HEY! CAN WE GET A LITTLE HELP OVER HERE?

Raising Awareness & Garnering Outside Support for an Electronic Records Program

To connect to the audio portion of the conference, dial 1-605-475-6150, then enter conference code 5915426#. Please press *6 to mute/unmute your phone.
ACKNOWLEDGEMENTS

This project is made possible by a grant from:

INSTITUTE of Museum and Library SERVICES
WEBINAR EVALUATION

- Please complete the SERI Educational Webinar Evaluation at: http://cosa.polldaddy.com/s/seri-webinar-eval

- A follow-up email will also be sent shortly after the webinar with a link to the evaluation
MOVING FORWARD

Seeking sustainable funding for a state archives electronic records repository

Linda Reib
Electronic Records Archivist, Arizona State Library, Archives & Public Records
THE PROCESS IS A BIT LIKE...
START WITH A PLAN
GET A TEAM!
BUDGET WITH JUSTIFICATION

<table>
<thead>
<tr>
<th>Salary</th>
<th>Benefits</th>
<th>Total</th>
<th>Position</th>
</tr>
</thead>
<tbody>
<tr>
<td>$82,759.00</td>
<td>$37,241.55</td>
<td>$120,000.55</td>
<td>Application Developer</td>
</tr>
<tr>
<td>$82,759.00</td>
<td>$37,241.55</td>
<td>$120,000.55</td>
<td>Application Developer</td>
</tr>
<tr>
<td>$68,966.00</td>
<td>$31,034.70</td>
<td>$100,000.70</td>
<td>Junior Application Developer</td>
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<tr>
<td>$59,000.00</td>
<td>$26,550.00</td>
<td>$85,550.00</td>
<td>Digital Analyst</td>
</tr>
<tr>
<td>$425,551.80</td>
<td></td>
<td></td>
<td>Total Staff Costs</td>
</tr>
<tr>
<td>$60,000.00</td>
<td></td>
<td></td>
<td>Hardware, Maintenance, Software and Ongoing Licenses</td>
</tr>
<tr>
<td>$485,551.80</td>
<td></td>
<td></td>
<td>Total Repository Cost</td>
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On-going costs. These costs will be on an annually basis in order to adapt programming and software to the ever changing formats, hardware, software and storage requirements. Cost for records storage would increase after two years due to the increase of records in electronic format deposited for preservation.

Justification: The preservation and continued access to permanent electronic records is complex and comes with substantial costs. Paper records do not change over time and degrade very slowly. However, extensive research by the National Archives, San Diego Super Computing Center, the International Standards Organization and others show that electronic records are very susceptible to inadvertent change and degradation over time. Electronic records require constant migration of formats and storage media, comprehensive descriptive metadata, as well as adherence to strict compliance and security processes. Preserving records, which have also been identified as permanent or long term records, in an electronic format requires our agency to establish a perpetual and enduring electronic records preservation program in order to ensure the accessibility and continued safeguarding of the public record. As more state legislation has passed allowing state agencies to create and store permanent the need for a trusted digital repository grows ever more critical.

During 2008-2011 our agency led a seven state research consortium, funded by the National Digital Information Infrastructure and Preservation Program at the Library of Congress, that research system architecture and programing for the preservation of state government records (see attached PeDALS system design). On-going state funding is needed in order to continue this program for the preservation and access to our state’s permanent electronic records stored at the State Library and Archives.
# Legislative Budget View

