The Council of State Archivists

Working with Stakeholders to Improve Electronic Recordkeeping and Digital Preservation in State Government

Best Practices Exchange
Columbus, Ohio
April 28 – May 1, 2019
SERI: State Electronic Records Initiative

2019 Interagency Records Transfer Survey
Speakers

Lori Ashley, Industry Market Development Manager - Preservica

Barbara Teague, CoSA Executive Director
A National Risk

- Serious lack of funding
- Exponential growth in born-digital records
- Major agency and archives digitization projects
- Outdated retention schedules and manual transfer protocols
- Rising expectations for improved search and access to public records
Preservica Sponsorship

• Corporate sponsor of CoSA since 2015
• Providing support for SERI
• Beginning in 2015 and continuing through 2016-17, Preservica co-sponsored series of Practical Digital Preservation webinars for 600+ attendees
• In 2018/19, the continuing partnership takes a new focus on research and stakeholder engagement
Backlog Research

• Set of activities and means used by the electronic records producing agency with support from internal and/or external IT to transfer physical and legal custody of state government records appraised for permanent preservation to the State or Territorial Archive for ingest, preservation and access.

aka CoSA Interagency Records Transfer Survey
Help Broaden CoSA Research

• Major research activity, including investigation, assessment, analysis, and eventual publication of specific research topics or questions
• Collaborate on research and analysis
• Co-present information at conferences or webinars, write joint outreach materials, and share research results with others
Research Project Scope

• 56 US states and territories

• Permanent and long-term (10+ year retention) electronic (digitally encoded) state government records (records owned by/in the custody of state government agencies)

• Includes digitally encoded state government records that are:
  • Born-digital or digitized
  • Scheduled for transfer to State Archives (change of ownership and custody)
  • Retained/managed by State Agency staff (ownership and custody remain in agency)
  • Retained/managed by centralized IT for Agencies (ownership remains with Agency, central IT is custodian/manager)
  • Managed by third parties for Agencies and/or Central IT, including in the cloud (ownership remains with Agency, third party is custodian/manager, IT may serve as relationship manager)
Producer-Archive Transfer Requirements

• Identification of data objects related to categories of information to be archived
• Preliminary definition of submission packages
• Estimated volume and timing for transfer
• Requirements for records transfer
• Effort and associated costs/resources
• Define communication protocols
• Exchange requirements and constraints and identify possible solutions
• Define transfer rules and standards

Adapted from ISO 20652

• Describe tools available and formats accepted by the Archive
• Rules and standards applied to electronic records by Producing Agency
• Assess compatibility and study solutions
• Define transfer session
• Identify the tools that may be used during transfer phase
• Formalize transfer procedures
• Define validation plan
• Manage the transfer – proper execution by both sides
• Periodically update transfer agreements
Bear in Mind

• Clear, unambiguous use of terms
• Broad participation from partners
• Significant engagement in the formulation of the survey, data analysis and results distribution by NASCIO
• Consensus on what constitutes “long-term”
• Potential for “survey fatigue” among CoSA members
• State-level scope – not specifically including local government but recognize that interdependencies may emerge in the survey data
CoSA Backlog Pre-Survey Highlights

83%  Respondents concerned about the capabilities of systems and storage methods used by agencies to efficiently transfer archival electronic records and metadata to the State Archives for preservation and access.

71%  Respondents concerned about the capabilities of records systems and storage methods used by agencies to ensure the long-term readability and authenticity of non-archival electronic government records.
CoSA Backlog Pre-Survey Highlights

• Almost 50% of respondents receive regular transfers of government records from the Governor and/or Lt. Governor's offices.

• 26% of respondents are not now but would like to receive regular transfers from the Governor and/or Lt. Governor’s offices.

• 46% of archives recognize the records of the Secretary of State as among the most important government records to preserve.

• Only 23% of respondents are regularly receiving records transfers from the Office of the Secretary of State.
Survey Questions

• Permanent records appraised for transfer to Archives
• Transfer capabilities and protocols
• Software and data management systems containing permanent records
• Communication practices
• Interagency collaboration
• Availability of guidance
• Preservation planning
Three Perspectives

**Records Creators & Owners**
State Agencies that produce electronic state government records appraised for permanent preservation and have an obligation to transfer the records to the Archives.

**Information Technology**
Internal agency, central state IT, or third-party IT support units that manage records or storage systems used by Agencies and/or the communications systems used during interagency records transfers.

**Archives**
State Agency with mandate to appraise, describe, ingest, preserve and make accessible permanent archival state government records.
Take the Survey!

https://www.surveymonkey.com/r/InteragencyRecordsTransfer

Survey closes May 8

Thank you.
Results Release Schedule

• Survey completed in early May
• Analysis completed in late May // Report completed in June
• Report released by CoSA, shared with NASCIO, NASS, NGA, COSLA and other partners and available on CoSA website
• Webinar to share results with partners
• Blogs, newsletter articles, and social media
• Presentation of results at NAGARA annual meeting in July and CoSA-SAA meeting in August
The Council of State Archivists

CoSA Website
http://www.statearchivists.org

CoSA Resource Center
https://www.statearchivists.org/resource-center/

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