

2022 Digital Preservation Capability Maturity Model

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The Council of State Archivists (CoSA) is a nonprofit membership organization of the state and territorial government archives in the fifty states, five territories, and District of Columbia. Through collaborative research, education, and advocacy, CoSA provides leadership that strengthens and supports state and territorial archives in their work to preserve and provide access to government records. CoSA facilitates networking, information sharing, and project collaboration among its member organizations to help state and territorial government archives with their responsibilities for protecting the rights and historical documents of the American people.



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SERISTATE ELECTRONIC RECORDS INITIATIVE Council of State Archivists

The State Electronic Records Initiative (SERI) was established in 2011 to focus on improving management, preservation, and access to state and territorial government electronic records in all 56 states, territories, and the District of Columbia. SERI increases capacity and capability for state electronic records management and provides a robust community of practice for archival staff preserving electronic records. SERI is committed to supporting the communities of practice, documents, guidance, and other resources to help state and territorial archives achieve their missions and increase equitable access to state electronic records. SERI promotes knowledge of the digital lifecycle and requirements for the preservation of state electronic records. SERI advocates for increased awareness and preservation of electronic records. SERI is the flagship program of CoSA.

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INTRODUCTION

State and territorial archives are legally mandated to preserve and provide access to essential evidence of the impact of government on the people of each state. In doing so, they document a wide range of government activity from education to infrastructure, social and mental health services, civil and criminal justice, economic policy and interventions, environmental regulation and management, emergency services, and the conduct of elected and appointed officials. Archival collections of government records that were once almost exclusively paper-based are increasingly managed and accessed using computerized technologies. This includes digitization of records from legacy paper and film as well as the accession, preservation of, and online access to born-digital records.

The proliferation of information technology platforms, applications, and storage options across all levels and branches of government bring significant risks to lifecycle management of permanent electronic government records.

The proliferation of information technology platforms, applications, and storage options across all levels and branches of government bring significant risks to lifecycle management of permanent electronic government records. Exacerbating these issues is the reality that effective electronic records management remains a low priority and largely underfunded

mandate in state government. In addition, many available digital preservation tools, primarily open-source tools, cannot be supported in existing IT infrastructures. The resulting gaps in connectivity, equipment, and digital preservation expertise create a range of disparities within states and communities regarding public records access. As more public records are moved online, the inequities surrounding access to them also increase, as does the need for government archives to better understand the barriers community members face in accessing them. CoSA helps to mitigate some of these gaps by working directly with state and territory archives staff to

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assess capabilities, develop plans and policies, and advise on infrastructure and cultural competency strategies to help reach their designated communities.

In 2018, state and territorial archives responded to nearly 530,000 online, in-person, mail, and phone reference requests from citizens, govern-

ment officials, teachers, students, researchers, policy makers, and other stakeholders. The COVID-19 pandemic limited in-person access to essential government records due to closures or reduced hours in state and territorial archives, underscoring how vulnerable access to government data is, even when that data is in high demand. In response, 97% of state and

territorial archives reported in CoSA's 2020 Calls to the States they were expanding their online resources and programs.

In 2011 CoSA embarked on the State Electronic Records Initiative (SERI) to focus on improving management, preservation, and access to state and territorial government electronic records. CoSA administered its first Digital Preservation Capability Maturity Model (DPCMM) Self-Assessment Survey in 2012 to establish a baseline for each of the 56 state and territorial archives. This survey, based on the Digital Preservation Capability Maturity Model developed by Lori Ashley and Charles Dollar, rated digital preservation capabilities via fifteen components. While some components focused on technology and automated preservation workflows, many others focused on planning, strategy, collaboration, and governance capabilities that did not require technological investment. The survey was administered again in 2015 and the comparative results published in the SERI Phase II Report.

Ten years into SERI, CoSA revisited the Digital Preservation Capability Maturity Model Self-Assessment Survey to gauge the current state of government electronic records preservation. The intervening decade has brought notable advances in digital preservation tools and practices, such as vendor-supported preservation, cloud repositories, and services to preserve email and social media. At the same time, relatively few corresponding public sector records preservation policies and strategies have occurred. Recent social upheaval and a global pandemic have further stressed funding and personnel resources at government archives.

This report highlights the gains state and territorial archives have made since the last self-assessment, the areas where they have held fast, and the topics where they have lost ground. CoSA will utilize this data to target outreach, training, and advocacy efforts to strengthen electronic records management and digital preservation at the state and territorial government level.