<table>
<thead>
<tr>
<th>Category</th>
<th>Budget</th>
<th>Development or Operational</th>
<th>Item</th>
<th>Details</th>
<th>Quote</th>
<th>Cost per Item</th>
<th>Year (Fiscal) Cost Incurred 2015</th>
<th>Year (Fiscal) Cost Incurred 2016</th>
<th>Year (Fiscal) Cost Incurred 2017</th>
<th>Year (Fiscal) Cost Incurred 2018</th>
<th>Year (Fiscal) Cost Incurred 2019</th>
</tr>
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<tbody>
<tr>
<td>7 a Total</td>
<td>Total</td>
<td>File Storage - LOCKSS</td>
<td>LOCKSS Private Cluster</td>
<td></td>
<td>$320,000.00</td>
<td>$5,000.00</td>
<td>$5,000.00</td>
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</tr>
<tr>
<td>16 a Total</td>
<td>Total</td>
<td>Total Virtual Server Host and Network storage</td>
<td>Host Virtual Servers</td>
<td></td>
<td>$70,000.00</td>
<td>$9,000.00</td>
<td>$9,000.00</td>
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<tr>
<td>21 a Total</td>
<td>Total</td>
<td>Software Licenses</td>
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<tr>
<td>30 a Total</td>
<td>Total</td>
<td>Total Workstations for project staff</td>
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<td>$66,370.00</td>
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<tr>
<td>40 a Total</td>
<td>Total</td>
<td>Web Domain/Comm Software</td>
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<td></td>
<td>$316.00</td>
<td>$300.00</td>
<td>$316.00</td>
<td>$300.00</td>
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<tr>
<td>49 a Total</td>
<td>Total</td>
<td>Archives Content Management Software - Cudra Star</td>
<td>Archives Content Management &amp; Conversion</td>
<td></td>
<td>$68,273.00</td>
<td>$6,040.00</td>
<td>$6,040.00</td>
<td>$6,040.00</td>
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<tr>
<td>53 a Total</td>
<td>Total</td>
<td>Epson Expression 11000XL - Flatbed scanner</td>
<td>Used to digitize fragile paper documents, photographs and graphics.</td>
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<td>$3,529.00</td>
<td>-</td>
<td>$379.00</td>
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<tr>
<td>62 a Total</td>
<td>Total</td>
<td>Scanner</td>
<td>Used to transfer vital records from digital to microfilm for preservation and disaster recovery. Used to transfer vital records from digital to microfilm for preservation and disaster recovery.</td>
<td></td>
<td>$5,550.00</td>
<td>$0.00</td>
<td>$0.00</td>
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</tr>
<tr>
<td>66 a Total</td>
<td>Total</td>
<td>OP 500 - Archive Writer</td>
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<td></td>
<td>$146,500.00</td>
<td>$19,500.00</td>
<td>$19,500.00</td>
<td>$19,500.00</td>
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<tr>
<td>71 a Total</td>
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<td>Professional &amp; Outside Services</td>
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<td>$161,000.00</td>
<td>$35,000.00</td>
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<td>$0.00</td>
<td>$0.00</td>
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<tr>
<td>73 b Total</td>
<td>Total</td>
<td>PIU</td>
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<td>$931,938.00</td>
<td>$74,840.00</td>
<td>$40,235.00</td>
<td>$40,219.00</td>
<td>$40,219.00</td>
<td>$40,219.00</td>
<td></td>
</tr>
</tbody>
</table>

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# High Level Decision Makers
STANDARDS FOR PERMANENT RECORDS

Notification of transfer must be made in advance in order for History and Archives to ensure capabilities to ingest the record series, secure server storage and other requirements for the preservation and continued access of records not in paper or microfilm formats.

History and Archives may request the Officer or public body to maintain and ensure public access to the records until our agency secures the necessary resources to preserve the records.

LEGISLATION 2012-2013

http://www.azleg.gov/DocumentsForBill.asp?Bill_Number=SB1099&Session_ID=110
LEGISLATION 2013-2014

http://www.azleg.gov/DocumentsForBill.asp?Bill_Number=SB1238&Session_ID=112
B. THE STATE LIBRARY SHALL ESTABLISH, OPERATE AND MAINTAIN A TRUSTED ELECTRONIC RECORDS REPOSITORY TO KEEP, PRESERVE, SECURE AND MAKE AVAILABLE THE ELECTRONIC AND DIGITIZED RECORDS OF THE STATE ARCHIVES AND THE STATE DOCUMENTS PROGRAM AND OF ANY DOCUMENTS AND PUBLIC RECORDS RECEIVED PURSUANT TO SECTION 41-2956, SUBJECT TO LEGISLATIVE APPROPRIATION.

41-151.25. **Electronic records repository fund; exemption**

A. THE ELECTRONIC RECORDS REPOSITORY FUND IS ESTABLISHED CONSISTING OF LEGISLATIVE APPROPRIATIONS, GIFTS, NONFEDERAL GRANTS, FEES AND DONATIONS. THE DIRECTOR SHALL ADMINISTER THE FUND. MONIES IN THE FUND ARE SUBJECT TO LEGISLATIVE APPROPRIATION. THE DIRECTOR SHALL USE THE MONIES IN THE FUND FOR OPERATING EXPENSES FOR THE TRUSTED ELECTRONIC RECORDS REPOSITORY ESTABLISHED PURSUANT TO SECTION 41-151.15.

B. MONIES IN THE FUND ARE EXEMPT FROM THE PROVISIONS OF SECTION 35-190 RELATING TO LAPSING OF APPROPRIATIONS.

http://www.azleg.gov/
VISUAL AIDS
NETWORKING & STAKEHOLDER “BUY IN”
PROJECT INVESTMENT JUSTIFICATION (PIJ)

Project Investment Justification (PIJ)
Including Instructions

A Statewide Standard Document for Information Technology Projects

Project Title: Trusted Electronic Records Repository

Agency Name: Secretary of State
Date: 10/25/2013
Prepared By: Linda Reif

Released: 11/20/2013 - January 2017

http://aset.azdoa.gov/strategic-oversight-documents
PROJECT INVESTMENT JUSTIFICATION (PIJ)

http://aset.azdoa.gov/strategic-oversight-documents
Linda Reib, CA, PMP
Electronic Records Archivist
Arizona State Archives
lreib@azlibrary.gov
602.926.3724


http://www.azleg.gov/DocumentsForBill.asp?Bill_Number=SB1099&Session_ID=110
DARING TO HOPE OR ON A ROAD TO NOWHERE

