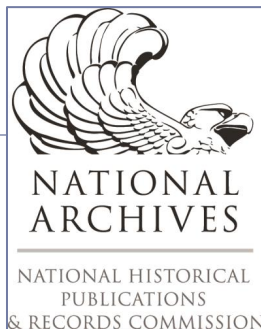


Program for Electronic Records Training, Tools, and Standards (PERTTS)

Update on the Council of State Archivists State Electronic Records Initiative



Best Practices Exchange 2013
Salt Lake City

SERI Best Practices and Tools and Education
Subcommittee Members

State Electronic Records Program (SERI)

- ▶ Grant Project to Develop the PERTTS Portal
 - ▶ January 2013 - December 2014
- ▶ Goal is to provide information to states about working with and preserving electronic records
- ▶ States took “Self Assessment” in 2012
 - ▶ “Ranks” states on their “level” of electronic records capabilities
- ▶ Provides states with a way to evaluate themselves and plan for next steps
 - ▶ Example - Alabama
- ▶ PERTTS Portal
 - ▶ Provide assistance – don’t need to start from scratch

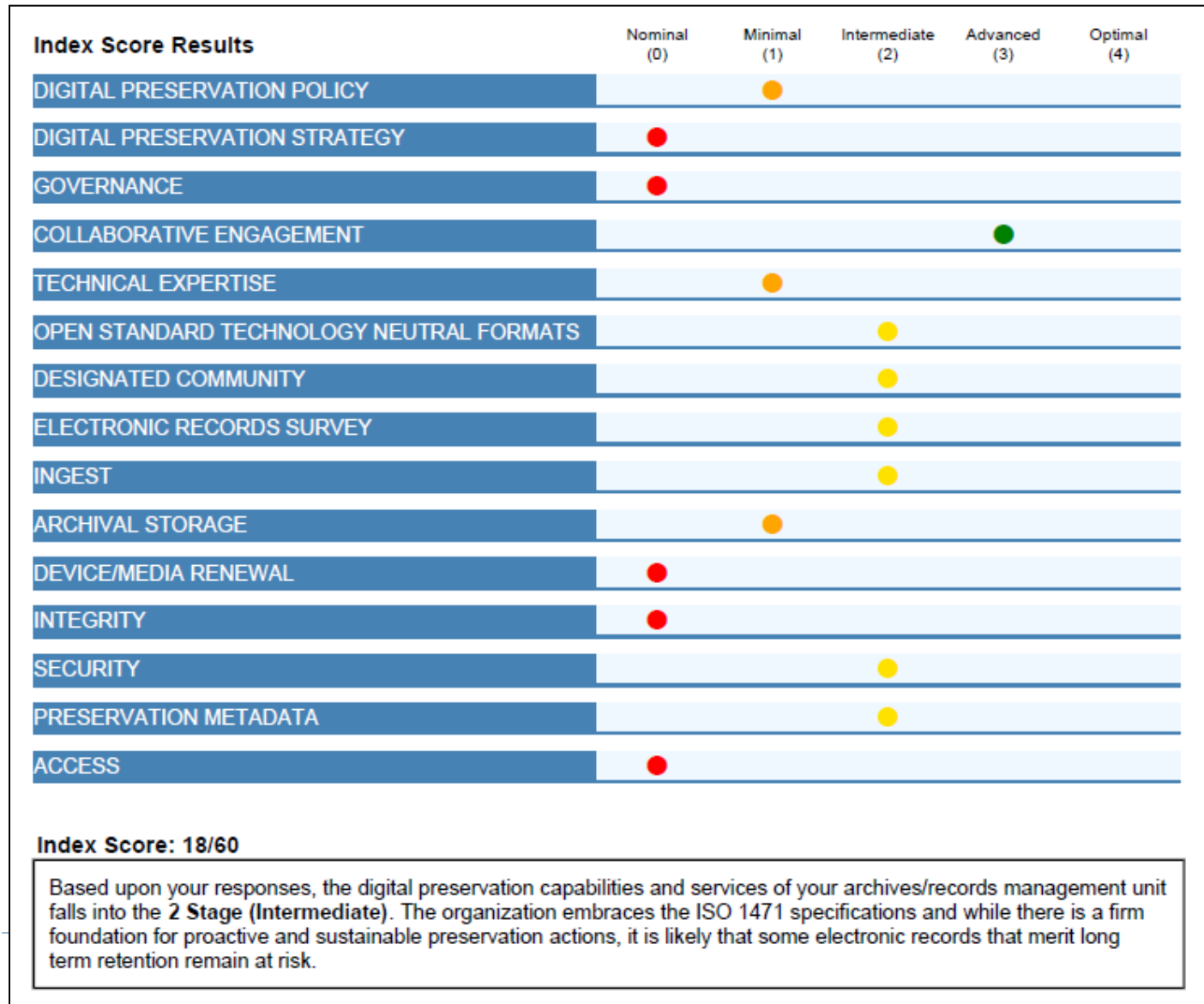


Alabama

- ▶ Took Self Assessment in June 2012
- ▶ Scored 18 (after answering the extra questions)
- ▶ Team effort: appraisal, collections management, and IT staff



Self Assessment Results



Moving Forward

- ▶ Team effort continued.
- ▶ Worked on a timeline to meet each benchmark.
- ▶ Noticed there were some benchmarks we had already met.
- ▶ IT began to visualize a system to handle the entire process.
- ▶ Archivists began creating lists of trainings and leaflets to aid agencies.



Marching On

- ▶ IT staff left, leaving technical side of program hanging.
- ▶ Work continues on archival side:
 - ▶ Oct. 23 Overall electronic records plan presented to SRC and LGRC
 - ▶ Completed leaflets on file naming, e-mail FAQs, and social media tips.
 - ▶ Electronic records archivist named.
 - ▶ Representative from Information Services Division added to SRC.
 - ▶ ADAH Director met with newly appointed Information Technology Secretary.



Future Plans

