

## Council of State Archivists

### Final Narrative Report to NHPRC on Grant# NAR13-RE-10049-13

#### “Program for Electronic Records Training and Tools and Standards (PERTTS)” For the period July 1, 2014 – August 31, 2015.

The NHPRC PERTTS Project will provide:

- A framework for developing optimum state and local government electronic records programs;
- An interactive web Portal with information about standards, policies, best practices, and tools for state and local government electronic records programs;
- Web--based and in-person education and training to ensure that these standards, policies, best practices, and tools are widely and effectively implemented.

Note: A no-cost extension for this grant to coordinate activities with the Council of State Archivists’ (CoSA) IMLS Laura Bush 21st Century grant was requested during the last reporting period and approved January 20, 2015. Administering the Digital Preservation Capability Maturity Model (DPCMM) Self-Assessment to the 56 states and territories was a requirement for both projects to indicate how much progress was made over the granting periods. The extension allowed CoSA to administer the Self-Assessment only once in a six month period satisfying requirements for both grants. In addition, this extra time allowed the team to continue to modify the Portal and begin to blend it more cohesively with the rest of the CoSA website. *[At the time of this writing, due to unforeseen complications in the website redesign the new webpages are not yet live. At this point in time they are expected to go live mid-December. Because of this, when individual pages are referenced two URLs are provided - the current and the future URL.]*

## Grant Performance Objectives

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Objectives were completed as described below.

### **1. Submit complete reports by the deadlines in the Grant Award Summary.**

As laid out in the grant documentation, interim reports documenting six months of activity and annual financial reports were required, all of which were submitted on time as indicated below.

Three interim narrative reports were submitted prior to their deadlines as required for the project. Reports were written and submitted for the time frames of January 1 – June 30, 2013, July 1 –

December 31, 2013, and January 1 – June 30, 2014. Financial reports were also submitted as requested for January – December 2013 and January 2014 – August 2015.

Submitted prior to the deadline, this final report addresses grant performance objectives, provides an overall project summary, as well as detailed information related to project activities during the no-cost extension period from January 1, 2015 - August 31, 2015.

**2. Acknowledge the National Historical Publications and Records Commission in all print and electronic products that result from grant support. The Commission strongly encourages grantees to use the NHPRC logo in grant products. The final narrative report must include total number of permanent Logical Data Records preserved and three copies of grant products. [Links to products are provided below.]**

Throughout the grant, the National Historical Publications and Records Commission (NHPRC) was acknowledged on all grant products and activities. The NHPRC logo appears on every page within the PERTTS Portal including the SERP Framework pages and Education and Training pages. NHPRC's support was also highlighted with a logo and text in all Best Practices and Tools (BPT) Subcommittee hosted webinars and in relevant articles in CoSA's quarterly newsletter and blog. NHPRC is also listed as a sponsor on CoSA's main sponsor website.

Sample recognition can be found in the following locations:

- PERTTS Portal Home Page<sup>1</sup>
- SERP Framework Home Page<sup>2</sup>
- Example Webinar Acknowledgement:
  - Electronic Records Ingest Webinar on YouTube<sup>3</sup>
  - PDF downloads of slides available on resource pages<sup>4</sup> [Webinars on this page were sponsored by NHPRC or IMLS as indicated.]
- SERI Webpage<sup>5</sup>
- CoSA's Newsletter: logo plus acknowledgement such as: "We are deeply indebted to NHPRC and Preservica for their support of the Portal."<sup>6</sup>

**3. Amount of cost share meets or exceeds amount approved by the NHPRC.**

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<sup>1</sup>PERTTS Portal Home Page prior to December 15, 2015: <http://rc.statearchivists.org/PERTTS/Default.aspx>; After December 15, 2015: <http://www.statearchivists.org/pertts/>

<sup>2</sup> SERP Framework Home Page prior to December 15, 2015: <http://rc.statearchivists.org/Content/Electronic-Records/SERP-Framework.aspx>; After December 15, 2015: <http://www.statearchivists.org/pertts/serp-framework/>

<sup>3</sup> Electronic Records Ingest Webinar Recording on YouTube: <https://www.youtube.com/watch?v=lpQcubONyHk&feature=youtu.be> (September 22, 2015)

<sup>4</sup> SERI Educational Webinar and Recordings Page prior to December 15, 2015: <http://rc.statearchivists.org/Content/Electronic-Records/Education-Training/SERI-Educational-Webinar-Series/SERI-Educational-Webinar-Recordings-Materials.aspx>; After December 15, 2015: <http://www.statearchivists.org/pertts/education-training/seri-educational-webinars/seri-educational-webinar-recordings-materials/>

<sup>5</sup> Information on SERI Program Page prior to December 15, 2015: <http://www.statearchivists.org/seri/index.htm>; After December 15, 2015: <http://www.statearchivists.org/programs/state-electronic-records-initiative/>

<sup>6</sup> April 2015 newsletter article about the no-cost extension and updating and combining the Portal and main CoSA page.

CoSA's total cost share responsibility for this grant was **\$150,500**. At the end of the grant period CoSA's total cost share was **\$152,093.40** exceeding the amount approved by the NHPRC.

Cost share contributions over the course of the entire grant period included time from individual state archives staff totaling **\$128,265.63**.

- At the end of 2013, Best Practices and Tools Subcommittee members, along with SERI Steering Committee members and others made in-kind contributions to the project totaling \$31,578.
- Contributions up through June 2014: Total cost share from project inception from the Best Practices and Tools Subcommittee members, along with CoSA board members and others made in-kind contributions: 1,043.5 hours/\$65,212.50.
- Contributions up through June 2015: Total cost share from project inception from the Best Practices and Tools Subcommittee members, along with CoSA board members and others made in-kind contributions: 2052.25 hours/\$128,265.63.

In addition CoSA spent **\$1,327.77** of its own funds on Portal development and upgrades assisted by **\$12,500** in contributions from Preservica, one of CoSA's corporate sponsors.

Combining the numbers in bold to reach CoSA's total cost share at the end of the grant period of **\$152,093.40**.<sup>7</sup>

CoSA's cost share includes the time and expertise of board members and CoSA members who committed time towards committee work and program implementation. The Best Practices and Tools Subcommittee generally met twice a month. The Subcommittee chairs and project leads often met an additional two times a month to discuss the progress of grant activities. Meeting agendas and minutes were posted on the shared Basecamp site. Meetings that included chairs from all of the SERI subcommittees (Best Practices and Tools, Education, Awareness and Governance) were also held to discuss all of SERI activities and how they related to each other.

Additional cost share time came from the following activities:

- Members of the Best Practices and Tools subcommittee met with members of the Education subcommittee as necessary to address common topics for education webinars, training opportunities, and the possible implementation of a web based calendar for such activities. Additional meetings with smaller subgroups were held to address specific topics such as webinar content as needed.
- Throughout the grant period, the Best Practices and Tools Subcommittee added resources to the Portal, reviewed changes made by Informatics, and commented on additional changes that were needed.

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<sup>7</sup> Adding \$128,265.63, \$1,327.77, and \$12,500 equals the total cost share of \$152,093.40.

