


CoSA & Preservica Practical Digital Preservation 2017



Digital Preservation 101: State Archives and Agencies Putting Digital Preservation into Action Part 3

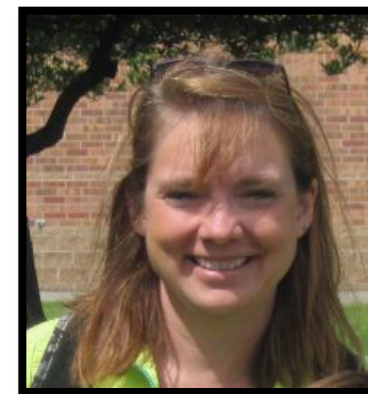
March 14, 2017

Practical Digital Preservation 2017

Welcome!

PDP Briefings

- Protecting and Preserving Long-Term Digital Information January 24
- For IT Professionals & practitioners
- The Governance of Long-Term Digital Information May 23
- For Senior Managers & Budget Administrators



Sarah Grimm
Wisconsin Historical Society

PDP “Hot Topic” Webinars

Tuesdays 2-3pm Eastern

- Preserving and Protecting Audio-visual Files April 11
- Preserving Digitized State Government Records May 9
- Best Practices in Digital Preservation: International Perspective June 13

PDP Online Workshops - Digital Preservation 101:

‘State Archives and Agencies Putting Digital Preservation into Action’

- Part 1: Practical Training in the Key Concepts February 14
- Part 2: Practical Training in the Key Concepts February 28
- Part 3: Case Studies March 14

Sign up today on the CoSA website – PERTTS Portal > Education -Training

Today's Presenters



Mary Dunn
Arkansas State Archives



Allen Ramsey
CT State Library



Kari May
Kentucky Department for
Libraries and Archives (KDLA)



David Portman
Preservica



Lori Ashley
Tournesol Consulting

Agenda

- Introduction & Recap
- Arkansas State Archives: *Laying New Foundations: Re-establishing the Archives' Purpose*
- Best Practices for Digitization Project Management
- Kentucky State Archives: *Staying Connected with State Agency Records Officers*
- Tools & Resources to Get Started
- Summary
- Q&A



Recap Part 2: Retention & Preservation Strategies

- Management of long-term electronic records must address retention and preservation actions across time, systems and custodians
- Four key preservation strategies to protect long-term digital assets
- Practical example of file format migration using purpose-built software
- Importance of building and sustaining collaborative relationships with IT and digital preservation experts
- Promote interoperability and long-term digital preservation capabilities in public sector IT architecture and infrastructure

Laying New Foundations: Re-establishing the Archives' Purpose

Mary Dunn

*Archival Manager for Technology and
Access Arkansas State Archives*



Agenda

- Background
- The Problem
- Our Approach
- The Results
- Lessons and Future Plans

Arkansas State Archives (ASA)

- Arkansas History Commission, 1905
- Established as the state archives, 1909
- Currently holds the largest collection of Arkansas historical materials in existence
- Operates main archives and two regional branch archives, open to the public six days a week
- Name changed to Arkansas State Archives in 2016

The ASA's Situation

- Chronically under-funded and understaffed
- Lacks mandate to require state records
- State Retention Schedules (2005) provide minimal guidelines governing the most common types of state agency records (administrative, financial, etc.)
- Do not address record types unique to specific agencies (e.g. licensing, education)
- Do not address providing access to records
- Do not address preservation strategies for permanent records

The ASA's Situation

- Many official state records have been lost, destroyed, or donated to private organizations over the years
- As of January 1, 2016, the ASA was working with only 13% of state agencies to preserve their records
- Some agencies admitted to not knowing the state archives existed

What We Were Hearing...

“We have rooms full of boxes and no one knows what’s in them. We could really use that space.”

“Oh, we don’t need the archives. We’re scanning everything, tossing the originals.”

“It’s expensive making sure our computers can still open our old WordPerfect files, but we have too many to switch to something else now.”

“The agency’s fiftieth anniversary is coming up, and we have nothing.”

“We were told we had to destroy all of our records after a certain time.”