- ▶ Hire new IT staff position.
- ▶ January 2014 State agency liaison training
- ▶ Continue to develop policies, leaflets, and trainings (with help of portal material)



PERTTS Portal: A Place to Start

The screenshot shows the PERTTS Portal website. At the top left is the CoSA logo (Council of State Archivists) and the Resource Center logo. To the right are 'Create Account' and 'Login' buttons. Below the logo is a search bar with the text 'Search This Site...'. A navigation menu includes 'ELECTRONIC RECORDS', 'EMERGENCY PREPAREDNESS', 'GET INVOLVED!', 'PROGRAMS', 'SHRABS & FRIENDS GROUPS', 'STATES', 'TOPICS', and 'CONTACT'. The main content area features a large image of a server room with a laptop in the foreground. Overlaid on this image is a green box with 'PERTTS' and an orange box with 'Program Electronic Record Training Tool Standards'. Below the image are three sections: 'Training' with a pencil icon, 'Serp Framework' with a calendar icon, and 'Resources' with a folder icon. Each section has a short paragraph of placeholder text. A 'Questions or Concerns?' box is on the left, containing contact information for CoSA. At the bottom left is the National Archives logo, and to its right is a paragraph of text about the portal's funding. The footer contains navigation links, copyright information, and a Facebook 'Like' button showing 50,278 likes.

CoSA RESOURCE CENTER
Council of State Archivists

Create Account Login

Search This Site...

ELECTRONIC RECORDS EMERGENCY PREPAREDNESS GET INVOLVED! PROGRAMS SHRABS & FRIENDS GROUPS STATES TOPICS CONTACT

PERTTS
Program Electronic Record
Training Tool Standards

> Training
Augue timeam sed no, sed appetere temporibus no, ornatus nominavi sit at. Est illud iusto explicari ut. An nonumes facilisis disputando usu, eius nullam vis id.

