



## **The Council of State Archivists – State Electronic Records Initiative SERI 2015 Executive Summary: Phase II Completed and Plans for Phase III Prepared by the SERI Steering Committee**

By the end of 2015, the State Electronic Records Initiative (SERI) project had largely completed the second phase of its agenda, which included developing online resources for the Council of State Archivists (CoSA) and others interested in electronic records preservation; creating and providing educational opportunities and training for state archives staff on electronic records management and digital preservation; increasing awareness of the requirements of preserving electronic records across the nation; and identifying potential partners, collaborators, and allies to aid with the long-term efforts of preserving and making accessible electronic records. This work was undertaken in Phase II of SERI, starting in 2012, thanks to the efforts of volunteers from State Archives participating in the SERI Steering Committee and its sub-committees.

### **SERI Phase II - Summary**

#### **Online Resources – PERTTS**

The SERI Steering Committee determined early on that there was a need for a sustainable platform to provide a comprehensive link to resources, including a standards, best practices, and tools, to the archival and digital preservation communities. In 2013, SERI applied for a National Historical Publications and Records Commission (NHPRC) grant to create the Program for Electronic Records Training, Tools, and Standards portal (PERTTS). NHPRC, the granting arm of the National Archives and Records Administration, provided funding of \$150,000 to develop the online PERTTS portal, available at <http://rc.statearchivists.org/PERTTS/Default.aspx>. The portal was developed by the SERI Best Practices Subcommittee, with the assistance of contractor Carol Kussmann from Minnesota and the oversight of the Steering Committee.

#### **Strategic Training and Education Program – STEP**

After assessing the educational needs of the State Archives community in Phase I of SERI, and analyzing the resulting data, the SERI Steering Committee established the Education Subcommittee and the Strategic Training and Education Program (STEP). This program was funded in part by the Institute of Museum and Library Services (IMLS) with a nearly \$500,000 grant, with support from CoSA, and the state and territorial archives. The STEP program included two levels of weeklong electronic records institutes, the Basic Institute held in Indianapolis in 2013; and two Advanced Institutes held in Richmond, Virginia and Salt Lake City, Utah in 2014. About twenty states and territories attended the first institute, and 56 archives attended the advanced programs.

In addition to the Institutes, SERI provided \$1,000 to each state and territory for continuing education dedicated to electronic records training. During the three years of the STEP Program, the SERI Education Committee offered topical webinars. Additionally, follow-up webinars allowed institute attendees to gauge progress toward goals and to rack work on each individual institution's work plan. In the last year

of three year IMLS grant, SERI provided access for each institution to Digital Archives Specialist classes from the Society of American Archivists (SAA) and online classes from the Association for Information and Image Management (AIIM). Working with the Education Subcommittee as both a volunteer and contractor was Beth Shields of Kentucky.

### **E-Records Awareness and Advocacy**

The SERI Steering Committee established the Advocacy and Awareness Subcommittee to broaden support for and increase awareness of electronic records preservation and access issues. In 2012, CoSA established 10.10 Day, with the support of David Ferriero, Archivist of the United States. October 10 was set as Electronic Records Day within the larger Archives Month to promote the additional challenges faced in dealing with electronic records, and the risks of not having preservation strategies for electronic records. 10.10 was selected as Electronic Records Day to symbolize bits and bytes. Additionally, the subcommittee provided workshops and presentations to promote the threats to and challenges of preserving electronic records, and provided webinars to help state archives staff in talking to different audiences about electronic records.

### **Collaboration and ACCESS**

Two of the SERI subcommittees worked together to identify partners and stakeholders in state government electronic records management and digital preservation. SERI applied for and received an IMLS National Leadership Planning Grant for Libraries, ACCESS: Archives Collaborating and Cooperating with External Strategic Stakeholders to engage a diverse group of national partners, stakeholders, and other organizations to work collaboratively on increasing access to digital government records and information. The Governance and the Advocacy and Awareness subcommittees worked with contractor Michelle Gallinger to first identify and then develop an action plan to engage stakeholders to broaden the electronic records conversation. CoSA and SERI have developed and are planning on building on a number of key collaborations, among them grant funders, like associations, and allied organizations.

### **State and Territory Self-Assessment**

CoSA chose to use a digital preservation self-assessment, developed by Charles Dollar and Lori Ashley, to assess the current state of digital preservation in state archives, Dollar and Ashley worked with SERI to modify and enhance their Digital Preservation Capability Maturity Model (DPCMM). All 56 states and territories completed the self-assessment in late 2012 and again in mid-2015. The self-assessment was used to track changes among 15 components within each institution and to assess improvements among state archives programs during the three years of Phase II. Of the 56 institutions:

- 77 % of the institutions increased their score (43)
- 9% institutions maintained the same score (5)
- 14% institutions had a decrease in score (8)
- Of the 43 governments with score increases, the cumulative score increased by 450 points, or an average of 10.47 points per state.
- Of the 8 states and territories that decreased, the cumulative decrease was 38 points, or 4.75 points per institution.
- The net increase in scores was 412 points.