The Idea

- February 2016: Governor's Memorandum of Support directed state agencies to work with State Archives to preserve important historical records
- Problem areas were awareness, responsibilities, and workflows
- Archives working group focused on ways to provide agency outreach, education, and support

The Workshops - Outreach

- Archives began holding monthly records preservation workshops
- Archives contacted agencies and requested they send a representative to workshops
- Representatives would become the archives' main liaison with that agency regarding the care of their records
- Focused on building contacts and designating responsibilities regarding record care

The Workshops - Education

- Educating state agency representatives on:
 - Services the archives offers
 - State records retention schedule
 - Best practices re: physical records care
 - Best practices re: electronic records
 - Record transfer procedure
 - Who to contact with questions

The Workshops - Support

- Services and support the archives offers state agencies
 - On-site evaluation and consultation
 - Best practices advice and guidance
 - Records conservation and repair
 - Acid-free boxes and folders
 - Archival storage vaults
 - Digital preservation support through Preservica

The Outcomes, 2016-2017

- Reaction has been predominantly positive
- Representatives from over 100 state agencies have attended these workshops
- State archives has begun taking in records from 19 additional state agencies and established liaisons with many more that intend to begin transferring records

The Outcomes, 2016-2017

- Most records transferred to the archives so far have been physical records
- Many agencies don't have long-term or permanent digital records organized in a way they are comfortable with transferring yet, or most of their long-term digital records are still active, not yet archival

The Outcomes, 2016-2017

- Archives staff have been invited to various agency staff meetings to discuss preservation strategies for both physical and electronic records
- Majority of agencies not yet able or willing to transfer their records to the archives

The Outcomes, 2016-2017

- Agencies primarily concerned with help organizing and preserving the records within their care rather than transferring them
- Early 2017 workshop attendance numbers have dwindled somewhat, and there are agencies who have not responded to our emails or calls

Lessons, Plans and Concerns

- Agency records situations are diverse, but still must be helped to get to the point where their important records – both physical and electronic – are in an archive-able state
- Archives will likely move towards providing more on-site visits and one-on-one workshops to help establish working relationships with more agencies

Lessons, Plans and Concerns

- State records preservation initiative was created and implemented with no additional funding, support, supplies, staff, or space for the archives
- Increased intake of state records as the initiative moves forward will necessitate a solution to insufficiencies in these areas
 - Advocacy and support from agencies

Lessons, Plans and Concerns

- Archives can help agencies identify and preserve historically significant records and materials not covered under state retention schedules
 - Artifacts, promotional materials, photographs
- Vague, ineffective retention schedules should be revised to be more comprehensive and supportive of state agencies

Lessons, Plans and Concerns

- Key addition to new retention schedules should be mandate regarding the transfer of state records of permanent or long-term value
- Overarching Lesson: “An ounce of prevention is worth a pound of cure.”

Contact Info



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Arkansas State Archives

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Best Practices for Digitization Project Management

Allen Ramsey



Best Practices for Digitization Project Management

- 2011- CoSA State Electronic Records Initiative (SERI) program focuses on challenges of electronic records management and preservation
- SERI Tools and Resources subcommittee identified need for a guidance document providing best practices for digitization project management
- Committee discussion centered on desire of many of state and local government agencies to go “paperless” but is that the best use of their resources?
- Guidance document geared towards our audiences of state archives and records management programs but basic principals apply to the management of any state or local government agency digitization project

Overview of Best Practices

- Four Broad Categories
 - Pre-Project Planning
 - Project Preparation
 - Project Management
 - Post-Project
- Each category includes strategies and best practices of successful digitization projects

Pre-Project Planning

- Pre-project planning is often documented in a **Project Plan**
- At the very basic foundation of any digitization project is its purpose. Why is this project being done and why is it being done now?
- The foundation of your project will be built upon these three questions:
 - What do you have?
 - What are you trying to do?
 - Why are you doing it?

Pre-Project Planning (cont)

- Stakeholders
 - Identify
 - Acquire signoffs (if necessary)
 - Provide valuable input or insulate the project from changing institutional priorities or budgets and thus their buy-in is essential
- Budget estimates
 - Costs
 - Grants
- Risks
- Specifications

Project Preparation

- Prepare the records
- Implementation
 - In-House
 - Outsource
- Staff
- Post Digitization Management
 - How will you manage the originals and the digital copies?