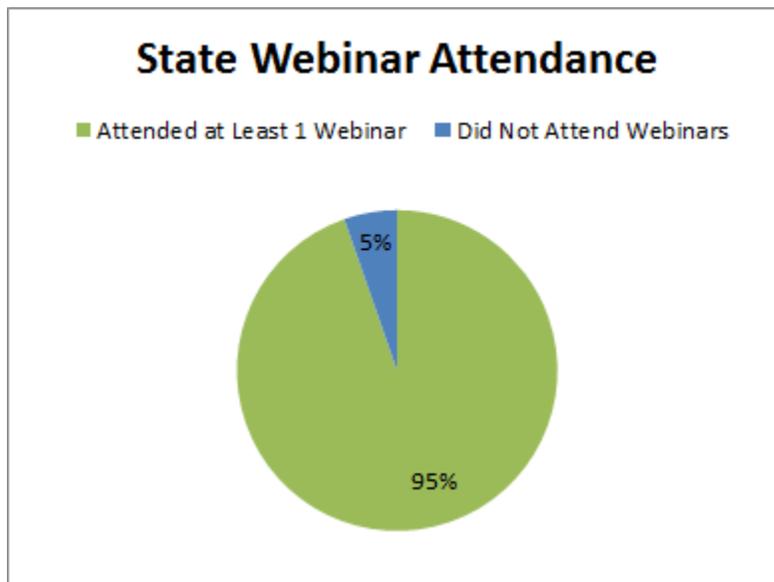
- The attendance of state archive and territory staff to the webinars and in-person trainings added to the cost share time. Programs included eight educational webinars delivered on a regular basis as well as a daylong workshop during the CoSA Annual Meeting in August 2014.

**4. Staff members from at least 80% of the states and territories take part in instructor-led training delivered via webinar or in person.**

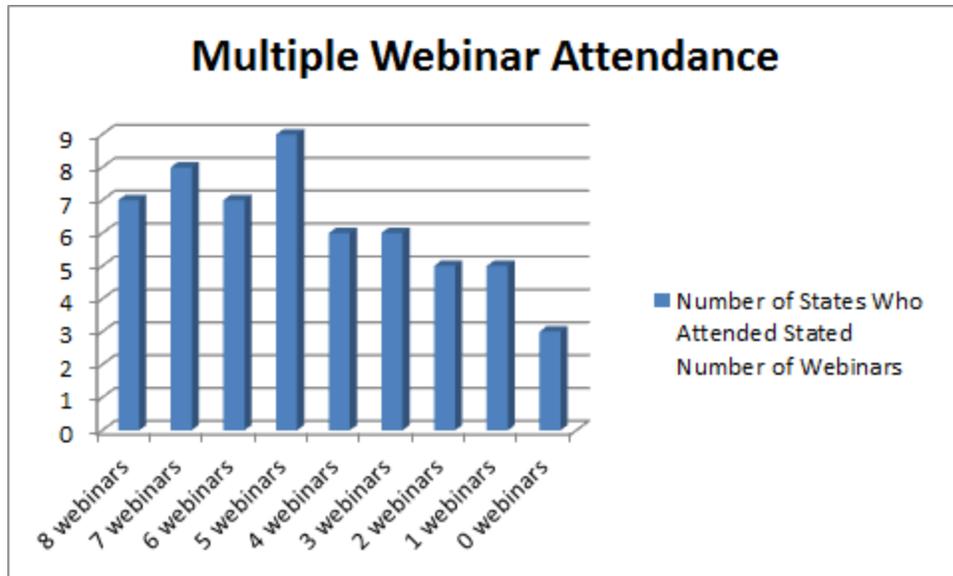
Statistics show **95%** of states and territories attended one or more webinars or trainings.

To reach the widest audience, training was most often delivered via webinar, eight of which were required by the grant. Working with the Education Subcommittee whose IMLS Laura Bush 21st Century grant also required producing educational webinars, topics and scheduling were carefully planned as to not repeat topics or inundate the CoSA membership. A standing monthly meeting time for webinars was scheduled allowing members to plan ahead; subcommittees took turns hosting the educational offerings.

Reviewing statistics in more detail, 95% of states and territories participated in one or more webinars hosted by the BPT Subcommittee; keep in mind that the CoSA membership spans 9 time zones, which makes it difficult for some members to join, live trainings. 57% of the states attended at least half (4 or more) of the hosted webinars. Recorded sessions allow all to have a chance to hear the same information when convenient for them. Currently there is no easy way to track which states might have viewed the recorded webinars, so actual statistics may be higher.



**Webinar Attendance for BPT Hosted Webinars**



Frequency of State Attendance

### Webinars

The Best Practices and Tools Subcommittee was responsible for the following webinars:

- July 2013: *Introduction to OAIS* (Lisa Johnston). Attended by 40 states and three territories (77% of all states and territories).
- February 11, 2014: *Electronic Records Surveying/Scheduling* (Carol Kussmann, Mike Strom, Marcella Wiget). Attended by 65 participants from 37 states/territories (66% of all states and territories).
- April 8, 2014: *Electronic Records Policy* (Cathi Carmack, Christine Garrett, Veronica Martzahl). Attended by 49 participants from 25 states/territories. (45% of all states and territories).
- June 10, 2014: *Electronic Records Inventory* (Sarah Grimm, Tibaut Houzanme). Attended by 60 participants from 33 states/territories (59% of all states and territories).
- July 15, 2014: *PERTTS Portal Overview* (Carol Kussmann) Attended by 31 participants from 27 states/territories (48% of all states and territories).
- October 14, 2014: *Electronic Records Ingest* (Veronica Martzahl, Mark Myers) Attended by 62 participants from 31 states/territories (55% of all states and territories).
- November 5, 2014: *Storage for Electronic Records* (Veronica Martzahl, Tibaut Houzanme) Attended by 53 participants from 27 states/territories (48% of all states and territories).

- December 9, 2014: *BPE Recap Reports featuring Meg Philips on Open Source Tools for E--Records Management* (Meg Philips, and BPT Subcommittee Members) Attended by 53 participants from 32 states/territories (57% of all states and territories).

Links to webinar slides and recordings (if possible) are available online.<sup>8</sup>

In addition to the webinars, CoSA's membership and others took part in additional educational opportunities as they presented themselves including Society of American Archivist (SAA) classes and the Portal Workshop.

#### *SAA Digital Archivist Specialist Classes*

- Subcommittee member Mark Myers, and two others associated with state archives teach the Society of American Archivists (SAA) *Appraisal of Electronic Records* class. Class slides document the SERI project and development of the PERTTS Portal. This class was taught often during the grant and continues to be taught to audiences that may or may not be familiar with CoSA, which expands the audience for the Portal beyond the CoSA membership.
- In addition two SAA on-demand webinars, *Basic Electronic Records* and *Electronic Records Next Steps* currently include a slide about the PERTTS Portal.

#### *PERTTS Portal Workshop*

All presentation materials are available on the website.<sup>9</sup>

- The PERTTS Portal Workshop was held August 12 - 13, 2014 during the CoSA/NAGARA/SAA Joint Annual Meeting in Washington DC. There were 69 in-person attendees from 36 states and territories (64% of total number of states/territories represented). The Workshop provided information about the grant activities, Portal development, and Portal organization (Education and Training, SERP Framework, and Resources sections), which expanded on the July webinar. Attendees learned how colleagues were using resources and tools in the Portal and how the resources or tools might be applicable within their own environments. This in-person workshop tailored a live demonstration of the Portal to attendee's questions. During the workshop attendees also provided feedback on the Portal, which the SERI Best Practices and Tools subcommittee has worked to implement.

