CoSA & Preservica Practical Digital Preservation 2016

Digital Preservation in the Real-World & Program Round-up
June 21 2016
Welcome!

**PDP “Hot Topic” Webinars**
(Tuesdays 2-3pm Eastern)

- Ingesting records from multiple sources and systems  Dec 08 2015
- Automating email archiving and preservation  Feb 23 2016
- New ways of providing public access to your archive  Apr 26 2016
- Real-world digital preservation and program round-up  Jun 21 2016

**PDP Online Workshops - with focus on records and email**
(Tuesdays 2-4pm Eastern)

- Nov 10 2015: Part 1
- Nov 17 2015: Part 2
- Mar 08 2016: Part 1
- Mar 15 2016: Part 2
- May 10 2016: Part 1
- May 17 2016: Part 2

Digital Preservation in the Real-World

- Introduction
- Resources, tools, hints & tips
- How other states have approached the challenge
- Summary and Questions
Digital Content older than 10 years is at risk
Digital Content older than 10 years is at risk

Organisations that need to keep digital records and information for the long-term because of it’s importance

Information Managers are aware that technology obsolescence puts long-term digital records at risk

98% Yes

97% Yes
Digital Content older than 10 years is at risk

Organisations that need to keep digital records and information for the long-term because of it’s importance

Information Managers are aware that technology obsolescence puts long-term digital records at risk

We need it! Now how do we get buy-in?
Digital Preservation: 5 Step Journey

**Inputs**

- **What do I need to preserve?**
  - Digital asset register template
  - Digital Value at Risk
  - Educational material

- **How do I get organisational buy-in?**
  - Business cases
  - DP Policy template
  - DP Best Practice
  - Peer network experience

- **What solution do I need?**
  - Requirements templates
  - Pilot package

- **How do I deploy my solution?**
  - Implementation plans and packages
  - Hardware options
  - Training packages

- **How do I realise the benefits?**
  - Continual improvement template
  - Certification assessment template

**Assess digital assets**

**Build vision & business case**

**Create policy & specify system**

**Deploy system & train users**

**Certify, Measure, & improve**

**Outputs**

- **Comprehensive Digital Asset Register**
  - Approved Business Plan
  - Draft Digital Preservation Policy

- **Approved DP Policy**
  - System spec.
  - Experience
  - Procurement process initiated

- **Live system**
  - Trained staff
  - SOPs

- **ISO 1636 Trusted Digital Repository**
  - Benefits review
  - Continual improvement plan

What do I need to preserve?

How do I get organisational buy-in?

What solution do I need?

How do I deploy my solution?

How do I realise the benefits?
Building the Case

• What do I need to preserve?
• What are the risks, consequences and benefits to our organization?
• How does our organization shape up?
• What are other organizations doing about it?
• What do I need and how much will it cost?
What do I need to preserve?

- Size, scale and scope

- Digital Asset Audit/Register
  - what content, format, where is it stored?

- Engage other departments (builds stronger ROI)

- Look for high-profile “quick wins”
What are the risks and consequences?

Risk Matrix

Consequences of loss

Risk of digital loss

- **Unlikely & catastrophic**
- **Likely & catastrophic**
- **Likely & problematic**
- **Unlikely & trivial**

Digital Value at Risk Calculator

Quantify the risks and consequences

- Failure to meet mandate
- Legal & financial liability
- Regulatory fine
- Reputational damage
- Cost of re-digitisation
- Born-digital material lost forever
- Loss of knowledge
Quantify the benefits

- Make digital information more accessible (transparent)
- Enable future reuse of information
- Preserve heritage or corporate memory (brand value)
- Save time searching for information
- Respond quickly to legal and compliance challenges
- Retire existing legacy systems (saving cost)
- Support digital ways of working
How does your organisation shape up?

- Use a **Scorecard** to sell to Stakeholders


- **DPCMM** Scorecard Audit: [www.digitalOK.org](http://www.digitalOK.org)
PERTTTS Portal


Education - Training
Webinar and training opportunities available through CoSA. Information on and links to opportunities from other organizations are also included.

SERP Framework
The State Electronic Records Preservation (SERP) Framework provides information and guidance on 15 different areas on how to move forward in areas associated with digital preservation. The SERP Framework is based on the Digital Preservation Capability Maturity Model which states are using in the CoSA requested Self-Assessments.

Electronic Records Resources
Searchable database of resources including tools, standards, policies/guidelines, and other informational guides related to digital preservation and records management topics can be found in the CoSA Resource Center.

* Add resources! Login to submit resources that you find most helpful. When ready to add a resource, click the Add Resource button on the Resource Center Home page.
Policy

DEFINITION: The government unit charged with ensuring preservation and access to permanent legal, fiscal, operational, and historical electronic records should issue its digital preservation policy in writing including the purpose, scope, accountability, and approach to the operational management and sustainability of trustworthy digital repositories.