Project Management

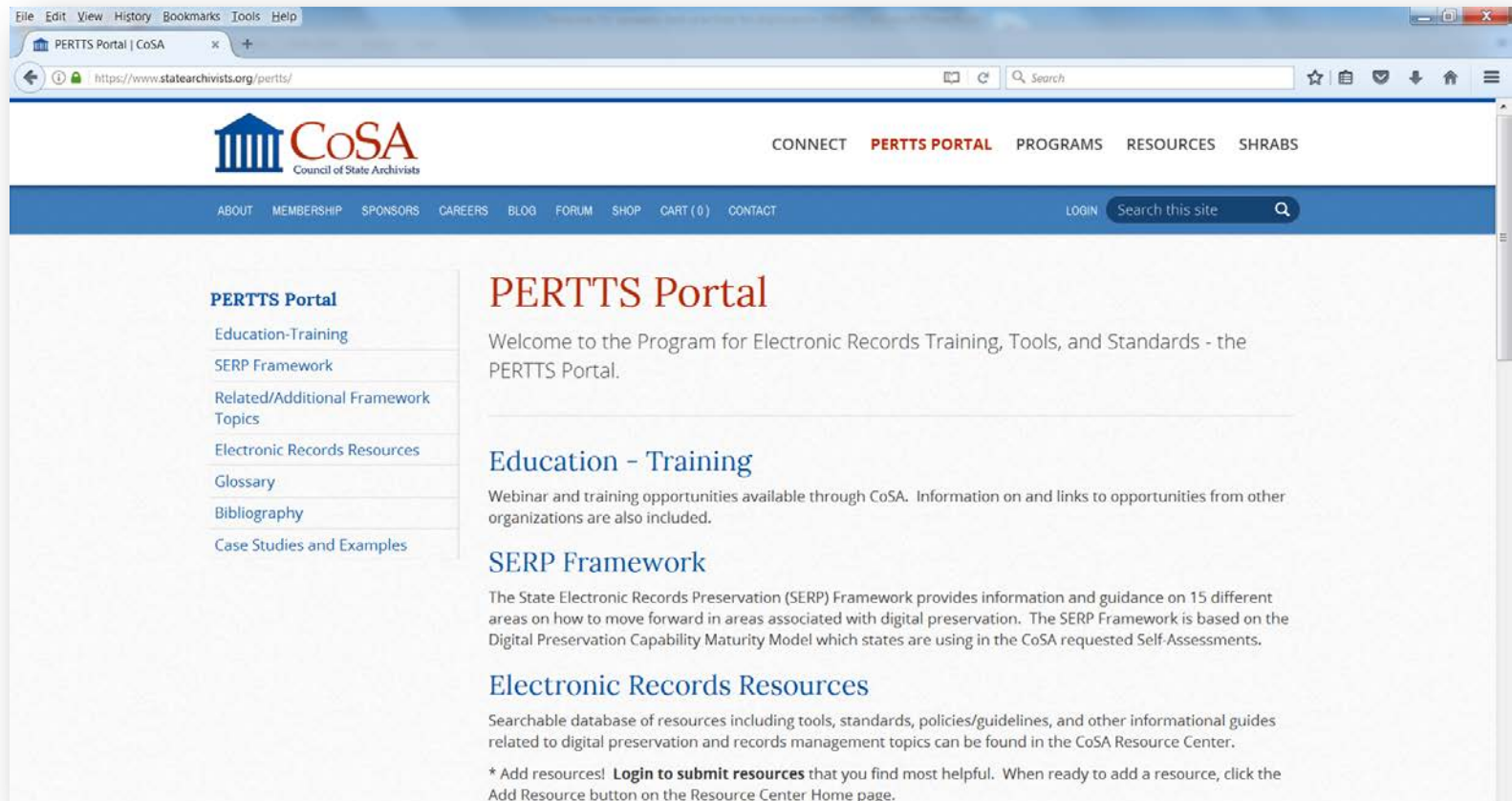
- The day has come for the project to begin! How do you actually manage this thing?
- Leadership and Direction
 - Assign a single person or very small group as the project manager(s).
- Logistics
 - Which items and in which order?
 - Metadata
 - Packaging
- Workflow and Procedures
- Quality Control and Quality Assurance

Post-Project

- Accounting
 - Time spent on project
 - Financial resources (i.e. new equipment, cost share)
- Lessons Learned
 - Was the project successful?
 - What could be improved or refined for future projects?
- Finalize Documentation
 - Final report provides a full accounting for the entire project and is not just a last report
- Sustainability

Coming Soon!

Best Practices for Digitization Project Management



Series of Best Practices and Guidance Documents

Are there best practices or guidance documents that you would find the most helpful or necessary in your work?