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<sup>8</sup> Link to webinar materials prior to December 15, 2015: <http://rc.statearchivists.org/Content/Electronic-Records/Education-Training/SERI-Educational-Webinar-Series/SERI-Educational-Webinar-Recordings-Materials.aspx>; After December 15, 2015: <http://www.statearchivists.org/pertts/education-training/seri-educational-webinars/seri-educational-webinar-recordings-materials/>

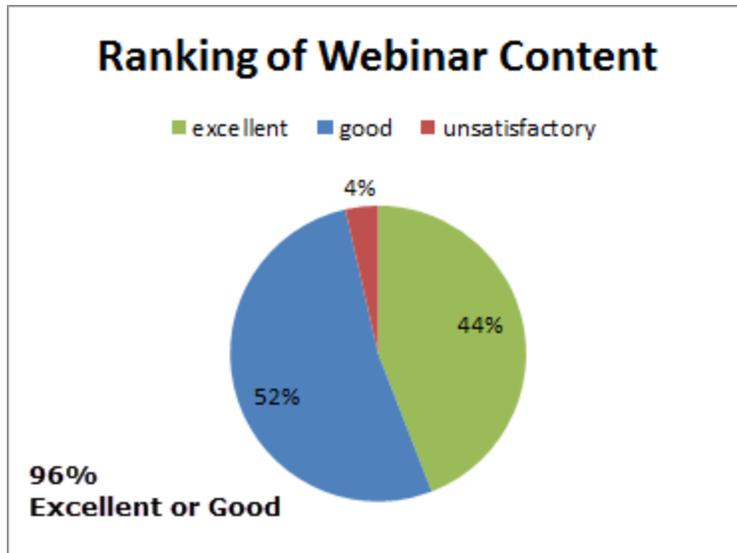
<sup>9</sup> Portal workshop materials prior to December 15, 2015: <http://rc.statearchivists.org/Content/Electronic-Records/Education-Training/PERTTS-Portal-Workshop.aspx>; After December 15, 2015: <http://www.statearchivists.org/pertts/education-training/pertts-portal-workshop/>

- Lori Ashley and Charles Dollar, the original authors of the DPCMM on which the SERP Framework is based, covered the SERP Framework section by addressing questions states had while taking the Self-Assessment in 2012. The goal of this was to provide information as requested to better prepare states for retaking the Self-Assessment in 2015.
- Staff from state archives made four presentations about standards, tools, and workflows they use to showcase what other states were doing. Allen Ramsey discussed the Connecticut Digital Archives Collaborative. Nat Wilson (Minnesota) demonstrated how he creates and uses checksums created with Bag-It. Chelle Somsen explained how South Dakota addresses file structure and naming conventions. Tibaut Houzanme demonstrated the tools Indiana used to select appropriate standards to follow.
- When asked on a survey “What part of the workshop did you find most valuable?” all aspects of the workshop were acknowledged. Responses included:
  - Discussion of the structure of the Portal.
  - The presentation and discussion of the Portal.
  - The review of the SERP Framework, in particular the discussion on identifying and selecting material.
  - The case studies and the DPCMM information.
  - I appreciated the tool demonstrations and the case studies from colleagues about what they are doing in their shops.
- 63% of survey responders also stated that they had resources to add to the Portal, but their comments stated that they were not yet ready to do so for various reasons. After the Portal and CoSA site are combined, Subcommittee efforts should work to assist states and territories in sharing their resources helping to increase states involvement and interactions with the Portal.

**5. At least 75% of the evaluations completed by individuals participating in the training rank their experiences as satisfactory or better.**

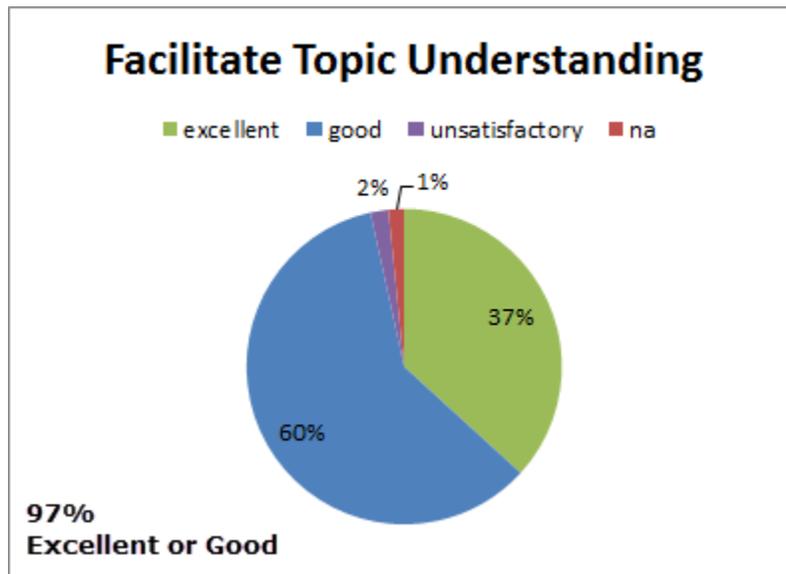
Evaluations were sent immediately following each SERI Educational Webinar hosted by the Best Practices and Tools (BPT) or Education Subcommittee. To make this a seamless process for members, statistics were collected using one tool for all webinars. Due to software limitations, statistics for webinars hosted by BPT cannot be separated from the webinars hosted by the Education subcommittee. The following information (for this response only) documents results from all SERI Educational webinars, not just the BPT led webinars.

When asked to rank webinar content by quantity of materials covered, pace of content delivery, and quality of webinar content 96% of respondents rated this good or excellent.



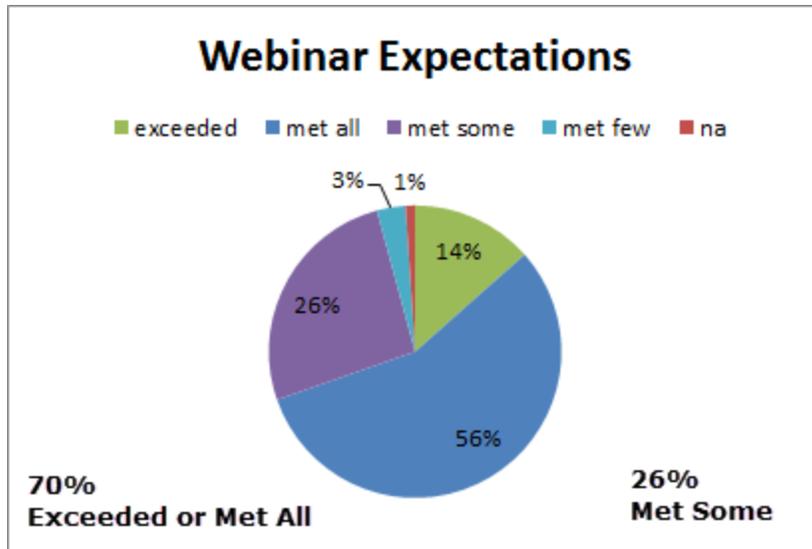
**Chart displaying ranking results related to value of webinar content.**

A main goal of the webinar series was to increase understanding on particular topics, tools, standards, or best practices. A survey question asked how well the webinar facilitated understanding of the webinar topic/s. 97% of respondents stated excellent or good.



**Chart indicating how the webinars facilitated with topic/webinar content understanding**

Reviewing responses to webinar expectations the results were more varied, but also successful. 70% of respondents stated that expectations were completely met or exceeded. 26% additional stated the webinars met some of their expectations.



**Chart displaying results of fulfilling participant’s webinar expectations.**

Webinars offered as part of the SERI Educational Series focused on many different topics of interest to the membership. As often as possible, multiple presenters were used to provide different points of view or describe different environments for the topic at hand. The Subcommittee felt it was more important to cover multiple angles or aspects of topics to reach and relate to as many members as possible rather than trying to meet everyone's expectations all of the time. Another reason that all expectations may not have been met could relate to the terminology around electronic records; electronic records terminology often means different things to different people. It is suggested that in the future more background information on the topics to be covered be provided ahead of time to assist with managing participants expectations and defining terminology.