> Serp Framework
Augue timeam sed no, sed appetere temporibus no, ornatus nominavi sit at. Est illud iusto explicari ut. An nonumes facilisis disputando usu, eius nullam vis id.

> Resources
Augue timeam sed no, sed appetere temporibus no, ornatus nominavi sit at. Est illud iusto explicari ut. An nonumes facilisis disputando usu, eius nullam vis id.

Questions or Concerns?
Contact CoSA at
info@statearchivists.org

NATIONAL ARCHIVES
NATIONAL HISTORICAL PUBLICATIONS & RECORDS COMMISSION

The PERTTS Portal has been made possible with the generous support of the **National Historical Publications and Records Commission**, a Federal agency promoting the preservation and use of America's documentary heritage essential to understanding our democracy, history, and culture.

Home | Emergency Preparedness | Electronic Records | States | Contact
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Be the first of your friends.

Portal Development

- ▶ Gather resources in three broad categories
 - ▶ Tools
 - ▶ Standards
 - ▶ Policies, Best Practices, Guidelines
- ▶ Using Google Forms and Tags
 - ▶ Are they helpful?
 - ▶ Being used for search filters
- ▶ Working with Informatics to develop the Portal framework and structure



Current Tags

- ▶ File Formats
- ▶ Record Transfer
- ▶ Digitization/Scanning
- ▶ File Naming
- ▶ Metadata
- ▶ Storage
- ▶ Training
- ▶ Passwords
- ▶ Confidentiality
- ▶ Email/Texts/IM
- ▶ Social Media
- ▶ Cloud Computing
- ▶ Rights Management
- ▶ Disaster Preparedness
- ▶ Information Systems Planning
- ▶ Long-term Preservation Strategies
- ▶ Authentication
- ▶ Other.....



SERP Framework Elements

- ▶ Policy
- ▶ Strategy
- ▶ Governance
- ▶ Collaboration
- ▶ Technical Expertise
- ▶ Open Standards/Neutral Formats
- ▶ Designated Communities
- ▶ Electronic Records Survey
- ▶ Ingest
- ▶ Storage
- ▶ Device/Media Renewal
- ▶ Integrity
- ▶ Security
- ▶ (Preservation) Metadata
- ▶ Access



Framework Development

- ▶ Assist with improving electronic records management and preservation activities
- ▶ Based on 'Self Assessment' for consistency
- ▶ Provide specific suggestions/examples on how ways to move forward to assist people
 - ▶ Link to resources and education
- ▶ Every state environment is different
- ▶ Need to be basic but still provide level of detail



| | | |
|-------------------|---------|---|
| | | |
| | | Policy |
| | | 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. |
| | Stage 0 | no written digital preservation policy |
| Steps from 0-1 | | Work with team members and stakeholders to begin to develop a digital preservation policy. |
| Jump to Level 2-4 | | Issue and widely disseminate digital preservation policy to internal and external stakeholders, periodically conduct self-assessments and report on adherence to the policy, and review the policy at least every two years and update based on changing business needs and circumstances. |
| | Stage 1 | policy under development / consideration but not officially issued |
| Steps from 1-2 | | Issue and widely disseminate digital preservation policy to internal and external stakeholders. |
| Jump to Level 3-4 | | Periodically conduct self-assessment of how you are following the digital preservation policy and report adherence to the digital preservation policy, and review the digital preservation policy at least every two years and update as necessary based on changing business needs and circumstances. |
| | Stage 2 | policy has been issued and widely disseminated to internal and external stakeholders |
| Steps from 2-3 | | Periodically conduct a self-assessment of how you are following the digital preservation policy and report adherence to the digital preservation policy. |
| Jump to Level 4 | | Periodically conduct a self-assessment of how you are following the digital preservation policy and report adherence to the digital preservation policy and review the digital preservation policy at least every two years and update as necessary based on changing business needs and circumstances. |
| | Stage 3 | The Archives/RM unit periodically conducts a self-assessment and reports its adherence to its digital preservation policy. |
| Steps from 3-4 | | Review digital preservation policy at least every two years and update as necessary based on changing business needs and circumstances |
| | Stage 4 | 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. |
| | | |