Let me know!

Allen Ramsey

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Kentucky State Archives: Staying Connected with State Agency Records Officers

Kari May

Electronic Records Archivist



Kentucky Department for Libraries and Archives

Electronic Records Management Branch

❖ Advice, Technical Support, and Guidance

- Policies
- Technical Standards
 - Archival Records Management Requirements
- Electronic Systems and Database Management
- Training
- Electronic Records Retention and Management



Electronic System With Included Records Series

Justice and Public Safety Cabinet

Department of Criminal Justice Training

System Description: Training and Administration Support System II (TASS II) first completed module is used to maintain training records for the Kentucky Carrying Concealed Deadly Weapons program (CCDW). Additional modules will be used to maintain Kentucky Law Enforcement personnel training records for Basic Training, Professional Development, Telecommunicators, Court Security Officers and Coroners.

System Contents: Carrying Concealed Deadly Weapons (1st Module): program applicant personal information, date course taken, instructors, trainers and their expiration dates. The new system is also tracking money received for courses taken.

General Schedule Items:

System Title: Training and Administration Support System II **Alternate Title:** TASS II

Series #: Series Title:

Disposition Instructions:

06092 Carrying Concealed Deadly Weapons File

Retain in Agency and destroy paper copies ten (10) years from date class is completed and destroy electronic record eighty (80) years from date of individual's twenty first (21) birthday.

Electronic Records Management Branch

❖ Advice, Technical Support, and Guidance

- Policies
- Technical Standards
 - Archival Records Management Requirements
- Electronic Systems and Database Management
- Training
- Electronic Records Retention and Management



Staying Flexible

❖ Designated E-mail Account

- Annual Reports, Minutes, Newsletters, etc.

❖ External Hard Drives

- Photographs, Audio-Visual, Databases

❖ FTP

Home > Jefferson County Progress School, Photos, 2008 > Jefferson County Progress School, Photo 0007, April 11, 2008

Search KDLA e-Archives

record



download

RECORD

Jefferson County
Progress School,
Photos, 2008

Jefferson County Progress School, Photo 0007, April 11, 2008

Object Type: Image

In Record: Jefferson County Progress School, Photos, 2008

Jefferson County Progress School,
Photo 0007, April 11, 2008

Records

Files

0007_Jefferson
Co_Progress_School_2008_04_11_RG
135...

Jefferson County Progress School, Photo
0007, April 11, 2008

File Size: 4173990

Dublin Core Metadata

title: Jefferson County Progress School,
Photo 0007, April 11, 2008

creator: Kentucky. Heritage Council

contributor: Kentucky. Office of Creative
Services

date: 2008-04-11

description: Jefferson County Progress
School, April 11, 2008

subject: Historic sites

subject: Historic preservation

subject: Cultural property-Protection

subject: Photographs

type: Image

identifier: M0047-E2010-109-RG1350

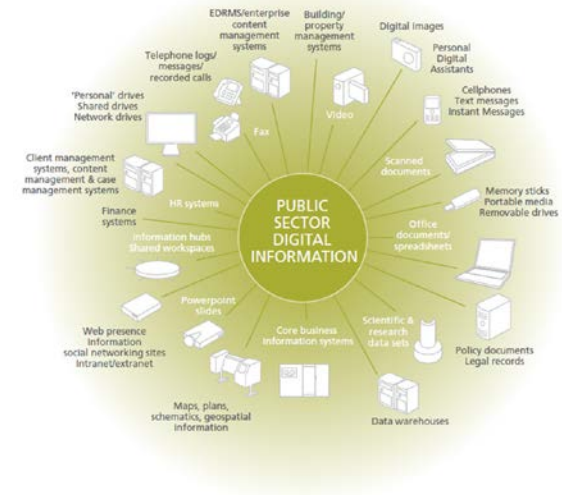
rights: All materials available through this
website are public records as defined by
Kentucky State law. However, there are
materials available through this website



Electronic Records Working Group

❖ Discussion, Recommendations, Guidelines

- E-mail
- Social Media Records
- Cloud Computing
- Electronic Signatures



Tools & Resources to Get Started

Lori Ashley
Tournesol Consulting

Our Professional Toolkit

- Records and system appraisal
- Retention schedule reviews and approval
- Inventories and data mapping
- Classification and file plans
- Metadata standards
- Use of non-proprietary formats
- Electronic recordkeeping plans
- Stakeholder engagement and education

Scope of Our Challenge

Key Findings

- The problems of logical and physical retention
 - Practitioners are struggling – information is at risk long-term
 - Problems are real and generally understood
- Long-term generally means over 10-15 years.
 - IT can manage to migrate and retain readability for about this long. For longer periods, processes begin failing, become too costly, and the volume of information becomes overwhelming.
- Long-term retention requirements are real.
 - Over 80% of organizations reporting have a need to retain information over 50 years and 68% report a need of over 100 years.

