Welcome!

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

**PDP “Hot Topic” Webinars**  
Tuesdays 2-3pm Eastern
- Preserving and Protecting Audio-visual Files  
  April 11
- Preserving Digitized State Government Records  
  May 9
- Best Practices in Digital Preservation: International Perspective  
  June 13

**PDP Online Workshops - Digital Preservation 101:**  
‘State Archives and Agencies Putting Digital Preservation into Action’
- Part 1: Practical Training in the Key Concepts  
  February 14
- Part 2: Practical Training in the Key Concepts  
  February 28
- Part 3: Case Studies  
  March 14

**Sign up today** on the CoSA website – PERTTS Portal > Education -Training
Today’s Presenters

Mary Dunn
Arkansas State Archives

Allen Ramsey
CT State Library

Kari May
Kentucky Department for Libraries and Archives (KDLA)

David Portman
Preservica

Lori Ashley
Tournesol Consulting
Agenda

• Introduction & Recap

• Arkansas State Archives: *Laying New Foundations: Re-establishing the Archives’ Purpose*

• Best Practices for Digitization Project Management

• Kentucky State Archives: *Staying Connected with State Agency Records Officers*

• Tools & Resources to Get Started

• Summary

• Q&A
Recap Part 2: Retention & Preservation Strategies

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

Mary Dunn
Archival Manager for Technology and Access Arkansas State Archives
Agenda

• Background
• The Problem
• Our Approach
• The Results
• Lessons and Future Plans
Arkansas State Archives (ASA)

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

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

• Many official state records have been lost, destroyed, or donated to private organizations over the years

• As of January 1, 2016, the ASA was working with only 13% of state agencies to preserve their records

• Some agencies admitted to not knowing the state archives existed
What We Were Hearing…

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

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

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

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

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

- February 2016: Governor’s Memorandum of Support directed state agencies to work with State Archives to preserve important historical records

- Problem areas were awareness, responsibilities, and workflows

- Archives working group focused on ways to provide agency outreach, education, and support
The Workshops - Outreach

• Archives began holding monthly records preservation workshops

• Archives contacted agencies and requested they send a representative to workshops

• Representatives would become the archives’ main liaison with that agency regarding the care of their records

• Focused on building contacts and designating responsibilities regarding record care
The Workshops - Education

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

- Services and support the archives offers state agencies
  - On-site evaluation and consultation
  - Best practices advice and guidance
  - Records conservation and repair
  - Acid-free boxes and folders
  - Archival storage vaults
  - Digital preservation support through Preservica
The Outcomes, 2016-2017

• Reaction has been predominantly positive

• Representatives from over 100 state agencies have attended these workshops

• State archives has begun taking in records from 19 additional state agencies and established liaisons with many more that intend to begin transferring records
The Outcomes, 2016-2017

• Most records transferred to the archives so far have been physical records

• Many agencies don’t have long-term or permanent digital records organized in a way they are comfortable with transferring yet, or most of their long-term digital records are still active, not yet archival
The Outcomes, 2016-2017

- Archives staff have been invited to various agency staff meetings to discuss preservation strategies for both physical and electronic records.

- Majority of agencies not yet able or willing to transfer their records to the archives.
The Outcomes, 2016-2017

- Agencies primarily concerned with help organizing and preserving the records within their care rather than transferring them.

- Early 2017 workshop attendance numbers have dwindled somewhat, and there are agencies who have not responded to our emails or calls.
Lessons, Plans and Concerns

• Agency records situations are diverse, but still must be helped to get to the point where their important records – both physical and electronic – are in an archive-able state

• Archives will likely move towards providing more on-site visits and one-on-one workshops to help establish working relationships with more agencies
Lessons, Plans and Concerns

• State records preservation initiative was created and implemented with no additional funding, support, supplies, staff, or space for the archives

• Increased intake of state records as the initiative moves forward will necessitate a solution to insufficiencies in these areas
  o Advocacy and support from agencies
Lessons, Plans and Concerns

• Archives can help agencies identify and preserve historically significant records and materials not covered under state retention schedules
  o Artifacts, promotional materials, photographs

• Vague, ineffective retention schedules should be revised to be more comprehensive and supportive of state agencies
Lessons, Plans and Concerns

• Key addition to new retention schedules should be mandate regarding the transfer of state records of permanent or long-term value

• Overarching Lesson: “An ounce of prevention is worth a pound of cure.”
Contact Info

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Archival Manager for Technology and Access
Arkansas State Archives

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Best Practices for Digitization Project Management

Allen Ramsey
Best Practices for Digitization Project Management

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

• Four Broad Categories
  – Pre-Project Planning
  – Project Preparation
  – Project Management
  – Post-Project

• Each category includes strategies and best practices of successful digitization projects
Pre-Project Planning

• Pre-project planning is often documented in a **Project Plan**

• At the very basic foundation of any digitization project is its purpose. Why is this project being done and why is it being done now?

• The foundation of your project will be built upon these three questions:
  – What do you have?
  – What are you trying to do?
  – Why are you doing it?
Pre-Project Planning (cont)

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

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

• The day has come for the project to begin! How do you actually manage this thing?