Of the 15 components comprising the assessment the Highest Average Gains were:

- Security – gaining an average of 2.26 points

- Media/Device Renewal – gaining an average of 2.10
- Ingest – gaining an average of 2.00

The highest Net Gains by component were:

- Security – 40 points
- Technical Expertise – 39 points
- Formats – 35 points

The following components saw the highest number of states with losses

- Collaborative Engagement – 9 states
- Archival Storage – 7 states
- Device/Media Renewal – 7 states

The scores within each of the 15 components are compared in the following list:

### **SERI Self-Assessment Scores by Component**

<b>Component</b>	<b>2012</b>	<b>2015</b>	<b>Increase</b>	<b>% Increase</b>
Digital Preservation Policy	47	64	17	36.2%
Digital Preservation Strategy	64	99	35	54.7%
Governance	34	58	24	70.6%
Collaborative Engagement	101	110	9	8.9%
Technical Expertise	70	109	39	55.7%
Open Standard/Neutral Formats	76	114	38	50.0%
Designated Community	29	55	26	89.7%
Electronic Records Survey	63	76	13	20.6%
Ingest	58	86	28	48.3%
Archival Storage	47	72	25	53.2%
Device/Media Renewal	52	83	31	59.6%
Integrity	13	47	34	261.5%
Security	86	126	40	46.5%
Metadata	43	73	30	69.8%
Access	51	74	23	45.1%
<b>Totals</b>	<b>834</b>	<b>1246</b>	<b>412</b>	<b>49.4%</b>

### **SERI Phase III – Plans and Looking Forward**

In late September of 2015, representatives of CoSA, including past and current SERI Steering Committee members, contractors and staff met in Indianapolis to review the 2015 self-assessment data, training and programming survey, and plan for Phase III of SERI. The following is the report of the work from the Phase III SERI Summit Committee and their proposals to restructure SERI for Phase III.

## **The Role of the SERI Steering Committee and CoSA Board**

The SERI Phase III Summit Committee discussed and prioritized next steps for SERI based on the outcomes from the self-assessments, feedback from the subcommittees, and a survey of training and educational program needs. The Summit Committee now recommends the following priorities, goals, and actions for Phase III.

### SERI Steering Committee:

- Develop and recommend to the CoSA Board a Ten Year Sustainability Plan for SERI.
- Adopt the proposed agenda items for the SERI subcommittees and ask each subcommittee to develop a work plan.
- Develop funding strategies to sustain SERI during Phase III and over the long-term.
- Leverage SAA, NAGARA, and NHPRC (partnership) and IMLS interest in SERI and electronic records collaborations.
- Recommend CoSA staff and volunteer responsibilities for SERI to the CoSA Board.
- Coordinate the timing and planning of future Self-Assessments and SERI Surveys (from working groups).
- Propose to the CoSA Board a mechanism to disseminate information to all state archives staff.
- Distribute tasks – aid in the recruitment to identify new people for involvement with SERI

### CoSA Board/Officers:

- Review, revise, as needed, and adopt the proposed Ten Year Sustainability Plan.
- Review, revise, as needed, and adopt a restructuring plan for the SERI subcommittee structure.
- Review Sustainability Plan and SERI committee structure annually.
- Work with SERI to leverage CoSA's partnerships and interests with SAA, NAGARA, NHPRC, and IMLS
- Work with SERI Steering Committee to develop funding strategies for SERI sustainability
- Help disseminate information to all state archives staff to communicate and provide additional involvement opportunities with CoSA and SERI.

## **Subcommittee Realignment and Work Plan and Goals**

The SERI Phase III Summit attendees propose the following goals and programs be submitted to the SERI Subcommittees as reconstituted below:

### Education & Programming Subcommittee:

- Develop a mentoring program among the states and territories to provide advice and assistance in moving electronic records programs forward.
- Develop and encourage electronic records proposals for participation at conferences and meetings
- Work to establish a mechanism for state and territories to share work informally in concert with the Tools and Resources Subcommittee.
- Develop a framework for a path forward for improving electronic records programs in individual states in concert with the Tools and Resources Subcommittee (looking at customizing the National Digital Stewardship Alliances' levels of preservation as one possible model)
- Continue to create training opportunities to meet the ongoing and changing needs of electronic records and digital preservation in state governments

- Consider developing or recasting programs that may have the ability to generate revenue for CoSA and SERI

Tools & Resources Subcommittee:

- Create Governance Models and Standards to assist CoSA members in navigating the government information management decision-making process and to identify appropriate archives participation.
- Develop a framework for a path forward for improvement of individual states in concert with the Education & Programming Subcommittee (looking at customizing the National Digital Stewardship Alliances’ levels of preservation as one possible model)
- Establish and implement a peer review of PERTTS resources and continue to enhance the PERTTS Portal
- Work with the Education & Programming Subcommittee to provide training opportunities for tools and resources.
- Create a space for states to collaborate without travel in concert with the Education & Programming Subcommittee

Advocacy & Communication Subcommittee:

- Committee will contact the National Governors Association (seeking partnership with NASS and NASCIO) to outline the challenges faced by the State Archives community in electronic records and digital preservation and to seek more resources and support.
- Develop and distribute with SERI Steering Committee approval a *State of State E-Records* report to communicate the challenges and opportunities faced by the states and territories regarding electronic records.
- Manage and further foster the SAA, NAGARA, NHPRC, and IMLS (partnership) and interest in SERI and electronic records collaborations
- Highlight and promote the work and advancements of individual State electronic records programs
- Develop and promote Twitter and Social Media generally, campaigns around specific events, dates and products around electronic records.
- Develop additional electronic records awareness materials
- Distribute Governance Models and Standards to CoSA members developed by the Tools & Resources Subcommittee
- Continue to enhance and promote Electronic Records Day (10.10.XX)

**Educational Needs Requested by the States and Territories**

The SERI Phase III Summit group reviewed the following information provided by the SERI Education Subcommittee from a survey conducted in December 2014 of 51 respondents representing 33 states and territories. The Summit attendees recommend the new Education & Programming Subcommittee consider identifying existing training classes or develop new programs that would provide the needed materials and information to meet these demands as resources provide. Programs receiving 20 or more requests are included below:

<b><u>Training Opportunity</u></b>	<b><u>Rank</u></b>	<b><u>Category</u></b>
Case Studies of digital preservation programs in state archives	39	Other Topics
Applying preservation metadata to collections	38	Preservation and

		Dissemination
Transfer of Digital items from contributors to your institution	38	Workflows
Project Management (managing large projects, tools, scheduling, roles and responsibilities)	34	Other Topics
Workflows for specific formats (email, audio, video)	34	Workflows
Appraisal and Ingest (Curator's Workbench, Duke Data Accessioner, Dspace)	32	Digital Preservation Tools
Storage technologies - self-managed	32	IT for Archivists
Digital Collection Policy	32	Policy/Procedures
Migration Policy	32	Policy/Procedures
Metadata Embedding/Extracting (BWFMetaedit, Embedded Metadata Extraction Tool)	31	Digital Preservation Tools
Engaging partners within agencies (IT, records coordinators, administration, legal, etc.)	30	Engage Creators
Talking to records creators about <b>managing</b> records prior to transfer	29	Engage Creators
E-Discovery (issues, policies, tools)	29	Other Topics
Transfer of materials from Content Management Systems (Sharepoint, ECM)	29	Preservation and Dissemination
Data Migration	29	Workflows
Access workflow (creation of user copies, dissemination of materials for access)	28	Workflows
Digital Preservation Software Platforms (Archivematica, Preservica, Islandora)	27	Digital Preservation Tools
Establishing agreements (file formats, naming conventions, etc.)	27	Engage Creators
Talking to records creators about <b>preparing</b> records for transfer	27	Engage Creators
File normalization (what it is and how to do it)	27	Preservation and Dissemination
Storage technologies - cloud storage	26	IT for Archivists
Advocacy (making the case to funders, raising awareness among stakeholders)	26	Other Topics
XML (PREMIS, METS, MODS, etc.)	25	IT for Archivists
Gap Analysis	25	Other Topics
Email files (transfer, content evaluation, preservation, dissemination)	25	Preservation and Dissemination
Format Acceptance Policy	24	Policy/Procedures
Discussion of open standard neutral formats	24	Preservation and Dissemination
Metadata (including system generated metadata)	23	Engage Creators
Contingency/Continuity Plan	23	Policy/Procedures
Repository Management/Maintenance workflow (Technology Replacement of servers, storage media, performing audits, etc.)	23	Workflows

Format Conversion/Normalization (FFMpeg, powerISO, ImageMagik, Media Monkey, ...)	22	Digital Preservation Tools
Technology/Replacement Policy	22	Policy/Procedures
Depositor/Repository Agreement	22	Policy/Procedures
Data Integrity checks throughout the preservation lifecycle	22	Workflows
Computer Languages	21	IT for Archivists
Indexing, Search, Discovery (Solr, REST, etc.)	20	IT for Archivists
Writing Scripts to Automate Processes	20	IT for Archivists
Federal and State Legislation affecting access (FOIA)	20	Other Topics
Rights/Permission documents for digital items	20	Policy/Procedures
Video (codecs and container formats, making access and preservation copies)	20	Preservation and Dissemination