OVERVIEW AND ANALYSIS

The CoSA 2022 Digital Preservation Capability Maturity Model Self-Assessment Survey was administered between January and March. Forty-five states and one territory completed the survey. The initial analysis in this report is based on the latest results, while the overall analysis includes the 2015 scores for the states and territories that did not complete the 2022 survey.

Each response statement in the survey is associated with a capability score on a scale from 0 to 4. A score of 0 indicates nominal capability to manage permanent electronic government records, with 1 indicating minimal capability, a 2 equaling intermediate capability, a 3 indicating advanced capability, and a 4 representing optimal capability in that component. These levels are generally associated with the degree of risk to technology obsolescence and potential loss that permanent electronic government records face. For each of the fifteen components, the lowest reported score was "0" and the highest reported score was "4." Capabilities in the model increase in complexity and interrelatedness that are reflected in the response statements and scoring logic built into the survey. The score from each of the 15 individual capability components is added together to gener-

Of the forty-six responding state and territory archives, twenty-six had increased scores. Nineteen respondents reported decreased scores. One respondent's scores remained the same as the 2015 survey. The greatest decrease in score was 20 points and the greatest increase was 35 points.

ate a total digital preservation capability score between 0 and 60 for the archival institution. Cumulative scores ranged from 1 to 57, demonstrating a striking disparity in government electronic records preservation programs across the nation.

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scores. One respondent's scores remained the same as the 2015 survey. The greatest decrease in score was 20 points and the greatest increase was 35 points.

The overall increase in scores shows that digital preservation capacity and awareness among CoSA member institutions has grown over the seven years since the previous survey. Of the responding states and territories, approximately 45% have increased their digital preservation capacity. On the surface, seeing a report where 33% of states and territories experienced a decrease in digital preservation capability is concerning, however,

While a number of states have yet to make significant progress in managing their electronic records collections, the general understanding of the digital preservation lifecycle, the DPCMM components, and what it means to preserve state and territory records in the digital age has deepened.

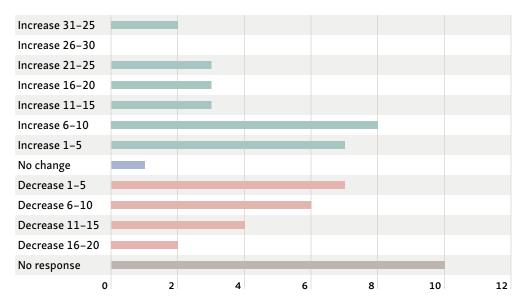
in some cases the lower scores seem to reflect the archives' deeper understanding of the digital preservation lifecycle and what an archive must do to adequately address state government electronic records preservation.

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components, and what it means to preserve state and territory records in the digital age has deepened. The story of state and territorial archival

digital preservation capability has consistently been that a cohort of strong and supported archival institutions develops increased strength and the remaining states and territories make less progress. The 2022 CoSA Digital Preservation Capability Maturity Model Self-Assessment survey results make it clear that this story is still playing out.

Change in Cumulative Scores Between 2015 and 2022



TECHNOLOGY MATTERS

Capability components related to technology, infrastructure, and automated workflows are the primary factors for archives that demonstrate dramatic increases in their scores. Increases in technological expertise had the greatest impact on increases and decreases in cumulative scores in 2022. In some cases, archives have developed an Open Archival Information System (OAIS)-conforming system onsite or in-state. In other instances, archives use a commercial OAIS-conforming preservation system as a service, but in both cases the end result is a markedly higher level of preservation capability for the archives.

Attempts to correlate higher average cumulative scores with states reporting an OAIS-conforming preservation repository in the 2021 CoSA State of the State Records Report highlight the importance of technological infrastructure and corresponding processing, storage, preservation and access services. The average cumulative score for the 20 states that reported having a preservation repository that conforms to the international standard ISO 14721 and who also completed the Digital Preservation Capability Maturity Model Self-Assessment was 34.9 points. The average score for the remaining 26 respondents that did not report having a digital preservation repository in 2021 was 19 points. This 16-point differential represents

a difference between a cumulative score in the Stage 2 Intermediate and the Stage 3 Advanced categories.

Among the 46 responding states and territories in the 2022 survey, five capability components showed the greatest variance, both positive and negative, in comparison to the 2015 survey:

- Increases and decreases in technical expertise
- Media renewal
- Integrity
- Security
- Access

These five components were most likely to impact a respondent's overall score. They highlight the necessity of state and territorial archives to work closely with information technology professionals, both internally and/or through external vendors, to support robust and sustainable digital preservation capability.