"This is the problem with 'Digital Archive', you are not thinking long enough into the future." (Source: Respondent)

- Long-term, by consensus, came out to be anything **beyond 10-15 years** because that is the time-frame beyond which they begin to lose control of logical and physical migration

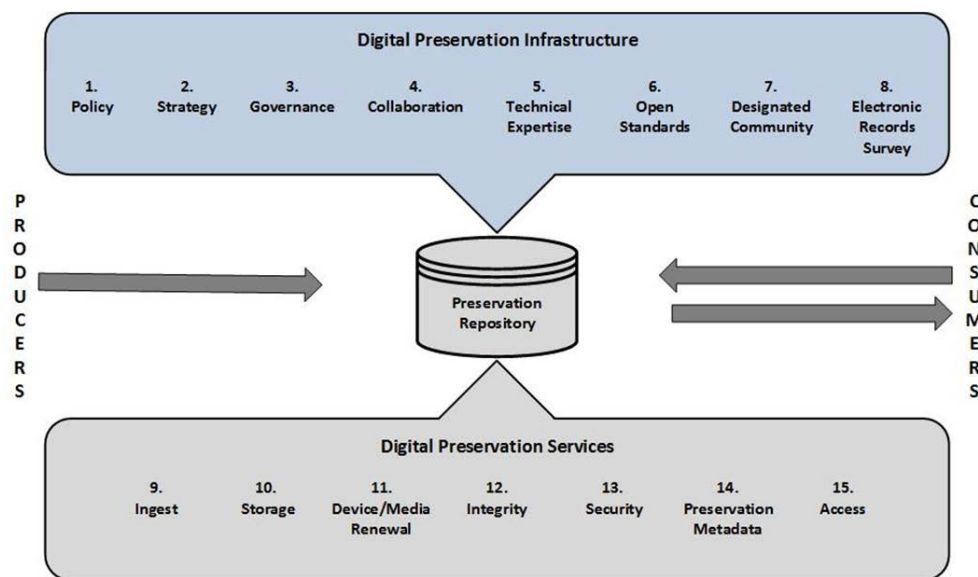
SOURCE: SNIA 100 Year Archive Study Requirements Survey, January 2007.

We Believe...

- Digital preservation is a lifecycle management concern and a shared responsibility
- Digital preservation requires the skills, expertise, and cooperation of cross-functional stakeholders
- It is possible to deconstruct aspects of digital preservation to a level that is:
 - readily understood
 - can enable dialogue and planning for implementation within the available resources of most organizations