<table>
<thead>
<tr>
<th>Level</th>
<th>Description</th>
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<tbody>
<tr>
<td>0</td>
<td>The Archives/RM unit does not have a written digital preservation policy.</td>
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<tr>
<td>1</td>
<td>The Archives/RM unit has a digital preservation policy in development but it has not yet been approved or issued.</td>
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<tr>
<td>2</td>
<td>The Archives/RM unit has issued a digital preservation policy and it is widely disseminated to stakeholders.</td>
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<tr>
<td>3</td>
<td>The Archives/RM unit periodically conducts a self-assessment and reports its adherence to its digital preservation policy.</td>
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<tr>
<td>4</td>
<td>The Archives/RM unit reviews and updates the digital preservation policy at least every two years. The policy should be reviewed on a regular basis to determine if the information is still applicable based on current business needs and circumstances.</td>
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Resources

Resources associated with the Policy Framework elements assist with providing background information and useful examples that can be consulted when trying to develop a policy or move forward in the area of policy development.
Talk to other organizations......

Allen Ramsey
Connecticut

Bryan Collars
South Carolina

Lisa Speer
Arkansas

Mary Dunn
Arkansas
A collaboration between the University of Connecticut Libraries, Connecticut State Library, and Connecticut Cultural Heritage Organizations

Allen Ramsey, Assistant State Archivist, Connecticut State Library
What is the CTDA?

- The CTDA is dedicated to the maintenance, delivery, and preservation of a wide-range of digital resources for educational and cultural institutions and state agencies in the State of Connecticut.
- The CTDA is a digital repository built on the Open Archival Information System (OAIS) (ISO 14721).
- Participation in the CTDA is open to all educational, cultural, and memory institutions based in the state of Connecticut that have a mission to preserve and make available historically valuable resources and records.
- Governance: Advisory Committee; and Technical Roadmap.
CTDA Infrastructure

• Built on Fedora (Flexible Extensible Digital Object Repository Architecture) version 3.71 repository software.

• Islandora version 7.15 (Drupal 7) for administrative, discovery and presentation layer built on Drupal.

• Handle System for persistent and unique identifier generation system and lives in the MODS metadata.

• Does not require any particular presentation layer.

CTDA Development

2011-2013

• State Librarian Kendall Wiggin learned about Greg Colati, Associate University Librarian, University Archives and Special Collections at the University of Connecticut, digital preservation initiative.

• Discussions continued on costs, name of the repository, storage and projected storage needs of the State Library, management and presentation layers, etc.

• CTDA launches on November 13, 2013 with 20,000 digital objects from one collection – Thomas J. Dodd Nuremberg trial papers held by the University Archives.
2014-2015

• State Library begins ingesting digital objects into the CTDA and presentation channel goes live.

• Uniform Electronic Legal Material Act (UELMA) signed into law in 2014.

• *Regulations of Connecticut State Agencies* automated ingest model.

• 100,000 digital objects ingested mark reached by participants.
CTDA Future Developments

2016-2018

• State Librarian convenes an internal steering committee to advise on moving the Library’s digital objects from platforms such as ContentDM to the CTDA – a roughly estimated 1 million digital objects (equal to about 9 TB+) will need to be ingested!

• 40+ CTDA participant institutions including public and academic libraries, historical societies, museums, state agencies, etc.

• First annual CTDA Participants’ Day, June 10, 2016.

• Functionality: external batch upload (2017); Fedora 4 (2018); and open APIs direct to Fedora (2018).

• Architecture: storage architecture on University servers (2017); and third-location redundancy through APTrust/DPN/AWS Glacier (2017).
Advice and Lessons

• Partner with institutions that have similar missions

• Collaborate with Information Technology (IT)

• Communicating the difference between preservation and “back up”

• Credibility from the Executive Branch

• Convincing state agencies

• Proximity to CTDA staff
Further Information

• Connecticut Digital Archive (CTDA)
  • [http://ctdigitalarchive.org/](http://ctdigitalarchive.org/)
    • More information can be found under the “About” and “Resources” drop down menus such as:
      • Policies: [http://ctdigitalarchive.org/ctda-policies/](http://ctdigitalarchive.org/ctda-policies/)
  • CTDA Collections site: [http://collections.ctdigitalarchive.org/](http://collections.ctdigitalarchive.org/)
    • This is an aggregated presentation channel of any participants shared content. In the footer of the page you will also find links under “News and Information” to channels’ statistics; newsletters; participants’ lists; event calendar; and links to Trello, Slideshare and Github sites.
  • CTDA Development Trello Board: [https://trello.com/b/ELToWElE/ctda-development](https://trello.com/b/ELToWElE/ctda-development)
Further Information (cont.)