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Building a robust program for electronic government records management includes a wide variety of governance components such as collaboration, policy, and strategy, but technology infrastructure and technical services continue to be the areas that can have the greatest impact on digital preservation capability. These are also areas, however, that require

the greatest effort in garnering stakeholder support and securing funding and resources. CoSA continues to advocate for policy changes as well as special and general budgetary support for digital preservation programs at the state and federal level.

BACKER: OPPORTUNITIES TO IMPROVE POLICY AND CAPABILITIES BY 2024

The 2022 Digital Preservation Capability Maturity Model Self-Assessment survey revealed relatively static numbers in components related to policy and strategy. The consistency in these components shows that institutions that created digital preservation policies, strategies and related documents have maintained these documents since the last administration of the survey and sustained consistent scores. It also highlights strong first steps the archives that have not yet created these foundational materials can take to improve their digital preservation capabilities. For the purposes of

this analysis, the ten states and territories that did not complete the 2022 survey are scored based on their 2015 scores.

SERI Self-Assessment Scores by DPCMM Component

Component	2012	2015	Increase	% Increase	2022	Increase	% Increase
Digital Preservation Policy	47	64	17	36.2%	64	0	0.0%
Digital Preservation Strategy	64	99	35	54.7%	105	6	6.1%%
Governance	34	58	24	70.6%	71	13	22.4%%
Collaborative Engagement	101	110	9	8.9%	98	-12	-10.9%
Technical Expertise	70	109	39	55.7%	126	17	15.6%
Open Standard/Neutral Formats	76	114	38	50.0%	112	-2	-1.8%
Designated Community	29	55	26	89.7%	75	20	36.4%
Electronic Records Survey	63	76	13	20.6%	70	-6	-7.9%
Ingest	58	86	28	48.3%	108	22	25.6%
Archival Storage	47	72	25	53.2%	83	11	15.3%
Device/Media Renewal	52	83	31	59.6%	90	7	8.4%
Integrity	13	47	34	261.5%	80	33	70.2%
Security	86	126	40	46.5%	135	9	7.1%
Metadata	43	73	30	69.8%	101	28	38.4%
Access	51	74	23	45.1%	85	11	14.9%
Total Scores	834	1,246	412	49.4%	1,403	157	12.6%

BACKER (Building Archival Capacity for Keeping Electronic Records) is an IMLS National Leadership Grant for which CoSA is developing and delivering new and expanded technical assistance, educational programming, and training to state and territorial government archives to strengthen their digital records preservation and accessibility capacities. The three-year project includes an update of CoSA's Digital Preservation Capability Maturity Model Self-Assessment survey and best practice guidance for digital preservation programs. The SERI will also provide direct assistance and mentoring to archival institutions, including digitization planning and related policy development.

By working directly with a targeted group of state and territorial archives to develop digital preservation policy, strategy, and governance documents, CoSA will help increase their electronic government records management and digital preservation capabilities. Assistance will focus on creating or updating institutional digital preservation plans, policies and workflows that will align to the National Digital Stewardship Alliance Levels of Digital Preservation 2.0. Using CoSA-developed templates and guidance developed along with good practice exemplars, virtual training, and one-on-one consultations, BACKER project personnel will collaborate with archives staff to create and update plans for preserving born-digital records, digitizing high-use or significant government records, and planning for preservation and access to these records.

As part of the BACKER grant, CoSA will administer the Digital Preservation Capability Maturity Model Self-Assessment survey again in 2024 to quantify the impact of this support. The goal is to increase archives' self-reported capacity in components related to policy, strategy, and governance. Based on the results of the 2022 survey, 15 state and territorial archives indicated that they have no written digital preservation policy and scored a "0" in this component while eight institutions do not have a strategy to address technical obsolescence. An additional 21 institutions indicated that their state or territory does not specifically address digital preservation requirements in the scope of their governance activities and scored a "0" in the capability. Focusing on these three capabilities, CoSA will assist state and territorial archives to increase the combined score from a total of 240 to 255 over the next two years by assisting institutions in developing and publishing digital preservation policy and strategy documentation. For each archival institution this will mean an improvement to a capability component from nominal to at least minimal level.