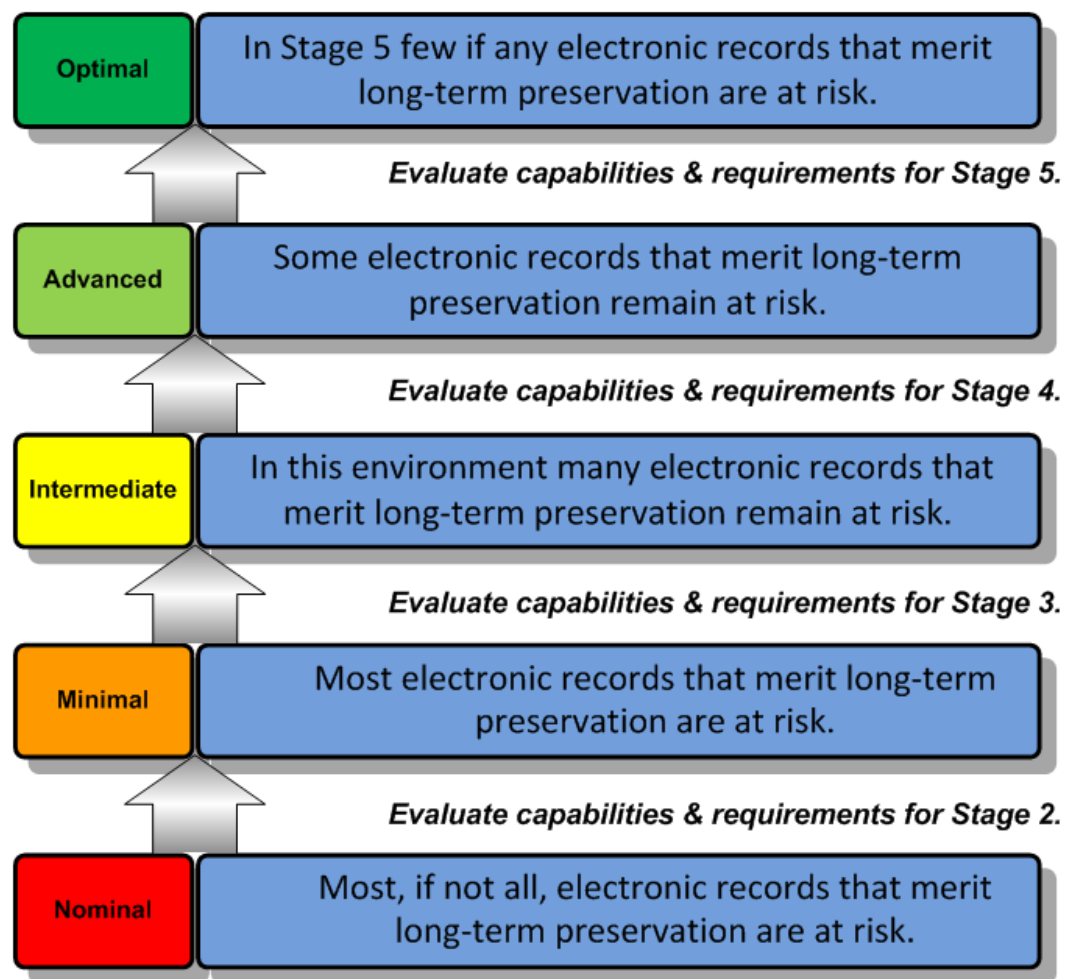
DPCMM Overview

- Systems-based tool for charting an evolutionary path towards increasingly mature stages of digital preservation capability
- Based on functional specifications of ISO 14721, ISO 16363 and good practices from operational digital repositories



DPCMM Overview and Performance Metrics
available at: www.securelyrooted.com/dpcmm

Digital Preservation CMM Stages



- Five (5) progressively advanced capability levels
- Enables high level assessment of current digital preservation capabilities against good practice standards
- Facilitates development of strategic roadmap for incremental levels of improvement based on
 - risk exposure
 - business requirements
 - available resources

Collaboration with SERI

- Supplemented analysis of SERI electronic records survey
- Contracted to adapt DPCMM metrics to CoSA membership and support development of web-based self-assessment tool
- Developed scoring logic rules
- Baseline survey conducted in 2012 – 56 participants
- Minor revisions made based on user feedback
- Results released June 2013 by SERI
- Survey taken in 2015 – 56 participants

What a Difference Three Years Can Make

2012 DPC Self-Assessment Scorecard

Index Score Results	Nominal (0)	Minimal (1)	Intermediate (2)	Advanced (3)	Optimal (4)
DIGITAL PRESERVATION POLICY	●				
DIGITAL PRESERVATION STRATEGY	●				
GOVERNANCE	●				
COLLABORATIVE ENGAGEMENT		●			
TECHNICAL EXPERTISE	●				
OPEN STANDARD TECHNOLOGY NEUTRAL FORMATS		●			
DESIGNATED COMMUNITY	●				
ELECTRONIC RECORDS SURVEY		●			
INGEST	●				
ARCHIVAL STORAGE		●			
DEVICE/MEDIA RENEWAL		●			
INTEGRITY	●				
SECURITY			●		
PRESERVATION METADATA		●			
ACCESS	●				

Index Score: 8/60

Based upon your responses, the digital preservation capabilities and services of your archive/records management unit falls into the 1 Stage (Minimal). Digital preservation capabilities are rudimentary and most electronic records that merit long-term retention are at risk.