Seeking eRIM Support in Montana

Jodie Foley
Montana State Archivist
PAST ATTEMPTS

- 2004 NHPRC Grant
- 2006 E-Mail guidelines
- 2008 MERI Committee
- 2008-2010 Partner in Washington State’s NDIIP Grant
- 2009-date Legislative Recordings Project
Legislative resolution passed in 2013 Session to establish an interim study of eRecords in Montana State and Local Government

- Cooperative Effort between Local Government and Records Community
- Ties into “efficiencies” in government efforts
CURRENT EFFORT…HJR2 GOALS

- Identify and examine strategies for identifying, classifying, managing, and preserving electronic records that have value;

- Examine the costs and benefits associated with the strategies;

- Identify funding sources or mechanisms to evaluate long-term governance structures for governing electronic records management;

- Identify and evaluate the methods and means for improving access to state government electronic records, including alternative formats specifically addressing retention of state e-mail records;

- Examine public-private partnerships that increase awareness of public records management and access; and

- Develop educational strategies to provide awareness of electronic records management processes
ACTIONS...SO FAR

- Study assigned to the Local Government and Education Committee

- Panel of experts: Records Manager, State Archivist, Department of Administration (IT) and legislative research staff

- Work plan adopted:
  - Workgroup: state and local agency representative (includes School Districts)
    - Sub-workgroups: Statutory and Funding issues
RESOURCES

- Exemplary States
- CoSA/SERI
- Standards and Best Practices
- Fed Gov’t
  - NARA
  - FEMA
  - ISO
  - GARP
  - NIST
PRODUCTS…SO FAR

Drafts:

- Finding and Recommendations document
- Statutory Worksheet and Options document
- Funding Sources and Sustainability document
FINDINGS 1

Finding #1: Improving ERM needs to be viewed as a long-term effort. Strategies need to utilize technology and be coordinated, effective, implemented and sustained with collaboration between the IT and RM communities.

Recommendations:

- 1.1 The Secretary of State in consultation with the Records and Information Management Advisory Council (see 1.3) should procure and utilize a 3rd party consultant to assess enterprise ERM and develop strategic and tactical plans.

- 1.2 Require joint approval of records management equipment or systems by SOS and DOA (2-6-214 (2), MCA)

- 1.3 Create a statutory Records and Information Management Advisory Council that must be consulted in matters related to state records management programs (development of rules, standards, and guidelines; strategic planning; etc.)
FINDINGS 2

Finding #2: Records management needs to be a higher priority.

Recommendations:

- 2.1 Records management training for all employees (2-6-213, MCA)
- 2.2 Strengthen qualifications of records custodians (2-6-213, MCA)
- 2.3 Agency directors responsible for RM (2-6-213, MCA)
- 2.5 Add RM requirements to IT strategic planning (2-17-524, MCA)
- 2.6 Create statutory and rule requirements for RM so can be audited, strengthen audit requirements for RM
- 2.7 DOA establish occupational levels / series / certification for RM.
FINDINGS 3

Finding #3: Statutes for records management need to be clarified.

Recommendations:

- 3.1 Statutes need to address both public records and public information (definitions)

- 3.2 MT Public records law should be reorganized (See separate statutory options document and numerous individual recommendations)
Finding #4: ERM improvements must be adequately funded with dedicated resources (capital/technology, human).

Recommendations:

- 4.1 Funding strategies must be sustainable, include private and public options, and meet varying needs of agencies.

- 4.2 The executive budget planning process should place greater emphasis on records management.
FINDINGS 5

Finding #5: State and local governments need more guidance related to records management.

Recommendations:

- 5.1 The Secretary of State in consultation with RIMAC should improve web-based resources and increase training opportunities for RM.

- 5.2 The Secretary of State and Department of Administration in consultation with RIMAC should further exercise their rule, standard, and guideline authority.
FINDINGS 6

Finding #6: Montana needs a way to permanently archive electronic records that are deemed to be of permanent value both at agencies and at MHS.

Recommendations:

- 6.1 MHS should utilize an independent consultant to develop a plan to create a digital archives, contract with a vendor, or pursue cooperative opportunities with other states in order to permanently archive electronic records (or the development of this plan should be included as part of Rec. 1.1).

- 6.2 SOS and DOA should ensure agency ERM systems have permanent archiving capability through the approval process.
WHAT’S NEXT?

- Workgroup recommendations due to the Education and Local Government Committee (ELG), April 2014.

- ELG legislative package complete, September 2014.

- ELG and Workgroup advocate resulting bills or resolutions during 2015 Session, January to April 2015.

- Figure out what the legislature did, 2015….move forward!
CONTACTS

- Jodie Foley
  Montana State Archivist
  jofoley@mt.gov or 406 444-7482

- Patti Borsberry
  Montana RIM Deputy
  Pborsberry@mt.gov or 406 444-9009
QUESTIONS & COMMENTS

It's QUESTION TIME!!
WRAP-UP

- Post-webinar evaluation in follow-up email

- SERI Educational Webinars every second Tuesday
  - Next SERI Educational webinar is being presented in conjunction with the CoSA Member Webinar series on Thursday, March 27: Advocacy & Awareness for Electronic Records

- 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