FROM THE SURVEY: ANALYSIS BY CAPABILITY COMPONENT

The CoSA Digital Preservation Capability Maturity Model Self-Assessment survey addresses 15 digital preservation capability components. Each component is described and the 2022 results are presented below. The results include the average capability score for respondents who received a score higher than "0" and the value that appears most frequently in the data set (the mode). The median, or middle value, is also presented. Since the highest and lowest possible values (4 and 0, respectively) were reported for all components, this data also appears in the chart.

The number of responses for each capability level from zero to four are presented next to a column that adjusts the totals to incorporate the 2015 responses of the ten states and territories that did not respond to the 2022 survey.

A chart for each capability component presents the number of respondents whose scores increased, decreased, or remained the same. Those states and territories who did not respond in 2022 are listed separately but are factored in as remaining at the same capability level in the overall analysis. The chart lists both the number of states and territories in each category as well as the percentage of the overall total that this number represents.

COMPONENT I

Digital Preservation Policy

The organization charged with preservation and access to permanent electronic government records should issue its digital preservation policy in writing including the purpose, scope, accountability, and approach to the operational management and sustainability of trustworthy digital repositories.

RESPONSE ANALYSIS

Average	1.09
Mode	1.00
Median	1.00
Highest Response	4
Lowest Response	0

Response		Adjusted for "No Response"			
4s	3	4	18%		
3s	0	0		32%	■ Kept same score
2s	9	11			Increased their scoreDecrease their score
1s	20	26	27%		No response
0s	14	15		21%	
No response	10				

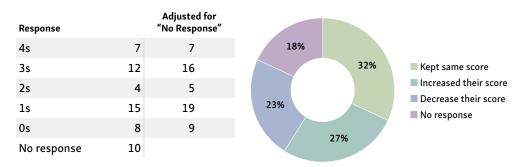
COMPONENT 2

Digital Preservation Strategy

The organization charged with the preservation of permanent electronic government records must proactively address the risks associated with technology obsolescence including plans related to periodic renewal of storage devices, storage media, and the adoption of preferred preservation file formats.

RESPONSE ANALYSIS	RES	PON	SE.	ANA	LYSIS
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Average	1.89
Mode	1.00
Median	1.50
Highest Response	4
Lowest Response	0



COMPONENT 3

Governance

The state/territory has a formal decision-making framework that assigns accountability and authority in the state/territory for the preservation of permanent electronic government records and articulates approaches and practices for trustworthy digital repositories sufficient to meet stakeholder needs. The governance framework includes information management and technology functions, records custodians and other stakeholders in records preservation such as records producing units and records consumers. The governance framework enables compliance with applicable laws, regulations, records retention schedules and disposition authorities.

Average	1.22
Mode	1.00
Median	1.00
Highest Response	4
Lowest Response	0

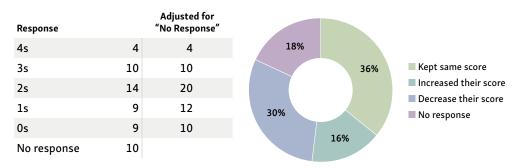
Response		Adjusted for "No Response"			
4s	4	7	18%		
3s	3	3			■K
2s	13	14	14%	43%	■ Inc
1s	5	6			■ Ded
0s	21	26	25%		
No response	10		25%		

Collaborative Engagement

Digital preservation is a shared responsibility so the organization with a mandate to preserve permanent electronic government records in accordance with accepted digital preservation standards and best practices is well served by maintaining and promoting collaboration among its internal and external stakeholders. Interdependencies between and among the operations of records producing units of government, legal and statutory requirements, information technology policies and guidance, and historical accountability should be systematically addressed.

RESPONSE ANALYSIS

Average	1.80
Mode	2.00
Median	2.00
Highest Response	4
Lowest Response	0



COMPONENT 5

Technical Expertise

A critical component in a sustainable digital preservation program is access to professional technical expertise that can proactively address business requirements as well as respond to impacts of evolving technologies. The technical infrastructure and key functions of an ISO 14721 conforming digital repository requires professional expertise in archival storage, digital preservation solutions, and lifecycle electronic records management processes and controls. This technical expertise may exist within the Archives/Records Management unit, be provided by a centralized function or service bureau, or by external service providers and should include an in-depth understanding of critical digital preservation actions and their associated recommended practices.