2015 DPC Self-Assessment Scorecard

Index Score Results	Nominal (0)	Minimal (1)	Intermediate (2)	Advanced (3)	Optimal (4)
DIGITAL PRESERVATION POLICY		●			
DIGITAL PRESERVATION STRATEGY				●	
GOVERNANCE		●			
COLLABORATIVE ENGAGEMENT			●		
TECHNICAL EXPERTISE					●
OPEN STANDARD TECHNOLOGY NEUTRAL FORMATS			●		
DESIGNATED COMMUNITY			●		
ELECTRONIC RECORDS SURVEY		●			
INGEST					●
ARCHIVAL STORAGE					●
DEVICE/MEDIA RENEWAL			●		
INTEGRITY				●	
SECURITY					●
PRESERVATION METADATA					●
ACCESS		●			

Index Score: 38/60

Based upon your responses, the digital preservation capabilities and services of your archives/records management unit falls into the 3 Stage (Advanced). The organization has a robust infrastructure and the preservation of electronic records is framed within a collaborative environment and few electronic records that merit long-term preservation are at risk.

PERTTS Portal

Education-Training

SERP Framework

Policy

Strategy

Governance

Collaboration

Technical Expertise

Open Standards / Neutral Formats

Designated Community

Electronic Records Survey

Ingest

Storage

Device / Media Renewal

Integrity

Security

Preservation Metadata

Access

Related/Additional Framework
Topics

Electronic Records Resources

Glossary

Bibliography

Case Studies and Examples

Strategy

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

Level 0 The Archives/RM unit does not have a plan to address technology obsolescence.

Level 1 The Archives/RM unit accepts electronic records in their native format on an ad hoc basis with the expectation that new software will become available to support these formats. *Organizations must be aware that not all formats they accept in this manner might be accessible over time. "Preservation ready" policies can address which formats are acceptable and which are not.*

Level 2 Level 2a: The Archives/RM unit encourages records producers to retain records of long-term value in preservation-ready file formats. *Preservation formats will depend on your environment and capabilities.*

Level 2 Level 2b: The Archives/RM unit proactively and systematically monitors changes in technologies that may impact the digital records collections and the archival repository.

Level 3 The Archives/RM unit implements the transformation of selected native file formats to preferred/selected preservation file formats in the archival repository.

Level 4 The Archives/RM unit implements transformation of all electronic records from records producing units to preferred preservation file formats in the archival repository.

Resources

Resources associated with the Strategy Framework elements assist with providing background information and useful examples that can be consulted when trying to develop a digital preservation strategy or move forward in the area of strategy development.

Definition

The organization charged with the preservation of permanent electronic government records must proactively mitigate the risks associated with technology obsolescence including plans related to periodic renewal of storage

Free Public Self-Assessment Tool



New User?

Click the button below and fill out our simple form to request an account.

Create New User Account

Please sign in

Username

Password

Login

[Forgot your password?](#)

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Digital Preservation Capability Self-Assessment

This Digital Preservation Capability Self-Assessment is comprised of fifteen components. Each component contains a short description and a series of statements. The statements are mapped to different capability levels that will be used to calculate a digital preservation index score for your organization and repository at the conclusion of the survey.

Please read carefully each component description and the threshold statements. Glossary terms and other support material are hyperlinked to the survey for easy access while you take the self-assessment. Then thinking about your organization and digital preservation repository, pick the statements that best characterize the current state of capabilities to manage, preserve and provide access to electronic records of permanent value.

Thank you for participating in the Digital Preservation Capability Self-Assessment.

[Click here to begin the survey](#)

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Practical Next Steps

- Review the PDP Webinar Series

<https://www.statearchivists.org/pertts/education-training/cosa-preservica-practical-digital-preservation/>

- Preservica Resources Center

<http://www.preservica.com/resources/>

- Live demo: March 16 @ 11am Eastern

- CoSA PERTTS Portal

<https://www.statearchivists.org/pertts/>

- CoSA 

<https://www.youtube.com/channel/UCKZQqQBMQmF1HxOEPDBfX2A>



Additional Resources



Conference and Networking Opportunities

- NAGARA Annual Conference July 12-15 Boise, ID
- Archives 2017 July 23 – 29 Portland, OR
- ARMA LIVE! Oct 15-17 Orlando, FL
- Best Practices Exchange Nov 6-8 Boston, MA

Your State Archives

- Records scheduling
- Advice and training
- Transfer of records of enduring value
- State-specific procedures and best practices

<https://www.statearchivists.org/connect/resources-state/>



Questions?



Thank You!

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