Some comments provided after various webinars stated:

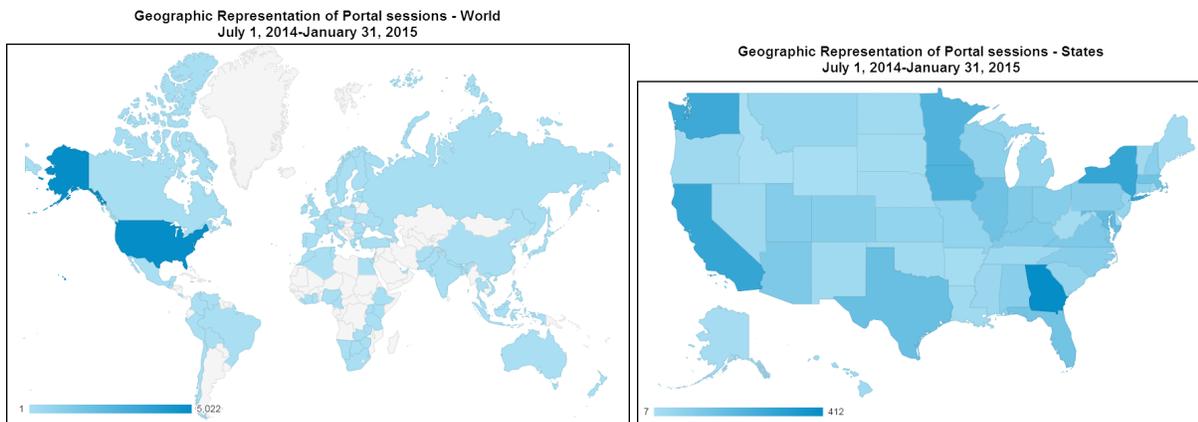
- This was a very good nuts and bolts presentation. It is encouraging to hear that some Archives are making progress (even if there are some steps back because of unforeseen consequences). Being at the early stages, it is overwhelming to think about making any progress. These types of presentations remind me that it cannot be done all at once. We just have to tackle each task as we can.
- We thought we'd hear more about how and where the tools were being used, pros and cons of each, and case studies. Since we're looking at needing to steward emails digitally in 2016, we were hoping there would be some stronger recommendations. But we are looking forward to reading the reports, nonetheless.
- I assumed the topic was about building digital preservation policy framework, but most of the presented materials dealt with implemented standards, guidelines and procedures and very little information on policy development and models to do so in this arena. No real discussion of "what" is and "why" this is important -- which is what policy should address -- not the "how."

- Excellent presentation. I did not know that all of these resources were available.
- Excellent series of webinars. I am most grateful for the effort of the committee and the presenters. These webinars have taken a lot of theory that I have read, and started to put them in context.

**6. Analytics indicate that the number of individuals visiting the web portal increases during the project and is geographically diverse, with at least some measurable activity from 95% of the states and territories.**

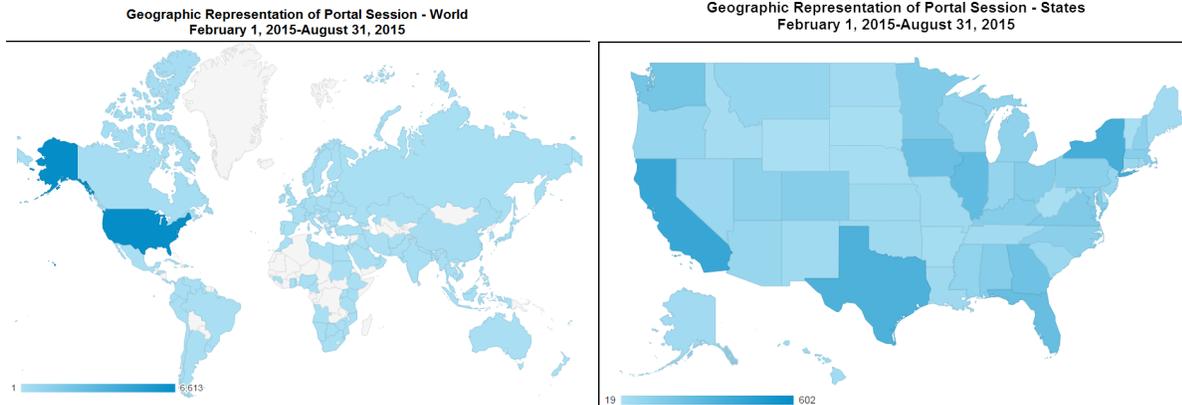
The PERTTS web Portal was made publicly available on July 1, 2014 and made more widely known mid-July through mid-August with 100% of the states and territories visiting the Portal. Use statistics have steadily increased since July. To keep this trend, CoSA must continue to publicize the Portal and its resources.

Statistics for the first six months (July 1, 2014 - January 31, 2015) document that 90 countries had at least one session in the Portal for a total of 5,759 individual sessions, with approximately 68% of those being new sessions. Of those 90 countries, the United States was the biggest user with all 56 states/territories (representing 100% of the states and territories) having had at least one session in the Portal, for a total of 5,058 individual sessions, with approximately 67% of those being new sessions.



**Portal Website Statistics from July 1, 2014 - January 31, 2015**

The next eight months (February 1, 2015 - August 31, 2015) saw an increase of use with 123 countries having at least one session in the Portal for a total of 9,378 individual sessions, with approximately 79% of those being new sessions. Of those 123 countries, the United States was once again the biggest user with all 56 states/territories (representing 100% of the states and territories) having at least one session in the Portal. The number of individual state and territory sessions totaled 6,671 with approximately 72% percent being new sessions.



**Portal Website Statistics from February 1, 2015 - August 31, 2015**

**7. At least 15 states and territories [26% of the membership] test and/or implement one or more of the software products or tools identified in the Portal and share their evaluations either through commenting tools in the Portal or some other means of communicating their experiences to other state archives**

The Portal was made publicly available July 1, 2014 and more widely publicized to the CoSA audience mid-August 2014 at the CoSA/NAGARA/SAA annual meeting through the daylong workshop and additional discussions.

It is difficult to determine how many states have used the Portal and in what manner, to assist with this the group:

- reviewed the Portal itself
- reviewed web statistics
- sent out a four question survey

Reviewing the Portal for specific feedback, 15 comments were written about 13 resources by seven different states (13% of total states/territories). It is also known that information contained in the Portal was also discussed by members from seven different states (13% of total states/territories) in at least 4 of the BPT led webinars (not including the PERTTS Portal webinar). These seven states also had direct or indirect interaction with the Portal.

Reviewing web statistics to analyze the Portal as a resource to a larger community, use of the Portal as a whole doubled from the first six months to the next eight months. Over the life of the Portal (July 1, 2014-August 31, 2015) there have been 15,137 individual sessions with an average of 75% of those visitors being new. There have been visitors from all states and territories (100%) over this time period. The site itself is getting used, determining by whom and why is more difficult to determine.

To better assist with understanding how the CoSA community was using the Portal a four-question survey was sent out to the SERI Listserve. Questions included: 1) What is your state name? 2) How many times has your state used the Portal? 3) Has your state implemented tools,

software, or other resources from the PERTTS Portal? 4) Has your state added any resources to the PERTTS Portal?

Twenty-seven of the total 56 states/territories representing 48% of CoSA's total audience responded. (This low response rate to the survey is typical.) The grant goal was to have 26% of the entire CoSA membership to test or implement something within the Portal. Of those responding to the survey, nine states responded yes to implementing something from the Portal (33% of respondents). Seven responding states added resources to the Portal (26% of respondents).

As with many surveys sent by CoSA, the survey was sent out to the entire SERI listserve with the request for only one response per state or territory. Often times in individual institutions, it is hard to make sure the person with the correct information is the one responding to the survey. Within an individual institution it may also be difficult to know who will respond. Often people assume someone else will respond but they don't, possibly accounting for the overall lack of response. With this survey in particular it would be hard to know if and how all staff might have used the Portal over the past year.

Further addressing the limited interaction, after the July release of the Portal and August meeting, focus shifted from the Portal to thinking about constituents needing to re-take the Self-Assessment to fulfill another grant requirement. The BPT Subcommittee talked with the Education Subcommittee, whose IMLS grant required all states and territories to re-take the Self-Assessment. Both Subcommittees felt that asking states to take the test twice in a six-month period would not produce substantial differences and it would be unlikely to get full participation twice. Evaluating the programming and ending dates of both grants it was proposed to ask for a no-cost extension for this grant to allow the states to re-take the Self-Assessment only once maximizing efficiency while fulfilling both grant requirements. While waiting to hear back about the no-cost extension, work continued on the Portal. Resources were added and suggested modifications were made if possible.