Average	2.37
Mode	4.00
Median	2.00
Highest Response	4
Lowest Response	0

Response		Adjusted for "No Response"		
4s	15	16	18%	
3s	6	9		37%
2s	14	14	16%	
1s	3	7		
0s	8	10		
No response	10		29%	

Open Standard Technology Neutral Formats

A fundamental requisite for a sustainable digital preservation program that ensures long-term access to usable and understandable permanent electronic government records is mitigation of obsolescence of file formats. Open standard technology neutral ("OS/TN") file formats are developed in an open, public setting, issued by a certified standards organization, and have few or no technology dependencies. Current preferred OS/TN format examples include: HTML, Plain Text, XML, ODF, and PDF/A for text; CSV for spreadsheets; JPEG 2000 for photographs; PDF/A, PNG, and TIFF for scanned images; SVG for vector graphics; BWF for audio; MPEG-4 and Motion JPEG 2000 for video; WARC for web pages.

RESPONSE ANALYSIS

Average	2.04
Mode	2.00
Median	2.00
Highest Response	4
Lowest Response	0

Response		Adjusted for "No Response"
4s	8	9
3s	1	2
2s	29	34
1s	1	2
0s	7	9
No response	10	

COMPONENT 7

Designated Community

The organization that has responsibility for preservation and access to permanent electronic government records is well served through proactive outreach and engagement with its Designated Community. The Archives/Records Management unit has written procedures and formal agreements with records producing units that document the content, rights, and conditions under which the digital repository will ingest, preserve, and provide access to electronic records. The Archives/Records Management unit maintains written procedures regarding ingest of electronic records and access to its digital collections. Records Producers must submit fully conforming ISO 14721 Submission Information Packages (SIPs) while Dissemination Information Packages (DIPs) are developed and updated in conjunction with the digital repository's user communities.

Average	1.39
Mode	0.00
Median	1.00
Highest Response	4
Lowest Response	0

Response		Adjusted for "No Response"		
4s	6	7	18%	
3s	7	7	34%	■ Kept same score
2s	7	10	16%	Increased their scoreDecrease their score
1s	5	6		No response
0s	21	26		
No response	10		32%	

Electronic Records Survey

A trustworthy digital repository cannot fully execute its mission or engage in realistic digital preservation planning without a projected volume and scope of permanent electronic government records that will come into its custody. It is likely that some information already exists in approved retention schedules but may require further elaboration as well as periodic updates, especially with regards to preservation ready, near preservation ready, and legacy electronic records held by records producing units.

RESPONSE ANALYSIS

Average	1.26
Mode	1.00
Median	1.00
Highest Response	4
Lowest Response	0

Response		Adjusted for "No Response"			
4s	1	2	18%		
3s	6	6			■ Kept same score
2s	1	2	2004	55%	Increased their score
1s	34	40	20%	33%	Decrease their scoreNo response
0s	4	6	7%		= copesc
No response	10				

COMPONENT 9

Ingest

A digital repository that conforms to ISO 14721 has the capability to systematically Ingest (receive and accept) permanent electronic records from records producing units in the form of Submission Information Packages (SIPs), move them to a staging area where virus checks and content and format validations are performed, transform electronic records into designated preservation formats as appropriate, extract metadata from SIPs and write it to Preservation Description Information (PDI), create Archival Information Packages (AIPs), and transfer the AIPs to the repository's storage function. This process is considered the minimal workflow for transfer records into a digital repository for long-term preservation and access.

Average	2.0
Mode	1.00
Median	2.00
Highest Response	4
Lowest Response	0

Response		Adjusted for "No Response"		
4s	12	15	18%	
3s	5	5		■ Kept same score
2s	8	8	11% 46%	Increased their score
1s	13	17		Decrease their scoreNo response
0s	8	11	25%	
No response	10			

Archival Storage

ISO 14721 delineates systematic automated storage services that support receipt and validation of successful transfer of Archival Information Packages (AIPs) from ingest, creation of Preservation Description Information (PDI) for each API that confirms its "fixity" during any preservation actions through the capture and maintenance of error logs, updates to PDI, including transformation of electronic records to new formats, production of Dissemination Information Packages (DIPs) for Access, and collection of operational statistics.

