

DIGITAL PRESERVATION POLICIES: BUILDING A FRAMEWORK

Examples & Models



PRESENTERS

Veronica Martzahl

Massachusetts Archives
Electronic Records Archivist

Cathi Carmack

Tennessee State Library & Archives
Director, Archival Technical Services

Christine Garrett

Alabama Dept. of Archives & History
Electronic Records Archivist

ACKNOWLEDGEMENTS

This webinar is made possible by a grant from the National Historical Publications & Records Commission (NHPRC)



NATIONAL
ARCHIVES

NATIONAL HISTORICAL
PUBLICATIONS
& RECORDS COMMISSION

DEVELOPING LOWER-LEVEL POLICIES IN SUPPORT OF YOUR PRESERVATION FRAMEWORK

Veronica Martzahl
Massachusetts Archives



THE BIG PICTURE

Framework

Digital Preservation Plan

Digital Preservation Policy

Specific policies

Technical
Documentation

Training Materials

GETTING STARTED

Specific Policies		
	Technical Documentation	
		Training Materials

BEWARE OF BUSSES

Specific
Policies

Technical
Documentation

Training
Materials



OTHER BENEFITS

- Manage donor/creator/producer expectations
- Enhanced credibility
- Support gap analysis
- Construct the case for enhancements

EXAMPLES

Specific Policies

- Accepted file formats (internal/external)
- Bit-level curation vs. normalization
- Required metadata
- File naming conventions (internal/external)
- Transfer protocols
- Disposition of Transfer Media
- Checksums – type and process
- Level of appraisal
- Individual file vs. aggregate description
- Access protocols or restrictions

POLICY & PROCEDURE TEMPLATE

- Name of Policy
- Number/Unique ID
- Purpose
- Scope
- Policy/Procedure Statement
- Approved By
- Approval Date
- Effective Date
- Responsibility for Maintenance
- Review Schedule
- Publishing
- Keywords

P&P-001 Disposition of Removable Media

Number/Unique ID
P&P-001

Component
Digital

Purpose
To provide guidance for determining the final disposition of removal media after digital content has been transferred to network storage.

Scope
Massachusetts Archives Staff

Policy/Procedure Statement

Once data is removed from removable media and transferred to network storage, in accordance with applicable procedures, the following actions will occur:

1. A photocopy of the physical media will be taken and filed in the collection where the item was originally located.
2. The removable media will be confidentially destroyed.

Exceptions:

Some media may hold data that is more easily accessed through physical media, such as a DVD. In these cases, the physical media may be retained as a use copy.

Definitions:

Removable Media includes, but is not limited to, DVDs, CDs, memory cards and flash drives, floppy disks, Zip disks, and external hard disk drives.

Approval
Massachusetts Archives

Approval Date
2013-12-05

Effective Date
2013-12-05

Responsibility for P&P maintenance
Electronic Records Archivist

Review
In accordance with yearly schedule or as needed.

Publishing
To Be Determined

EXAMPLES

Technical Documentation

- What software you are using for:
 - Disk imaging?
 - Checksums?
 - Virus scanning?
 - Workflow management?
 - Normalization?
 - File Format Identification?
- What preservation repository you are running?
- What is your archival collection management system and what metadata is it supporting?
- What is your access mechanism?

EXAMPLES

- Policies & Procedures
- Diagrams
- Workflows
- Screen captures
- Videos

Training
Materials

Taper: <http://www.youtube.com/user/dcatufts?feature=watch>

BitCurator: <http://www.youtube.com/bitcurator/>

North Carolina Archives:

<http://www.ncdcr.gov/archives/ForGovernment/DigitalRecords/DigitalRecordsPoliciesandGuidelines.aspx>

IN SUMMARY

- Starting can be the hardest part
- Take a look at what you already have
- Look for low hanging fruit
- Don't let the perfect be the enemy of the good

KNOW YOUR LANDSCAPE

- Pick the best place to start
- Consider the lifecycle of your records
- Policies and procedures aimed at your stakeholders can make the process easier later

