PERMANENT GOVERNMENT E-RECORDS TRANSFER: MIND THE GAPS

Presented by CoSA and Preservica

May 20, 2020
AGENDA

Introductions
Research Project Overview
Findings and Recommendations
2020 Follow-on Research
INTRODUCTIONS

Council of State Archivists

CoSA’s Flagship Program for Helping to Safeguard Our Nation’s Digital Heritage

Allen Ramsey
Assistant State Archivists
Connecticut State Library

Preservica
Active digital preservation

Award-winning active digital preservation software designed to tackle the unique challenges of ensuring digital information remains accessible and trustworthy over decades.

Lori Ashley
Industry Market Development Manager

Mission is to foster government excellence through leadership of quality business practices, information management and technology policy.
Electronics Records held in state and territorial archives

<table>
<thead>
<tr>
<th>Year</th>
<th>Terabytes</th>
</tr>
</thead>
<tbody>
<tr>
<td>2006</td>
<td>76.5</td>
</tr>
<tr>
<td>2010</td>
<td>245.6</td>
</tr>
<tr>
<td>2012</td>
<td>425.8</td>
</tr>
<tr>
<td>2014</td>
<td>633.5</td>
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<tr>
<td>2016</td>
<td>1371.1</td>
</tr>
<tr>
<td>2018</td>
<td>1797.3</td>
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RESEARCH PROJECT OVERVIEW
RESEARCH OBJECTIVES

• Identify and describe the growing backlog of electronic government records held by agencies and in centrally-managed systems that are not adequately protected from the risks of file format and digital technology obsolescence.

• Increase collaboration and cooperation and implement coordinated approaches to state government records protection, preservation and secure access, and aligns with the goals of CoSA’s ACCESS grant.
PRE-SURVEY OBJECTIVES

Seek CoSA Member feedback on:

• Scope
• Desired outcomes
• Potential participants
• Common applications/systems
• Priority records types
• Transfer triggers and methods
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.

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.
SURVEY TOPICS

- Records Eligibility
- Systems of Record
- Records Transfer
- Preservation Planning
FINDINGS AND RECOMMENDATIONS

APPENDIX 3
STATE INTER-AGENCY ELECTRONIC RECORDS TRANSFER CHECKLIST

State archives can use this document as a framework to develop or update records transfer procedures for resolving permanent state electronic records. The guidelines developed by state archives can then be shared with state agencies to facilitate the effective transfer of permanent state electronic records.

Prior to Transfer

☐ Clearly define roles and responsibilities for management, transfer, and preservation of electronic records. For example, define what agencies can expect the archives to offer and what tasks the archives would like agencies to complete before transfer.

☐ Engage with state or agency information technology (IT) to include agency archives, records management, and planning efforts for software application upgrades, rehosting, and decommissioning. The objective is to ensure electronic government records are managed through their entire lifecycle, including during interagency transfer.

☐ Engage with state or agency IT to identify and pre-update transfer protocols and tools for interagency records transfer.

☐ Engage with state or agency IT to identify and support virus protection scanning and fully tools that are available to agencies to use. A state should plan to use the same checksum algorithms (for example, MD5, SHA-1, SHA-256) for both the agency and the archives to ensure that the data transfer properly.

☐ Communicate with agencies about the retention schedules they should use to identify permanent state government electronic records to be transferred.

☐ Archives should define and communicate preferred file formats.

☐ Identify the preferred file formats your archives plans to support for various content types and communicate them to the agencies prior to transfer.

☐ Archives should define rules, standards, and the available tools for transfer of electronic records appraised for archival preservation to be used by agencies.

TYPICAL SUPPORTED TRANSFER PROTOCOLS ARE:
- File Transfer Protocol Secure (FTPS)
- Hypertext Transfer Protocol Secure (HTTPS)

TYPICAL SUPPORTED TRANSFER MEDIA ARE:
- Flash drives
- Portable external hard drives
SURVEY RESPONSE *

State Agencies: 50%

IT: 16%

State Archives: 34%

*Extraordinary response rate from Maryland
- State Archives
- State CIO
- Executive, Legislative, and Judicial branch agencies
Do we have permanent e-records appraised for transfer to the archives?

Do we support agencies that transfer e-records to the archives?