RESPONSE ANALYSIS

Average	1.54
Mode	1.00
Median	1.00
Highest Response	4
Lowest Response	0

Response		Adjusted for "No Response"		
4s	4	5	18%	
3s	9	10	32%	■ Kept same score
2s	5	6	18%	■ Increased their score
1s	18	21	10%	Decrease their scoreNo response
0s	10	14		
No response	10		32%	

COMPONENT 11

Device/Media Renewal

No known digital device or storage medium is invulnerable to decay and obsolescence. A foundational digital preservation capability is ensuring the readability of the bitstreams underlying the electronic records. ISO 14721 specifies that a trustworthy digital repository's storage devices and storage media should be monitored and renewed ("refreshed") periodically to ensure that the bit streams remain readable over time. A projected life expectancy of removable storage media does not necessarily apply in a specific instance of storage media.

Hence, it is important that a trustworthy digital repository have a protocol for continuously monitoring removable storage media (e.g., magnetic tape, external tape drives, or other media) to identify any that face imminent catastrophic loss. Ideally, this renewal protocol would automatically execute renewal by the digital repository.

Average	1.65
Mode	0.00
Median	1.00
Highest Response	4
Lowest Response	0

Response		Adjusted for "No Response"			
4s	11	13	18%		
3s	1	1		30%	■ Kept same score
2s	9	11			Increased their scor
1s	11	13	25%		Decrease their scoreNo response
0s	14	18	27%		
No response	10		27%		

Integrity

A key capability in ISO 14721 conforming digital repositories is ensuring the integrity of the records in its custody, which involves two related preservation actions. The first action generates a cryptographic hash algorithm which serves as a digital fingerprint to address a vulnerability to accidental or intentional alternations to electronic records that occur during device/media renewal and internal data transfers. The second action involves integrity fixity that supports an unbroken electronic chain of custody captured in Preservation Description Information (PDI) in AIPs.

RESPONSE ANALYSIS

1.57
0.00
1.00
4
0

Response		Adjusted for "No Response"		
4s	5	5	18%	
3s	11	12	34%	■ Kept same score
2s	6	8	14%	Increased their score
1s	7	8		Decrease their scoreNo response
0s	17	23		,
No response	10		34%	

COMPONENT 13

Security

Contemporary enterprise-wide information systems typically execute shared or common services that may include inter-process communication, name services, temporary storage allocation, exception handling, role-based access rights, security, back-up and business continuity, and directory services, among others. An ISO 14721 conforming digital repository is likely to be part of an information system that may routinely provide some or perhaps all the core security, backup, and business continuity services including firewalls, role-based access rights, data transfer integrity validations, logs for all preservation activities, including failures and anomalies to demonstrate an unbroken chain of custody.

Average	2.54
Mode	4.00
Median	3.00
Highest Response	4
Lowest Response	0

Response		Adjusted for "No Response"		
4s	22	25	18%	
3s	8	9		
2s	2	3	14%	45%
1s	1	2		
0s	13	17	23%	
No response	10		23%	

Preservation Metadata

A digital repository collects and maintains metadata that describes actions associated with custody of permanent records including an audit trail that documents preservation actions carried out, why and why they were performed, how they were carried out and with what results. A current best practice is the use of a PREMIS-based Data Dictionary to support an electronic chain of custody that documents authenticity over time as preservation actions are executed. Capture of all related metadata, transfer of the metadata to any new formats/systems, and secure storage of metadata are critical. All metadata is stored in the Preservation Description Information (PDI) component of conforming AIPs.

RESPONSE ANALYSIS

Average	1.96
Mode	2.00
Median	2.00
Highest Response	4
Lowest Response	0

Response		Adjusted for 'No Response"		
4s	9	10	18%	
3s	5	5	30%	Kept same score
2s	13	15	18%	■ Increased their score
1s	13	16	10%	Decrease their scoreNo response
0s	6	10		
No response	10		34%	

COMPONENT 15

Access

Organizations with a mandate to support public access to permanent electronic government records are subject to authorized restrictions. An ISO 14721 conforming digital repository will provide consumers with trustworthy records in "disclosure free" Dissemination Information Packages (DIPs) redacted to protect, privacy, confidentiality, and other rights where appropriate, and searchable metadata that users can query to identify and retrieve records of interest to them. Production of DIPs is tracked, especially when they involve extractions, to verify their trustworthiness and to identify query trends that are used to update electronic accessibility tools to support these trends.

Average	1.61
Mode	2.00
Median	2.00
Highest Response	4
Lowest Response	0

Responses		Adjusted for "No Response"		
4s	3	3	18%	
3s	3	3	28%	■ Kept same score
2s	23	28	20%	 Increased their score Decrease their score
1s	7	8	20%	No response
0s	10	14	240/	
No response	10		34%	