CREATING AN ELECTRONIC RECORDS POLICY IN TENNESSEE

Cathi Carmack

Tennessee State Library & Archives



NATIONAL HISTORICAL
PUBLICATIONS
& RECORDS COMMISSION



COUNCIL OF STATE ARCHIVISTS

FIRST STEPS

- Get to know your CIO
- Secure support of your institution's administration
- Seek out stakeholders
 - Archives
 - Records Management
 - IT
 - Attorney General
 - Agencies
- Decide what type of final product you want
- Be prepared for a long process

DOING THE WORK – TENNESSEE'S EXPERIENCE

- Charge from Public Records Commission
- Committee
 - State Library & Archives
 - State RM
 - State IT
 - Attorney General's Office
- CIO as chair, Project Manager from State IT
- Initially divided into two subgroups:
 - Structured Data
 - Unstructured Data
- Usually met once a month, more frequently near the end

THE FINAL DOCUMENT

- Introduction
- Electronic Records Taxonomy
- File Formats
- Physical storage policy
- RDAs
- Agency Electronic Records Systems Planning Policy
- Education and Training Policy

INTRODUCTION

- Scope
- Authority
- Exceptions
- Review
- Document Format

ELECTRONIC RECORDS TAXONOMY

“Electronic records shall be classified in a manner consistent with their value and sensitivity to the business and operation of the state government, and their essential or non-essential nature.”

- **“Agencies must classify electronic records as Essential or Non-Essential.”**
- **“Agencies must adhere to the consistent application of minimum metadata standards for Electronic Records.”**

FILE FORMATS

- “Agencies shall store electronic records in appropriate file formats.”
- “File Formats will be regularly reviewed and migrated by the agency according to standards established in policy 3. Required and recommended file formats will be reviewed annually by the Electronic Records Committee.”

PHYSICAL STORAGE

- Agencies must use the proper secure storage infrastructure, processes and operational practices for systems.
- “Electronic Records should be stored on systems appropriate to both their classification as Essential or Non-Essential and their required retention period. Use Table 4.1(a) to determine the appropriate storage system for a given record series.”

RECORDS DISPOSITION AUTHORIZATIONS

- “Each agency will create and maintain a Records Disposition Authorization (RDA) for each electronic records series to be submitted to the Public Records Commission.”

ELECTRONIC RECORDS SYSTEMS PLANNING

- “Each agency will create and maintain an Electronic Records Plan to be submitted to the Office for Information Resources (OIR) annually in December.”
- “Agencies will provide an Electronic Records Plan that will describe the storage systems utilized for electronic records.”
- “Agencies must submit a list of all agency defined electronic records series associated with each system as defined in the Electronic Records Plan.”

EDUCATION & TRAINING

- “Office of Information Resources Division (OIR) Department of Finance and Administration will train users on compliance with the Electronic Records Policy.”

FINAL THOUGHTS

- Stuff happens...floods, politics, the economy
- Stay focused on the positive
- Keep plugging away!

ELECTRONIC RECORDS POLICY IN ALABAMA

Christine Garrett

Alabama Department of Archives & History

ADAH BACKGROUND

- Responsible for government records management program
- Preserve the permanent records of state agencies
- Offer guidance to state agencies on managing electronic records
- Assist local agencies manage and preserve electronic records

2012

- Scored a 1 on digital preservation policy on the SERI Self-Assessment in 2012
- Electronic records program an ad hoc mix of different initiatives but not cohesive: Archive It, ContentDM, online databases, ADPNet, Ancestry.com, PeDALS, Digital Newspaper Project, and our Permanent Collection

FALL 2012-2013

- Goal: To develop a unified electronic records program that would preserve historically permanent electronic state government records and assist in the management of temporary government records.
- Timeline to meet benchmarks on self-assessment.
- Work continued in areas where it could.

DIGITAL PRESERVATION PLAN

- Overall plan submitted to the State Records Commission and Local Government Records Commission October 2013.
- Necessary first step before developing more detailed policies and procedures.

