Welcome to the
SERI Educational Webinar
July 22, 2014

Let us know who you are, where you’re from, and who is participating with you today

Use the chat box on the right of the screen to type your name, state, and the names of those watching the webinar with you.

You can connect to the audio portion of today’s webinar through your phone line or through VoIP
ACKNOWLEDGEMENTS

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

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PERTTS

Portal for Electronic Records, Training, Tools and Standards

- Hub for information, resources and training relating to electronic records

GRANT DELIVERABLES

- Creation of the PERTTS Portal with information about electronic records
- Informational webinars (8)
- In-person workshop (August 12-13, 2014)
- Development of the State Electronic Records Program (SERP) Framework
BEST PRACTICES AND TOOLS
SUBCOMMITTEE WORK (PORTAL)

- Defining what types of information should be included in the Portal
- Defining Portal requirements
- Collecting information for the Portal
- Defining major sections of the Portal
- Information gathering early 2013; Portal site development started Sept/Oct 2013; Portal publicly available July 1; Work continues – want feedback.
EDUCATION / TRAINING

- SERI Educational Webinar Series
  - Links to monthly webinars
- SERI Electronic Record Institutes
  - Links to presentations at Intro Institute (Advanced added after October)
- Self Directed Training Modules
  - Links and guides to assist with specific tasks
- Other Educational Opportunities
  - Links to other organizations
SELF DIRECTED TRAINING

- How to use tools / implement a process
- Organized by activity or function
  - Authentication / Integrity Processes
  - File Format Conversions
  - File Duplication Detection
  - File Property Identification
  - File Renaming
  - Ingest / Accessioning Processes
  - Metadata Processes
SERP FRAMEWORK

- Home Page – background information and description
- 15 Framework Elements
  - Based on CoSA Self-Assessment (based on the Digital Preservation Capability Maturity Model)
  - Each element has two associated pages
    - Element definition with levels
    - Details on / processes for moving between levels and increasing program capabilities
RELATED / ADDITIONAL FRAMEWORK TOPICS

- **Topics of Interest**
  - Added for flexibility/expansion needs
  - Based on your questions / needs
  - Related to or separate from SERP Framework

- **Brief summary with examples from state programs.**

- **Related to Case Studies / Examples**
RESOURCES

- Cover records management and preservation topics
- Resources categorized by type
  - Education/Training
  - Policy/Guidelines
  - Standards
- Basic Search / Advanced Search
- Results: Links to and information about each resource
GLOSSARY

- Terms and abbreviations related to the management of, preservation of, and access to digital materials.

- Compiled from various sources
CASE STUDIES AND EXAMPLES

- Alphabetical list of case studies / examples
- Provide specific examples to areas in which questions were asked in the Framework
- Links to related Framework element / vice versa (also hover link)
DEMONSTRATION

Walk through sections of the PERTTS Portal.
Selected screen shots accompany this handout.

http://rc.statearchivists.org/Default.aspx
SCREEN SHOTS

Static views of the Portal to help define sections
PERTTS PORTAL
Program For Electronic Records Training, Tools, and Standards

Electronic Records

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. (Based on the Digital Preservation Capability Model which States are using to complete self-assessments.)

Resources
Searchable resources on tools, standards, policies/guidelines, and other informational guides related to digital preservation and records management topics can be found in this Resources section.
As part of the SERI program, CoSA has created a pool of electronic records education and training materials for states and territories to utilize in the management of their electronic records programs. These materials include SERI Educational Webinars on current electronic records topics, materials and information created and used for the SERI Electronic Records Institutes, and Self-Directed Training Modules on a variety of electronic records topics.

In addition to the materials produced directly by CoSA, the Education-Training section of the PERTTS Portal also includes Other Educational Opportunities made available through archives and records management organizations such as the Society of American Archivists, AMRA International, and the Library of Congress.
SERI Educational Webinar Recordings & Materials

Most Recent:

Electronic Records Inventory

Presented by Tibaut Houzanme and Sarah Grimm in June 2014.

- Electronic Records Inventory webinar recording
- Electronic Records Inventory webinar slide deck (PDF)

Past Webinars in alphabetical order:

Digital Preservation Policy Development
Self-Directed Training Modules

This section of the PERTTS Portal links to resources that assist with learning how to use various tools or how to implement a process and/or standard. These "self-directed training modules" are usually in the form of how-to guides or short videos.

These resources can also be found in the Resources section of the Portal, however they are pulled out and organized by specific functions or activities because they specifically explain how to use something rather than just providing background information.