The approval of the no-cost extension also provided additional time to enhance the Portal and integrate the main CoSA website into the Portal design giving the CoSA membership single site for all resources. Integration however was more complex than expected on the back end resulting in the combined website needing to be built on a new rather than existing platform. Once this was understood, publicity about the Portal and its interactive features slowed considerably. The Subcommittee didn't want to publicize the Portal too much knowing that the web addresses and user experience would be different after the integration. They wanted to wait until the entire CoSA site was rolled into one - making the experience more cohesive all around. Because of this, the stats in this goal fall a little short.

With the launch of the new integrated CoSA website expected in December 2015, a heavy push will be made to re-introduce the availability and value of the Portal and related resources made possible by this grant. One highlight will be the addition of the "Form and Resource Sample" resource type to the Portal, a requested but not possible feature in Phase 1 of the Portal design. This resource type includes sample job descriptions, sample request for proposals, etc... which is exactly what people have been asking for. It is expected that these types of resources will greatly increase the use of the Portal, as these types of resources are not generally available

elsewhere online for extended periods of time. Additionally, the BPT Subcommittee will work with the other subcommittees to develop liaisons that are familiar with the Portal and its contents and can publicize its value.

**8. Two thirds or more of the states and territories repeat the Self-Assessment at least once.**

All states and territories initially took the Self-Assessment in 2012 with results normalized and reports generated for all states in early 2013. These initial results were used to set a baseline of each state’s knowledge level and capability addressing electronic record issues.

States and territories were asked to retake the Self-Assessment in May of 2015 to fulfill grant requirements for this grant as well as CoSA’s current IMLS sponsored electronic records education grant. As of August 2015, all 56 states and territories completed the Self-Assessment. (100% completion rate)

**9. Of the states and territories that repeat the Self-Assessment, at least 75% show improvement in one or more capability component.**

Reviewing initial statistics provided by the Education Subcommittee 49 states and territories (87.5% of states and territories) increased their score in one or more capability component. In addition, 43 states and territories (77% of states and territories) increased their overall Self-Assessment score.

Comparing scores from the initial assessment to the 2015 assessment the average score, highest score, and lowest score all increased.

Score	2012/13	2015
Average Score	14.89	22.25
Highest Score	43	47
Lowest Score	0	3

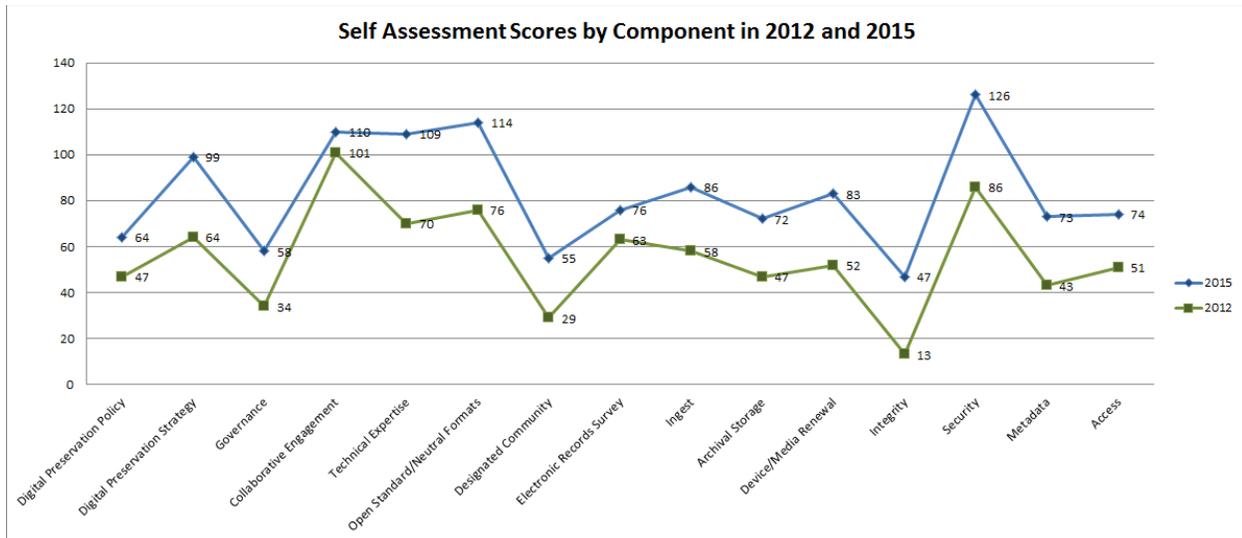
**Increase of Scores from 2012/13 to 2015**

The 'rankings' improved on all levels as well - reducing the number of states and territories with Nominal and Minimal scores and increasing the number of states and territories with Intermediate, Advanced and Optimal scores.

Ranking	2012/13	2015
Optimal Score (46-60)	0	4
Advanced Score (31-45)	7	13
Intermediate Score (16-30)	17	20
Minimal Score (1-15)	30	20
Nominal Score (0)	2	0

**Number of States and Territories by Self-Assessment Rank**

Compiled scores for each capability component also increased as a whole. The chart below shows the total scores from all states and territories in 2012/13 and the total scores from all states and territories in 2015. The table below shows the point increase between the total values and the % increase.



**Visual representation of Self-Assessment Scores by Component from 2012 to 2015**

<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>

**Graphical representation of Self-Assessment Scores by Component from 2012 to 2015**

## **Narrative Summary of Grant Activities [January 2013 - August 2015]**

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The Program for Electronic Records Training and Tools and Standards (PERTTS) Project was initiated to strengthen the capacity of states and territories to manage and preserve electronic records. Multifaceted approaches were used to accomplish these goals.

- The creation of an online portal showcasing a framework for developing optimal programs; providing access to and information about standards, best practices, policies, and tools related to the management and preservation of electronic records; and creating a one stop shop for research and learning about electronic records topics.

- Education and training to develop deeper understanding of the concepts related to and the tools used in the management and preservation of electronic records.

The following narrative documents project activities.

## **PERTTS Project Timeline and Summary**

### *Pre-Project [2012]*

States and territories completed the Digital Preservation Capability (DPC) Self-Assessment to better understand their electronic records environment and to establish a baseline against which progress can be measured.

### *January 1, 2013 to June 30, 2013*

This project kicked off January 2013 with the intent to begin development work on the State Electronic Records Program (SERP) Framework and the Program for Electronic Records Training, Tools, and Standards (PERTTS) Portal. Immediate goals and deliverables included:

- Developing and delivering a webinar on the Open Archival Information System (OAIS) (June 2013)
- Research and gather content for the Portal
- Develop Portal website requirements
- Choose and start to work with vendor for Portal development
- Start to develop SERP Framework
- Produce an interim narrative report due July 31, 2013 (for January – June 2013)

The Best Practices and Tools (BPT) subcommittee was responsible for producing grant deliverables. The main deliverable was the PERTTS Portal, which included the State Electronic Records Program (SERP) Framework. When completed, the Portal will provide in-depth information on standards, best practices, and tools for electronic records management and preservation programs. Grant work between January and March focused on identifying what was going to be needed and how to accomplish the goals set by the grant.

In April 2013 Carol Kussmann was hired by the project to act as a subject matter expert for Portal content and web development. Her contract runs through the duration of this project (December 2014 and extended into November 2015). [From hereon out, when the Subcommittee is mentioned it can be assumed that Kussmann was also involved in the activity.]

The Subcommittee began to compile standards, best practices, and tools to populate the Portal. In addition the Subcommittee developed Portal requirements and began talking with Informatics Inc. about developing the Portal. Informatics Inc., Iowa City, was familiar with CoSA projects having previously built the IPER CoSA Resource Center as well as developing the mapping for the Digital Preservation Capability Maturity Model (DPCMM) Self-Assessment. To initiate this process the Subcommittee sent Informatics the Portal requirements and in response Informatics provided a cost proposal and work plan for building the Portal.