• Leadership and Direction
  • Assign a single person or very small group as the project manager(s).

• Logistics
  • Which items and in which order?
  • Metadata
  • Packaging

• Workflow and Procedures

• Quality Control and Quality Assurance
Post-Project

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

Best Practices for Digitization Project Management
Series of Best Practices and Guidance Documents

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

Let me know!

Allen Ramsey
allen.ramsey@ct.gov
860-757-6512
Electronic Records Management Branch

- Advice, Technical Support, and Guidance
  - Policies
  - Technical Standards
    - Archival Records Management Requirements
  - Electronic Systems and Database Management
  - Training
  - Electronic Records Retention and Management
Electronic System With Included Records Series

Justice and Public Safety Cabinet

Department of Criminal Justice Training

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

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

General Schedule Items:

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

Series #:  Series Title:  Disposition Instructions:
00092  Carrying Concealed Deadly Weapons File  Retain in Agency and destroy paper copies ten (10) years from date class is completed and destroy electronic record eighty (80) years from date of individual's twenty first (21) birthday.
Electronic Records Management Branch

- Advice, Technical Support, and Guidance
  - Policies
  - Technical Standards
    - Archival Records Management Requirements
  - Electronic Systems and Database Management
  - Training
  - Electronic Records Retention and Management
Staying Flexible

- Designated E-mail Account
  - Annual Reports, Minutes, Newsletters, etc.
- External Hard Drives
  - Photographs, Audio-Visual, Databases
- FTP
Jefferson County Progress School, Photo 0007, April 11, 2008

Description: Jefferson County Progress School, April 11, 2008

Identifier: M0047-E2010-105-RG1350

Rights: All materials available through this website are public records as defined by Kentucky State law. However, there are materials available through this website.
Electronic Records Working Group

- Discussion, Recommendations, Guidelines
  - E-mail
  - Social Media Records
  - Cloud Computing
  - Electronic Signatures
Tools & Resources to Get Started

Lori Ashley
Tournesol Consulting
Our Professional Toolkit

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

Key Findings

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

“This is the problem with ‘Digital Archive’, you are not thinking long enough into the future.” (Source: Respondent)

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

We Believe...

• Digital preservation is a lifecycle management concern and a shared responsibility

• Digital preservation requires the skills, expertise, and cooperation of cross-functional stakeholders

• It is possible to deconstruct aspects of digital preservation to a level that is:
  – readily understood
  – can enable dialogue and planning for implementation within the available resources of most organizations
DPCMM Overview

- Systems-based tool for charting an evolutionary path towards increasingly mature stages of digital preservation capability

- Based on functional specifications of ISO 14721, ISO 16363 and good practices from operational digital repositories

DPCMM Overview and Performance Metrics available at: www.securelyrooted.com/dpcmm
Digital Preservation CMM Stages

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

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

2012 DPC Self-Assessment Scorecard

<table>
<thead>
<tr>
<th>Index Score Results</th>
<th>Nominal (0)</th>
<th>Minimal (1)</th>
<th>Intermediate (2)</th>
<th>Advanced (3)</th>
<th>Optimal (4)</th>
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Index Score: 8/60

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

2015 DPC Self-Assessment Scorecard

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Index Score: 38/60

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

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

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<tr>
<th>Level 0</th>
<th>The Archives/RM unit does not have a plan to address technology obsolescence.</th>
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<tr>
<td>Level 1</td>
<td>The Archives/RM unit accepts electronic records in their native format on an ad hoc basis with the expectation that new software will become available to support these formats. <em>Organizations must be aware that not all formats they accept in this manner might be accessible over time. “Preservation ready” policies can address which formats are acceptable and which are not.</em></td>
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<td>Level 2</td>
<td>Level 2a: The Archives/RM unit encourages records producers to retain records of long-term value in preservation-ready file formats. <em>Preservation formats will depend on your environment and capabilities.</em> Level 2b: The Archives/RM unit proactively and systematically monitors changes in technologies that may impact the digital records collections and the archival repository.</td>
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<td>Level 3</td>
<td>The Archives/RM unit implements the transformation of selected native file formats to preferred/selected preservation file formats in the archival repository.</td>
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<td>Level 4</td>
<td>The Archives/RM unit implements transformation of all electronic records from records producing units to preferred preservation file formats in the archival repository.</td>
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## Resources

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

## Definition

The organization charged with the preservation of permanent electronic government records must proactively mitigate the risks associated with technology obsolescence including plans related to periodic renewal of storage...
Free Public Self-Assessment Tool

www.DigitalOK.org
Practical Next Steps

• Review the PDP Webinar Series

• Preservica Resources Center
  http://www.preservica.com/resources/
  - Live demo: March 16 @ 11am Eastern

• CoSA PERTTS Portal
  https://www.statearchivists.org/pertts/

• CoSA YouTube
  https://www.youtube.com/channel/UCKZQqQBMQmF1HxOEPDBfX2A
Additional Resources
Conference and Networking Opportunities

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

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

https://www.statearchivists.org/connect/resources-state/
Questions?
Thank You!

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www.statearchivists.org/