Tools and guides for the following activities or functions can be found here:

- Authentication / Integrity Processes
- File Format Conversions
- File Duplication Detection
- File Property Identification
- File Renaming
- Ingest / Accessioning Processes
- Metadata Processes
Ingest / Accessioning

One of the main goals of State Archives is to ingest and process materials. When these materials are digital additional tools or processes must be used to capture required information.

The tools listed here may assist with possible ingest workflow processes, accessioning processes, or following best practices for handling digital materials.

- **Bag-It / Bagger**: Bag-It is a file packaging specification and tool that can be used to transfer materials from one location to another. The packages, or Bags, that are created include file manifests and checksums for all of the Bag contents. The North Carolina State Archives created a user guide on how to install and use BagIt. Other guides have been written by Carleton College and the Minnesota State Archives.

- **Duke Data Accessioner**: Created for and by the Duke University Libraries, the Duke Data Accessioner can be used to capture metadata during file transfer from one location to another. Using the adaptors for DROID and JHOVE and the metadata managers associated with the Accessioner, file level metadata is captured and recorded in an XML file. The Accessioner identifies file formats, validates them, and if using the Duke PREMIS metadata manager, records the MD5 hash value for each file. Additional instructions, background information, and other resources can be found on Duke’s website. While exploring the functionality of the Duke Data Accessioner, the Minnesota State Archives wrote a basic user guide.

- **Forensic Workstations**: Best practices of ingesting and processing electronic records may include the use of a forensic workstation which protects the metadata of the files being looked at from inadvertently being changed. The University of Hull wrote a guide on how they use a forensic workstation.

- **FTK Imager**: Is a tool that can be used to create a disk image to assist with processing electronic records from hard drives or USB devices. The University of Hull wrote a guide on how they are using this.
## OTHER OPPORTUNITIES

### Other Educational Opportunities

The following organizations have links to educational opportunities that may be of interest.

#### Society of American Archivists
- Annual Meeting
- Continuing Education Calendar
- Continuing Professional Education Catalog

#### ARMA International
- Online Courses
- Web Seminars
- Publications

#### National Information Standards Organization (NISO)
- 2014 Events including webinars, virtual conferences, and training programs

#### National Association of Government Archives and Records Administrators (NAGARA)
- In-person conferences

#### Digital Preservation Outreach and Education (DPOE)
A Library of Congress Initiative that works to set up a network of trainers, provides a calendar of educational opportunities, and links to past recordings.
- Calendar of Events, Webinar Recordings, and Train-the-Trainer Information
SERP Framework

The State Electronic Records Program (SERP) Framework provides information about digital preservation issues to assist with improving electronic records programs.

Background

One of the goals of the State Electronic Records Initiative (SERI) is to assist State Archives with increasing their understanding of and capabilities for managing and preserving digital materials. To create a baseline, each State and Territorial Archive took the "Self-Assessment Survey" in 2012. States will be asked to retake their Self-Assessment periodically to see how their programs have improved after going through SERI training programs and educational events. The Framework elements are the same as the sections found in the Self-Assessment.

Framework Description

The SERP Framework was developed as one to improve their scores on the Self-Assessment, same as the sections found in the Self-Assessment, based on earlier versions of the Digital Preservation Competency Model (DPCMM). [Newer versions of the DPCMM are match the Framework provided here.]

Framework Elements

Using the links on the side bar the page for the Framework Element displays the element definition and corresponding levels. The Framework Element Details page also displays the element definition but includes the information on how to move between levels or increase capabilities in that area.
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 0</th>
<th>The Archives/RM unit does not have a policy.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Level 1</td>
<td>The Archives/RM unit has a digital preservation policy, but it has not yet been approved.</td>
</tr>
<tr>
<td>Level 2</td>
<td>The Archives/RM unit has issued a policy, and it is widely disseminated to stakeholders.</td>
</tr>
<tr>
<td>Level 3</td>
<td>The Archives/RM unit periodically reports its adherence to its digital preservation policy.</td>
</tr>
<tr>
<td>Level 4</td>
<td>The Archives/RM unit reviews and updates its digital preservation policy at least every two years. This should be conducted on a regular basis to determine if the information is still applicable based on current business needs and circumstances.</td>
</tr>
</tbody>
</table>

**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. (Resources)

**More Information**

As part of the SERP Framework, suggestions on how to move between the levels is provided to assist organizations in developing their electronic records programs. (Policy Details)
Policy Details

Definition
The government unit charges 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.