The work plan included incorporating information from the CoSA Resource Center, delivering recordings of PERTTS, SERI, and CoSA webinars, non-CoSA training opportunities, and

hosting an interactive resource center where registered users can create/save favorites, comment/review each resource, and view others' comments/reviews. In addition to the above, the site would define the SERP Framework based on the Digital Preservation Capability Maturity Model (DPCMM). The Framework section would list and explain the individual components, describe the levels within the model, and how to move between levels increasing capabilities around electronic records.

Initially the SERP Framework was supposed to be the main focus of this time period, however, it was more advantageous to work on Portal content development, which would feed, directly into the SERP Framework. It was decided that Kussmann would facilitate the development of the framework. A draft of the Framework based on the 15 components of the DPCMM was developed. This draft defined each component and the levels within it as well as providing information on how a state program could progress through the levels and increase their electronic records program capabilities.

Development and delivery of webinars was another requirement of the grant. During this time period a webinar on the Open Archival Information System (OAIS) webinar was delivered in both June and July 2013. This webinar was intended to be preparation for attendees of the SERI Introductory Electronic Records Institute (part of an IMLS Laura Bush 21st Century Librarian grant project), attendees from 40 states and three territories (77% of all states and territories) participated in this first webinar.

As this was the first 6 months of the grant, the overall grant timeline was reviewed and revised to address focusing on the Portal first and SERP Framework second. It is expected however that work on both of these products will be ongoing and continuous throughout the grant and beyond.

#### *July 1, 2013 to December 31, 2013*

During the time frame of this report, the Best Practices and Tools Subcommittee continued to collect and describe resources to include in the Portal and worked to develop the SERP Framework. The Subcommittee worked with Informatics on the design and functionality of the web Portal within the existing CoSA Resource Center. Immediate goals and deliverables included:

- Completing the January - June 2013 interim report
- Continue to collect Portal content
- Develop SERP Framework based on DPCMM and map stages of SERP Framework to tools and trainings in the Portal
- Continue to develop the Portal with Informatics, Inc. and when ready populate the Portal with resources but not make it public until further testing is completed
- Establish schedule for webinars and develop initial plans for the 2014 Portal Workshop
- Complete both an interim narrative report and financial report

Throughout this time period work continued by the Subcommittee on identifying content for the Portal and Kussmann focused on the SERP Framework. Much time was spent working with Informatics on Portal development.

A kickoff meeting between Informatics, the Subcommittee, and the SERI Steering Committee was held September 6, 2014. Kussmann and Project Coordinator Becky Julson worked with the Subcommittee on the development and/or review of the creative design proposals, functional requirements, wireframe designs, and sitemap.

Kussmann created the resources documents and SERP Framework elements that Informatics used to populate the Portal. Regularly scheduled conference calls with the Subcommittee and Informatics were conducted regarding Portal and Resource Center design, functionality, and content.

Kussmann and Julson communicated with Informatics as needed to address additional questions of the Subcommittee or for follow-up on prior questions. Many of these meetings, calls, and emails focused on the functionality of the Portal and on how it should be populated with resources and the Framework elements. Weekly updates provided by Informatics were posted to Basecamp for all to keep up to date with progress. A site map was created by the Subcommittee for Informatics to work from. Alpha build release of the Portal was scheduled for early January 2014.

In November 2013 prior to the Best Practices Exchange conference in Salt Lake City, Carol Kussmann, Becky Julson, and Co-Chairs of the Best Practices and Tools Subcommittee, Patricia Michaelis and Ann Jenks met with the SERI Steering Committee. During this half-day meeting the Steering Committee was updated on PERTTS grant activities, including the budget and development of the Portal, Resource Center, webinars, self-directed training modules, and the daylong workshop in August 2014. Attendees of the Best Practices Exchange conference, including many state archives staff, were further informed about the activities of the Best Practices and Tools Subcommittee at a session chaired by Kussmann. Kussmann showed development of the Portal and SERP framework; Subcommittee member Christine Garrett (Alabama) discussed how the Alabama Department of Archives & History used their DCPMM Self-Assessment score to improve their digital records preservation capability; and Subcommittee member Cathi Carmack (Tennessee) facilitated a brainstorming session to determine what states needed most in terms of education, policies, tools and best practices to assist with Portal development.

Within this time period, four webinar topics were selected and documented on a Basecamp write board. The future webinars would be recorded and made available on the Portal. The Subcommittee also worked on identifying topics and presenters for the remaining webinars, as well as initial plans for the August 2014 workshop relating to the Portal.

#### *January 1, 2014 to June 30, 2014*

This time period focused on developing and reviewing the functionality of the Portal and its content. Immediate goals and deliverables included:

- Continue to compile Portal content but move towards selecting most appropriate content for Portal
- Review alpha and beta builds of Portal and provide feedback prior to public launch
- Continue to develop SERP Framework as necessary

- Prepare and deliver three webinars
- Submit interim narrative report for time period

Informatics Inc. released an Alpha Build of the Portal to the Subcommittee on January 10, 2014. A note from Informatics states: “An alpha build means there are many items we are working to finalize but you can see the website in a clickable format.” A Beta Build was released the week of February 7, 2014. During this testing period, only a few resources that were provided to Informatics were included in the releases. However, all resources were imported upon request for better testing of the search functionality. The removal of test data and import of the current list of resources (about 100 resources) was done the end of May 2014. Moving forward, additional resources submitted by anyone via forms would be added directly to the Portal by Kussmann.

Feedback was solicited from the Subcommittee on the functionality, look and feel, and content on both the Alpha and Beta builds. Early discussions focused on the Resource section of the Portal and on what the “resource types” should be; later discussions focused on the Search Functionality. Working within budget, change orders were discussed and implemented to increase functionality and ease of use. Over six months, discussions took place on a wide variety of topics/issues within the Subcommittee as well as with Informatics. Conversations, questions, concerns were tracked through the project website (Informatics hosted) and emails. Weekly updates were posted to Basecamp for all to review. As administrators of the Portal, Julson and Kussmann worked with and added content to the Portal to prepare for a July 2014 public launch. As needed, Julson and Kussmann met with Informatics to talk about the project and help define needs. A lot of back end work went into testing the functionality of adding resources after the initial import as well as into verifying the correct functionality of search, browse, and navigation within the Portal.

Addressing the SERP Framework, the Subcommittee continued to move forward on the templates created during the last period. Kussmann, drafted the SERP Framework for all 15 elements of the DPCMM, and created action steps to assist states in moving from one level to another. The Subcommittee reviewed the SERP Framework elements and mapped resources to specific elements. Resources previously collected were linked to the Framework elements. Each element was reviewed at least once before being placed in the SERP Framework section of the Portal by Kussmann.

Once the Framework elements were available in the Portal, Subcommittee members could access, review, and provide feedback on the content and functionality of the Framework. Resources continued to be linked to specific Framework elements. At this point in time, each Framework element had two associated web pages.<sup>10</sup> The first page listed the element’s definition and levels in chart form and provided links to associated resources; the second page also provided the definition and levels description but added additional information about how to increase a state’s ability to strengthen their skills. Links to all associated element resources, specific resources, helpful hints, and examples are also provided on this second ‘details’ page. Due to the nature of the elements, information on the details page varies. In addition to the

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<sup>10</sup> During the redesign, these two pages were combined into one as seen in this example here after December 15, 2015: <http://www.statearchivists.org/perfts/serp-framework/policy/>

resources and SERP Framework, Kussmann added a Glossary<sup>11</sup> and Case Studies page<sup>12</sup> to the Portal. Work continued on the SERP Framework content and design until the Portal site was frozen (June 24, 2014) by Informatics prior to a public launch.