- Connecticut State Library
  http://ctstatelibrary.org/
- Digital Collections:
  http://digitalcollections.ctstatelibrary.org/islandora/object/islandora%3Aroot
- Public Records Policy 02: Digital Imaging and Standards:
- Recommendations of the State Librarian for Establishing Standards and Guidelines for the Preservation and Authentication of Electronic Documents issued January 5, 2012:
- Recommendations of the State Librarian Concerning the Retention Schedule for Land Use and Development Records issued January 1, 2016:
- Remembering World War One: Sharing History/Preserving Memories,
  http://ctinworldwar1.org/.
  This is an example of a project that through community digitization events has created collections and ingested content directly into the CTDA.
Contact

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Assistant State Archivist
Connecticut State Library
State Archives
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Selecting an Electronic Records Repository Platform
How we conjured something from nothing

As Presented By
Bryan Collars
South Carolina Department of Archives and History
2016
Background

- Theory but very little practice (Camp Pitt?)
- Starts and Stops and Re-Starts and Communes
- NDIPP
- PeDALS
- Then in 2008

6 long years later........
2014: A new attempt

- New Director (2009)
- New hardware funding
  - Installed August 2015
- Search for an Electronic Records Archivist
- June 2014 – New Electronic Records Archivist hired
- Process begins, 4 steps
The plan

Research/literature review

Policy writing (draft)

Testing and evaluation
  - Self assessment
  - Testing

Final recommendation and acquisition
Final Criteria reached

Tier 1
- Integrated Repository Platform
- Automated repository services
- Integrated access tools

Tier 2
- Unintegrated Repository Platform
- Some or all automated repository services
- Manual DIP connection to access or mediated access

Tier 3
- Manual preservation tools resulting in a repository
Implementing Preservica at the Arkansas State Archives
A bit of necessary background...

- Officially established in 1905 as the Arkansas History Commission
- Act 905 (1995) established first records management and archives program
- Repealed in 2005 for lack of funding
- As of January 2016, working with only about 13% of state agencies in preservation of records
- In February 2016, Governor Asa Hutchinson (R) mandated state agencies, offices and departments to work with state archives to preserve historical records having long-term value.
- In March 2016, began holding state records workshops with agencies to discuss issues including:
  - Transferring records having long-term value to the state archives
  - Preservation of electronic records
- Purchased Preservica in spring 2016
Electronic records preservation challenges

- State Archives played no role in developing guidelines
- “Current” guidelines are 11 years old
- Each individual agency is authorized to decide for itself how electronic records will be managed
  - Agency plans run gamut from nothing to scanning everything as PDFs
- Electronic agency records retention schedules are based on retention schedules for paper records, *which make no mention of state archives*
  - Records having long-term value are not necessarily retained
- Printing electronic correspondence (email) is recommended as a storage option
Stepping into the void

- Creating an electronic records preservation program is a problem with a multi-faceted answer.
  - Installing a digital preservation software is a step towards the solution.

- What does a solution involve – and how did we reach one?
  - Determining the goals of a successful program
  - Outlining roles and responsibilities
  - Securing funding
  - Gaining the cooperation of records’ creators
  - Working with parameters of IT department
  - Investigating digital preservation software options and deciding what works best for your organization
Moving forward

- Will need to address specific challenges:
  - Lack of legal mandate
  - Raising awareness of the State Archives among state agencies
  - Raising awareness of good ERM preservation practices among state agencies
  - Addressing variety of digital preservation needs among agencies
  - Acquisition of permanent funding for program
  - Increasing agency infrastructure to support comprehensive RM/ERM

- Tips & Recommendations
  - Don’t adopt a “If you build it, they will come” approach – outreach is necessary.
  - Establish connections with records’ creators and tailor goals around their needs.
  - Don’t reinvent the wheel – draw on the experience and research of colleagues
Thank you for your attention! We would also be happy to answer any questions by phone or email:

Dr. Lisa Speer, Director  
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501-682-6901

Mary Dunn, Archival Manager  
[mary.e.dunn@arkansas.gov](mailto:mary.e.dunn@arkansas.gov)  
501-682-6896
What do I need and how much will it cost?

People

Policy & Process

Content

System
What else do I need to consider?

• “Out-of-the-Box” connectors to other systems

• Included support, maintenance and upgrades

• An active, collaborative User Group and Forum

• Public and internal access
  • key to sustainability and transparency
Summary & Next Steps

• Talk and learn from others organisations

• Use tools & templates to make the case

• Think about long-term sustainability (access)

• Recap the PDP Program Webinars!
  • Achieving ISO Standards for your digital archive
  • Ingesting records from multiple sources and systems
  • Automating email archiving and preservation
  • New ways of providing public access to your archive
  • Real-world digital preservation and program round-up

Questions?
Thank you!

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www.statearchivists.org/