Policy Resources

Level 0
The Archives/RM unit does not have a written digital preservation policy.

Move to Level 1: Work with team members and stakeholders to develop a digital preservation policy. Resources include links to sample policies as well as information on what should be included in digital preservation policies. Resources/Examples

Jump to Level 2: Issue and widely disseminate digital preservation policy to internal and external stakeholders.

Level 1
The Archives/RM unit has a digital preservation policy in development but not yet been approved or issued.

Move to Level 2: Issue and widely disseminate digital preservation policy to internal and external stakeholders.

Helpful Hints

Something to Consider
- This Policy Framework element discusses the development and review of a high level digital preservation policy, sometimes called a preservation framework document. Keep in mind that there are also lower level policies that document or address specific aspects or activities of digital preservation that may not be detailed in a higher level document.
- Policies help define the responsibilities of the organization, address access, and assist with protecting privacy. Policies can also help explain your mission to stakeholders.

Resources
The resources below, which have been pulled out are provided for your convenience, can also be found in the Resource Center section of this portal.

SERI Webinars
- Crafting a Digital Preservation Policy
- Digital Preservation Policies: Building a Framework

How to Start a Policy
- Establishing a Digital Preservation Policy (JISC)
- Digital Preservation Policy Guidance (UK National Archives)

Sample Policies
- ICPSR
Related/Additional Framework Topics

In addition to the SERP Framework elements, State Archive Staff have identified the following topics as areas of interest. Information on each area has been provided based on resources and feedback from State Archives.

Areas of Interest include:

- **IT Infrastructure**: It is important to understand the IT infrastructure you are working in. Do you share IT infrastructure across all state agencies, within your parent organization, or are you able to make IT decisions on your own? Understanding this will help when you start to look at records management techniques across state agencies and as you review tools and systems for records management, preservation, and access.

- **Preservation Plan Processing Workflows**: There are many different ways to work with digital materials. Some organizations have begun to develop processing workflows and preservation plans that address long-term monitoring.

Questions or Concerns?
Contact CoSA
Resources

Resources below cover many topics related to the management and preservation of electronic records. Resources include information on Education/Training pieces, Policies/Guidelines, Standards, Tools, and links to other Web Resources.

For more information on how to search and sort/interpret results click here

<table>
<thead>
<tr>
<th>Keyword Search:</th>
<th>Resource Type:</th>
<th>Framework Element:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Keyword Search</td>
<td>-- Resource Type --</td>
<td>-- Framework Element --</td>
</tr>
</tbody>
</table>

Advanced Search

Search  Clear Search Criteria

Displaying Resources 1 through 25 of 245

<table>
<thead>
<tr>
<th>Resource</th>
<th>Resource Type</th>
<th>Brief Description</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>4C: Collaboration to Clarify the Costs of Curation</td>
<td>Web Resource</td>
<td>A European project to assist with taking advantage of cost modeling tools as well as producing resources for the community to use.</td>
<td>0</td>
</tr>
<tr>
<td>71 Digital Portals to State History</td>
<td>Web Resource</td>
<td>A blog post that shares links to websites that provide access to state history.</td>
<td>0</td>
</tr>
</tbody>
</table>
ADVANCED SEARCH

Resources below cover many topics related to the management and preservation of electronic records. Resources include information on Education/Training pieces, Policies/Guidelines, Standards, Tools, and links to other Web Resources.

For more information on how to search and sort/interpret results click here

I would like the search to match

Keyword Search:

Resource Type:

Topics


Associated SERP Framework Elements

- Policy  - Open Standard / Neutral Formats Device / Media Renewal
- Strategy  - Designated Community
- Governance  - Electronic Records Survey
- Collaboration  - Integrity
- Technical Expertise  - Security

Search  Clear Search Criteria  Cancel Advanced Search
<table>
<thead>
<tr>
<th>Resource</th>
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<th>Brief Description</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Digital Preservation Cost Modeling: Where did it all go wrong?</td>
<td>Web Resource</td>
<td>A blog post discussing a digital preservation costing workshop and his opinions on the topic. This provides another angle on which to think about costing issues.</td>
<td>0</td>
</tr>
<tr>
<td>Cost of Inaction Calculator</td>
<td>Tool</td>
<td>This tool may assist with the decision to digitize audiovisual materials or not. From the AV Preserve website: &quot;The Cost of Inaction Calculator [COI] is a free online tool that helps organizations an...</td>
<td>0</td>
</tr>
<tr>
<td>JISC Digital Media</td>
<td>Web Resource</td>
<td>As the home page for JISC Digital Media, links to resource guides, training, case</td>
<td>0</td>
</tr>
</tbody>
</table>
# RESOURCE LISTING