The Subcommittee hosted three webinars during this time period.

- February 11: Electronic Records Surveying/Scheduling (Carol Kussmann, Mike Strom, Marcella Wiget). Attended by 65 participants from 37 states/territories.
- April 8: Electronic Records Policy (Cathi Carmack, Christine Garrett, Veronica Martzahl). Attended by 49 participants from 25 states/territories.
- June 10: Electronic Records Inventory (Sarah Grimm, Tibaut Houzanme). Attended by 60 participants from 33 states/territories.

Links to webinar slides and recordings (if possible) are available online.<sup>13</sup>

In addition to the Webinars, links to Self-Directed Training Modules<sup>14</sup> topics and presentations were made available in the Portal. These Training Modules serve as instructional guides on how to use a tool or how to perform a function/task. Subcommittee members identified modules of interest.

Julson and Kussmann worked with Subcommittee Chairs Patricia Michaelis and Ann Jenks to set the agenda for the upcoming PERTTS Workshop in Washington DC in conjunction with the CoSA/NAGARA/SAA annual meeting in August 2014. This day long meeting (split between two days) would provide attendees with detailed information about Portal content, background information and tools to better understand the Self-Assessment, as well as an opportunity for State Archives staff to talk about what they have been doing on issues related to Portal content. The schedule and topics were finalized in May. Limited funding was available to assist state archives staff to attend the PERTTS Portal workshop. Scholarship applications were sent out, reviewed, and approved by subcommittee chairs and Julson. With the initial budget and carried over educational funds, these scholarships assisted 23 attendees from 22 states attend the workshop. As of June 2014, 28 states and territories were signed up for the workshop.

The Subcommittee continued to work on collecting Standards, Tools, Policies/Guidelines, Best Practices, and Web Resources to include in the Resource Center. These were collected by completing Google forms, which populated a Google spreadsheet. Resources were also sent

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<sup>11</sup> Glossary Page prior to December 15, 2015: <http://rc.statearchivists.org/Content/Electronic-Records/Glossary.aspx>; After December 15, 2015: <http://www.statearchivists.org/pertts/glossary/>

<sup>12</sup> Case Study and Example Page prior to December 15, 2015: <http://rc.statearchivists.org/Content/Electronic-Records/Case-Studies-and-Examples.aspx>; After December 15, 2015: <http://www.statearchivists.org/pertts/case-studies-and-examples/>

<sup>13</sup> Link to webinar materials prior to December 15, 2015: <http://rc.statearchivists.org/Content/Electronic-Records/Education-Training/SERI-Educational-Webinar-Series/SERI-Educational-Webinar-Recordings-Materials.aspx>; After December 15, 2015: <http://www.statearchivists.org/pertts/education-training/seri-educational-webinars/seri-educational-webinar-recordings-materials/>

<sup>14</sup> Links to Self-Directed Training Modules prior to December 15, 2015: <http://rc.statearchivists.org/Content/Electronic-Records/Education-Training/Self-Directed-Training-Modules.aspx>; After December 15, 2015: <http://cosa.informaticsync.net/pertts/education-training/self-directed-training-modules/>

directly to Kussmann. Kussmann transferred all resources to an Excel file for Informatics to use to populate the Resource Section of the Portal.

*July 1, 2014 to December 31, 2014*

Early on in this phase, the Portal went live. Main goals and deliverables included:

- Webinar about the Portal
- Introduce states to Portal and related content (August one day in person workshop)
- Deliver three additional webinars
- Receive and act on feedback provided about the Portal
- Have states retake Self-Assessment
- Turn in the final narrative and financial report for the grant.

The Best Practices and Tools Subcommittee continued working on adding resources (a total of 240 prior to launch) to the Portal, as well as reviewing changes made by Informatics, and commenting on what additional changes were needed prior to launch. Work on the Portal with Informatics was finalized and the Portal was made publicly available on July 1, 2014.

A webinar introducing the Portal to State Archives staff was given July 15, 2014. This summer webinar had 31 attendees from 27 states and provided an overview of the Portal. Archives staff were introduced to the main sections of the Portal including the Self Directed Training Guides, the SERP Framework, the Resources, Glossary, and Case Studies and Examples. A live demonstration of the Portal was given during the webinar.

The PERTTS Portal Workshop was held August 12--13, 2014 during the CoSA/NAGARA/SAA Joint Annual Meeting. There were 69 attendees from 36 states and territories. The Workshop provided information about the grant, Portal development, and Portal content (Education and Training, SERP Framework, and Resources), which expanded on the July webinar. A live demonstration was done tailored to attendees' questions. Attendees also provided feedback on the Portal, which the SERI Best Practices and Tools subcommittee worked to implement.

During the workshop attendees learned how colleagues were using resources and tools in the Portal and how the resources/tools might be applicable in their own environments with presentations by archives staff. Staff from state archives made four presentations about standards, tools, and workflows they use. Allen Ramsey discussed the Connecticut Digital Archives Collaborative. Nat Wilson (Minnesota) demonstrated how he creates and uses checksums created with Bag-It. Chelle Somsen explained how South Dakota is addressing file structure and naming conventions. Tibaut Houzanme demonstrated the tools Indiana used to select appropriate standards to follow.

Workshop attendees also heard from Lori Ashley and Charles Dollar, the original authors of the DPCMM. They addressed the Self-Assessment section by section by answering questions states had while taking the Self-Assessment in 2012 to better prepare them to retake it in 2015.

All presentation materials from the workshop remain available on the website<sup>15</sup>.

Towards the middle of this reporting period a no-cost extension was requested to allow for coordination with CoSA's IMLS Laura Bush 21st Century grant. Both projects required states and territories to retake the DPCMM Self-Assessment to evaluate the amount of progress made over the past years. An extension would allow CoSA to administer the Self-Assessment once rather than twice within a six-month period to satisfy requirements for both grants - while being respectful of state and territorial archive staff time. [The request for the no-cost extension was officially approved in January 20, 2014 changing the final reporting period to cover January 1, 2013-August 31, 2015.]

A grant extension would also provide the BPT Subcommittee extra time to continue to modify the Portal and discuss how to blend it more cohesively with the rest of the CoSA website, something of interest to the CoSA Steering Committee. With additional external and remaining grant funds, the BPT Subcommittee began to discuss options with Informatics to enhance functionality late in this reporting period. As always, the Portal itself was continually being updated.

The Subcommittee hosted four webinars during this time period, which fulfill the grant requirements for educational webinars.

- July 15: PERTTS Portal Overview (Carol Kussmann) Attended by 31 participants from 27 states/territories.
- October 14: Electronic Records Ingest (Veronica Martzahl, Mark Myers) Attended by 62 participants from 31 states/territories.
- November 5: Storage for Electronic Records (Veronica Martzahl, Tibaut Houzanme) Attended by 53 participants from 27 states/territories.
- December: BPE Recap Reports featuring Meg Philips on Open Source Tools for E-Records Management (Meg Philips - NARA and BPT Subcommittee Members) Attended by 53 participants from 32 states/territories.