MOVING FORWARD

How we determine what policies, guidelines, and trainings we should focus on depends on:

- What we can focus on given the current situation
- Issues we notice when working with agencies
- Electronic Records Survey
- Feedback from agencies

GUIDELINES FOR AGENCIES

- File naming and organization
- Social media tips so we can collect agency sites via Archive It.
- E-mail FAQs
- Tips for Governor's photographer for transferring Governor's permanent digital photos to the ADAH.

GUIDELINES (WORKS IN PROGRESS)

- Digitization
- Update of Guidelines on Maintaining Permanent or Long-Term Records on Digital Imaging Systems

FUTURE GUIDELINES

- Accepted file formats
- Organization of agency and employee general work files and e-mail according to the agency's RDA
- Manual for transfer of governor's permanent records (analog and digital) to the ADAH
- Cloud computing

FORMS

- In place
 - Electronic Records Transmittal
 - Receipt of Hardware

- WIPs
 - Electronic Records Inventory

TRAININGS

- Basic electronic records trainings for state and local agencies
 - Tailored to needs of specific audience

- State Agency Liaison Training
 - More detailed
 - Issues highlighted

FUTURE TRAININGS

- Updated RDA implementation training for state agencies (analog and digital)
- More specific trainings, highlighting areas needed by agencies

NEXT STEPS

- Finalize WIPs and begin working on future guidelines and trainings.
- Get policies and procedures in writing.
- Continue to develop program as situation allows and needs/wishes warrant.

THE BIG PICTURE

Whether your political situation allows you to focus on internal preservation policies or external records management policies, the important thing is to look at what you already have and start the process.

CONTACT INFORMATION

Veronica Martzahl

veronica.martzahl@sec.state.ma.us

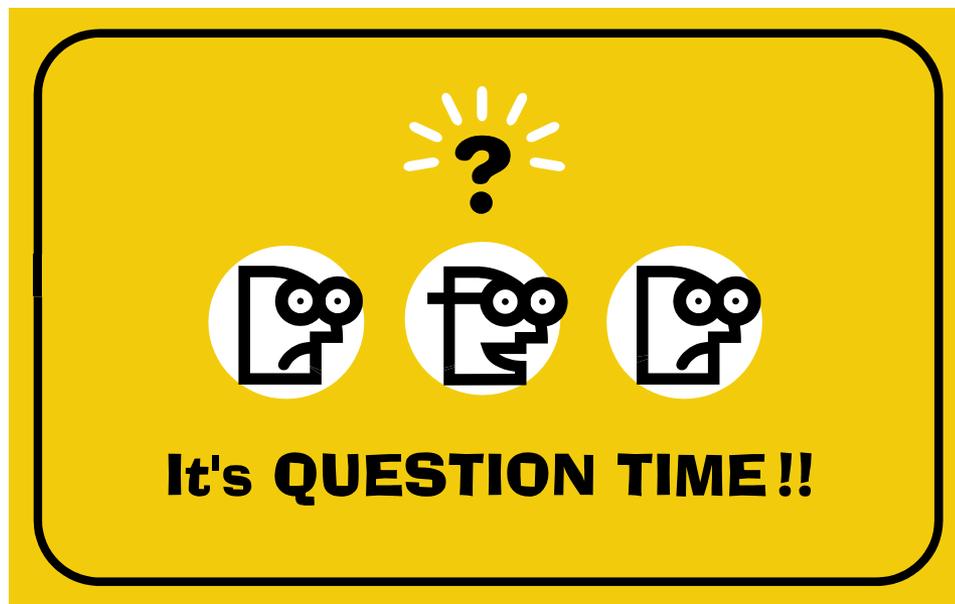
Cathi Carmack

cathi.carmack@tn.gov

Christine Garrett

christine.garrett@archives.alabama.gov

QUESTIONS & COMMENTS



WRAP-UP

- Post-webinar evaluation will automatically open in your web browser when you exit the session.
- Next SERI Educational Webinar is Tuesday, May 13 @ 2:00 pm Eastern
 - Topic: Email Preservation Tools
- Complete webinar schedule is available on CoSA's website:
http://www.statearchivists.org/CoSA_Webinars.htm
- All webinar slides available from the SERI webinar page:
http://www.statearchivists.org/seri/STEP/SERI_Educational_Webinars.htm