with Restricted Resources. The POWRR project seeks to make digital preservation knowledge and tools accessible to archives that have limited staff and budgets. It offers low-cost, in-person training and pre-recorded webinars.
- State Electronic Records Initiative. A program of the Council of State Archivists, SERI focuses on focus on improving management, preservation, and access to state and territorial government electronic records in all 56 states and territories. It produces publications, hosts webinars and other online training opportunities, produces Electronic Records Day resources, and highlights innovative digital preservation and electronic records management work being done by state and territorial government archives.