Links to webinar slides and recordings (if possible) are available online.<sup>16</sup>

*January 1, 2015 - August 31, 2015 [No-cost extension approved January 2015 to move end date from December 31, 2014 to August 31, 2015]*

The additional time provided as a no-cost extension allowed the BPT Subcommittee to administer the Self-Assessment in coordination with the Education Subcommittee, continue to populate the Portal, and better integrate the CoSA website and the Portal. Goals and deliverables for this final time period include:

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<sup>15</sup> Portal Workshop Materials prior to December 15, 2015: <http://rc.statearchivists.org/Content/Electronic-Records/Education-Training/PERTTS-Portal-Workshop.aspx>; After December 15, 2015: <http://www.statearchivists.org/perfts/education-training/perfts-portal-workshop/>

<sup>16</sup> Link to webinar materials prior to December 15, 2015: <http://rc.statearchivists.org/Content/Electronic-Records/Education-Training/SERI-Educational-Webinar-Series/SERI-Educational-Webinar-Recordings-Materials.aspx>; After December 15, 2015: <http://www.statearchivists.org/perfts/education-training/seri-educational-webinars/seri-educational-webinar-recordings-materials/>

- Integrate CoSA website with the Portal for more cohesive experience
- Continue to populate the Portal with resources
- Modify Portal as needed for ease of use if necessary
- States retake the DPC Self-Assessment for bench-marking
- Final financial report Due November 30, 2015 (January 2013 – August 31, 2015)
- Final narrative report Due November 30, 2015 (January 2013 – August 31, 2015)

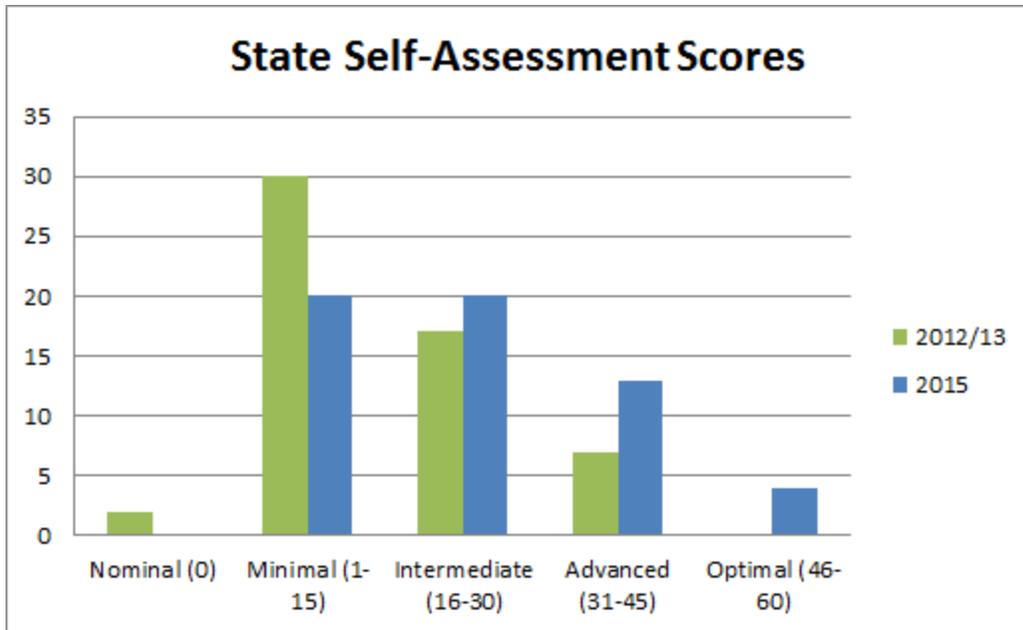
Kussmann stayed on with the project during the no-cost extension. She worked closely with Julson and Informatics during the functional requirement gathering process and implementation phase to ensure that the needs of the PERTTS Portal and Electronic Records Resource Center were addressed during the revamping of the CoSA website focusing on the resource section of the PERTTS Portal. Through this time Kussmann also attended meetings, worked to add content to the Portal, edited existing Portal content, and fixed broken links in the Portal.

As previously stated, the main reason for the no-cost extension request was to change the timing of when the Subcommittee would ask the states/territories to retake the Self-Assessment allowing the CoSA membership to only having to re-take the Self-Assessment once instead of twice in a six month period to fulfill multiple grant requirements.

States and territories were asked to retake the Self-Assessment in May of 2015. As of August 2015 all states/territories had completed the Assessment. Members of the Education Subcommittee who initiated both the initial and follow up survey analyzed the results and provided summary data to the SERI Steering Committee for review. In summary:

- 49 states and territories (87.5%) improved their score in at least one capability component
- 43 states and territories (77%) increased their overall score
- 5 states and territories (9%) maintained the same score
- 8 states and territories (14%) decreased their score

Comparing the “level of preservation readiness” for the number of states and territories between surveys shows a trend for increasing capabilities. In 2012/13 there were two states with 0 points and zero states with over 45 points. In 2015, there were zero states with 0 points and four states with more than 45 points. In addition, ten states moved from the Minimal category to a higher level. The greatest increase in levels was in the Advanced level with 6 additional states moving into this category, followed by 4 moving into the Optimal level. However, not all states increased their scores. Lack of dedicated staff and/or funding is most often cited for reasons why improvement was not made. It is difficult to establish funding for any ‘new’ duty in state agencies as funding situations are subject to change after each election as the state itself is possibly a significant source of funding. Prior to being made part of a program, many positions are also grant funded which may or may not be supported after the grant is completed. Both examples are difficulties state and territory archives must work through moving forward to increase their electronic record capabilities. [Additional details about the assessment results are provided under Objective #9 in this report.]



**State Rankings by Category - Showing increase in capabilities between 2012/13 and 2015**

Work during this extension period was focused on two outcomes: 1) the Self-Assessment [discussed above], and 2) integrating the PERTTS Portal and the main CoSA website. Both of these activities required input and cooperation across CoSA's units including other SERI Subcommittees, the SERI Steering Committee, and the CoSA Steering Committee.

Addressing the website integration started in late 2014 and moved forward in January 2015 after the no-cost extension was approved. In January 2015 the conversations between the CoSA Steering Committee, SERI Steering Committee, and Best Practices and Tools Subcommittee resulted in discussing possibility of continued work with Informatics on the website to integrate the main CoSA website and the PERTTS Portal. By February, the committees and Informatics were defining the scope of work and discussing the selection of a content management system. A signed agreement with Informatics was completed in March. April involved discussing a detailed framework describing the revamping of the sites. Discussions also focused on adding new resource types within the Portal, which were not able to be included in the initial development.

Up until this point, new resources and edits were being made within the Portal however it became understood that all of the web addresses in the newly created Portal would change. It was at this point that publicizing the Portal and resources within was reduced. Great effort in publicizing the new website must be made. Adding new content to the Portal was also stopped so Informatics could import a complete list of resource into the builds at any time. However, an added feature of the new website will be the integrated ability to add a resource by any logged in user. New resources will no longer need to be submitted by a user and entered by an administrator; administrators only need to approve the resource. Users will be notified about submissions and approval status by email automatically.

Functional specifications and creative design were discussed in more detail throughout June. Wireframes and mockups were provided as part of the new functional specifications document including the new resource type for the Portal. In July an initial schedule was provided indicating time of completion being mid-September. An Alpha build was made available in August. [Informatics states “An alpha build means there are many items we are working to finalize but you can see the website in a clickable format.”] With this build, the Subcommittee needed to understand how the old content from the CoSA website and from the Portal would work together, how new modules such as a calendar and blog would function, as well as making sure information was presented in a usable fashion. This was difficult to accomplish with the limited content made available in the build. After many discussions and implemented changes the mid-September launch date was passed. Work continued as functional and cosmetic errors were addressed. With more real information and data being loaded into the site, additional issues were discovered. At the time of this writing issues remain on the back end as well as the user side and ranged from functional errors to cosmetic issues. In October, a new launch date was set for November 4, 2015. In mid-November, the bugs were still being worked out and expect a launch date of a functional website in December. It was hoped to have the new site available prior to this grant report deadline, however is important for CoSA to launch a new website that looks nice and is functional for its users rather than rush development.

With the upcoming launch of the revamped CoSA website and the integrated Portal interface with enhanced functionality, the SERI Steering Committee and continuing Best Practices and Tools subcommittee look forward to promoting the Portal and increasing the scope of tools and resources reflected in the system. Continued maintenance of the Portal figures prominently in the plans and goals of the Steering Committee and the CoSA leadership is committed to ensuring its long-term usefulness and viability.