## Cost of Inaction Calculator

<table>
<thead>
<tr>
<th>Name / Title</th>
<th>Cost of Inaction Calculator</th>
</tr>
</thead>
<tbody>
<tr>
<td>Resource Type</td>
<td>Tool</td>
</tr>
<tr>
<td>Date of Creation</td>
<td>June 2014</td>
</tr>
<tr>
<td>Cost</td>
<td>Free</td>
</tr>
<tr>
<td>Creating Body / Developer / Publisher</td>
<td>AV Preserve</td>
</tr>
<tr>
<td>Is this a complete system, a service or a tool?</td>
<td>Tool</td>
</tr>
<tr>
<td>URL for Resource</td>
<td><a href="https://coi.avpreserve.com">https://coi.avpreserve.com</a></td>
</tr>
<tr>
<td>Alternate / Free Version URL</td>
<td><a href="http://www.avpreserve.com/avpsresources/tools/">http://www.avpreserve.com/avpsresources/tools/</a></td>
</tr>
</tbody>
</table>

**Brief Description**

This tool may assist with the decision to digitize audiovisual materials or not. From the AV Preserve website: "The Cost of Inaction Calculator [COI] is a free online tool that helps organizations analyze the implications of varying levels of..."
GLOSSARY

This glossary defines many of the terms and abbreviations used when discussing the management, preservation and access of digital materials and was compiled from a variety of sources. [Courtesy of the University of Minnesota Libraries.]

A|B|C|D|E|F|G|H|I|J|K|L|M|N|O|P|Q|R|S|T|U|V|W|X|Y|Z

A

Access: The services and functions which make the archival information holdings and related services visible to Consumers and authorized users. This includes restricting access in some instances due to copyright, confidentiality, or statutory requirements.

Access Collection: A collection of Archival Information Packages (AIPs) that is defined by a Collection Description but for which there is no Packaging Information for the collection in Archival Storage. [2]

Access Copy: A copy/version made from a digital object that is intended for use, so that the original item can be preserved and protected from damage. This is
Case Studies and Examples

AIP Structure (University of Illinois example): An AIP at minimum must include the Content Data and the Preservation Description Information (PDI). The University of Illinois Archives uses a nested folder structure to organize this information for the archival collections in which the content data and PDI are all kept in a folder.

The top folder (1505050) is the unique ID for the collection. The pdi folder contains the checksums for both preservation and access copies of the records (generated by Karen's Directory Printer) and any other documentation regarding accession, provenance, etc. The access folder holds copies of the files that are available via an access system (after being weeded and arranged). The preservation folder holds a disk image or the original content as provided to the archives.

For more detailed information, review the Archival Information Packet Structure post on the Practical E-Records blog. Back to Ingest Details.
PORTAL TESTING FORM

- Google Form
- Testing Script

http://rc.statearchivists.org/Default.aspx
FEEDBACK

- Questions
- Suggestions / Comments
- Additions
  - Resources
  - Self-directed training modules
  - Case studies / other topics

- Send them to crkussmann@gmail.com
PERTTS PORTAL WORKSHOP

- August 12-13, 2014; Washington DC
- Open to all state archives staff
- More in depth about SERP Framework and Resources sections
- Also hear from others on what they are doing
CONTACTS

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Best Practice and Tools Subcommittee Chairs:
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• Pat Michaelis, pmichaelis@kshs.org
QUESTIONS & COMMENTS

It's QUESTION TIME!!
WEBINAR EVALUATION

We really do appreciate your feedback!

After you exit the webinar, you will automatically be taken to an online webinar evaluation. Please take a couple minutes to complete the survey and help us plan future webinars.
UPCOMING SERI WEBINARS

- **Tuesday, September 9, 2014: SERI Webinar**
  *Topic To-Be-Determined*

- **Tuesday, October 14, 2014: SERI Webinar**
  *Electronic Records Ingest*
STAY CONNECTED & INFORMED

CoSA Website:
http://www.statearchivists.org

CoSA Resource Center:
http://rc.statearchivists.org

CoSA Blog:
http://statearchivists.wordpress.com

CoSA Twitter Handle:
@StateArchivists

CoSA Facebook Page:
www.facebook.com/CouncilOfStateArchivists

SERI Facebook Page:
www.facebook.com/SERIproject