Do we know which permanent e-records will be transferred to the archives?

- **Agencies**: 55% of IT agencies reported they support agencies with transfer to archives. But only 5% of agencies reported transfer as an IT-supported activity.
- **IT**: 60% of archives reported they have a current list of permanent records.
Records from 240 state agencies

https://kda.access.preservica.com/archive/
Where are permanent electronic records managed and stored?

<table>
<thead>
<tr>
<th>Category</th>
<th>CIOs</th>
<th>Archives</th>
<th>Agencies</th>
</tr>
</thead>
<tbody>
<tr>
<td>Financial/ERP</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Acquisition/Procurement</td>
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<tr>
<td>Asset Management</td>
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<tr>
<td>Case Management</td>
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<td>CAD</td>
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<td></td>
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<tr>
<td>Customer Relationship</td>
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<td></td>
<td></td>
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<tr>
<td>Database Management</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Document/Imaging</td>
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<td></td>
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<tr>
<td>Document Collaboration</td>
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<td></td>
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<tr>
<td>Email</td>
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<tr>
<td>Enterprise Content</td>
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<td></td>
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<tr>
<td>GIS</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>HR/Personnel/Payroll</td>
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<tr>
<td>Identity/Access</td>
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<tr>
<td>Learning</td>
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<tr>
<td>Licensing and Permitting</td>
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<td>Office Productivity/Collab.</td>
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<tr>
<td>Project/Portfolio</td>
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<tr>
<td>Social Media</td>
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<tr>
<td>Web Collaboration</td>
<td></td>
<td></td>
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<tr>
<td>Web Content</td>
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Given the exponential growth in electronic records and storage, manual scheduling and transfer are insufficient to match the scale and diversity of government records.
“Although agencies were the largest group of survey respondents, they identified only one kind of transfer protocol supporting their transfer activities.”
PRESERVATION PLANNING

Transfer requirements

Agencies

0 respondents answered “Yes” when asked if they have promulgated guidance on inter-agency transfer of electronic state government records

IT

More Archives responded “No” than “Yes” when asked if they have promulgated guidance on how to transfer electronic state government records

Communications

Figure 5. When Agencies Communicate with Archives

<table>
<thead>
<tr>
<th></th>
<th>CIOs</th>
<th>Archives</th>
</tr>
</thead>
<tbody>
<tr>
<td>Every year</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Every other year</td>
<td></td>
<td></td>
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<tr>
<td>At change of leadership</td>
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<tr>
<td>Ad hoc basis</td>
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</tbody>
</table>

Figure 6. Engagement of Archives in Technology Refresh Cycle

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<thead>
<tr>
<th></th>
<th>CIOs</th>
<th>Archives</th>
</tr>
</thead>
<tbody>
<tr>
<td>Research</td>
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<tr>
<td>Development</td>
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<td></td>
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<tr>
<td>Procurement</td>
<td></td>
<td></td>
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<tr>
<td>Maturity</td>
<td></td>
<td></td>
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<tr>
<td>Decline</td>
<td></td>
<td></td>
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<tr>
<td>Decommissioning</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Not consulted</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Ad hoc basis</td>
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</table>
KEY TAKEAWAYS

• Agency awareness of backlog but uncertainty on specifics

• **Significant differences in perspectives on:**
  • Which software systems contain permanent records
  • Which file transfer protocols are available/in use

• Archives not routinely engaged during technology refresh and replacement cycles

• Planning and communication between stakeholders for transfer of permanent electronic records is largely ad hoc

• Little or no awareness among IT respondents on the existence of transfer guidance from the Archives
KEEP CALM AND MIND THE GAP
NEXT STEPS

Inter-agency Electronic Records Transfer
Corporate sponsors for 2020 project - Preservica and AVP
CoSA hired Project Manager
Developing electronic records transfer use case template
Recruiting group of expert digital archivists from CoSA membership
Selecting transfer exemplars based on agency type, record system type, and records series with advice and consent of experts group
Completing 4-6 exemplar uses cases from state/territory archives
Validating template effectiveness with CoSA membership and providing guidance and common examples of good transfer practices
Sharing via webinars and written report by year end
Thank you. We welcome your feedback and suggestions.

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Lori Ashley  lori.ashley@preservica.com

Q&A