Education / Training

- ▶ Will be working with the SERI Education Subcommittee on Education and Training
- ▶ Both sub-committees are producing webinars most will be delivered next year
- ▶ Education sub-committee is organizing the Introductory and Advanced Institutes
- ▶ Best Practices and Tools sub-committee is producing other resource guides in conjunction with Portal resources



Portal Timeline

- ▶ Beta: Dec 2013 - January 2014
- ▶ Development/Population: January – June 2014
- ▶ *Advanced Institute: March/April 2014*
- ▶ Live to Public: June 2014
- ▶ Webinar and CoSA workshop: August 2014
- ▶ Use and Discussion: August – December 2014
- ▶ *Advanced Institute: October 2014*
- ▶ States Retake Self Assessment: Sept – December 2014



Brainstorming Session

- ▶ **Send us your comments and experiences**

<http://tinyurl.com/perttsportal>



Brainstorm: General

- ▶ What is needed? Currently based on DPCMM – which is mostly digital preservation, what other topics would you like info on?
- ▶ What do you find yourself looking for information about related to electronic records?
- ▶ What other topics might be useful for you?
- ▶ Resources: three main sections for sorting and filtering

▶ [**http://tinyurl.com/perttsportal**](http://tinyurl.com/perttsportal)

Current Tags and Framework Elements

- ▶ File Formats
- ▶ Record Transfer
- ▶ Digitization/Scanning
- ▶ File Naming
- ▶ Metadata
- ▶ Storage
- ▶ Training
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- ▶ Cloud Computing
- ▶ Rights Management
- ▶ Disaster Preparedness
- ▶ Information Systems Planning
- ▶ Long-term Preservation Strategies
- ▶ Authentication
- ▶ Other.....
- ▶ Policy
- ▶ Strategy
- ▶ Governance
- ▶ Collaboration
- ▶ Technical Expertise
- ▶ Open Standards/Neutral Formats
- ▶ Designated Communities
- ▶ Electronic Records Survey
- ▶ Ingest
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- ▶ Integrity
- ▶ Security
- ▶ (Preservation) Metadata
- ▶ Access

▶ <http://tinyurl.com/perttsportal>

Brainstorm: Education

- ▶ Education Format? What would you like to see?
 - ▶ Webinars?
 - ▶ Step-by-step guidelines (PDF)?
 - ▶ Screen captures/recordings
- ▶ In-person workshops/training?
 - ▶ What needs are there?

▶ <http://tinyurl.com/perttsportal>

Brainstorm: Tools

- ▶ What tools do you find useful? Or have used and recommend to others?
- ▶ What types of tools have you been looking for information on?
- ▶ Are there tools or types of tools that you want more detailed information on? A deeper dive?

▶ <http://tinyurl.com/perttsportal>

Brainstorm: Policies / BP / Guidelines

- ▶ Have you written any?
- ▶ Which are most valuable?
- ▶ What have you been successful in implementing?
- ▶ What states do you look to for policies? Guidelines? Best Practices?
- ▶ Do you have any written guidelines you are willing to share?

▶ <http://tinyurl.com/perttsportal>

Brainstorm: Standards

- ▶ What standards do you follow?
- ▶ What standards do you aim to follow?
 - ▶ Is it OK to not meet standards to the n-th degree?
 - ▶ How far is far enough? What is practical?
- ▶ What areas do you look for standards about?

▶ [**http://tinyurl.com/perttsportal**](http://tinyurl.com/perttsportal)

Brainstorm

▶ Topics

- ▶ What is needed? Currently based on DPCMM - what other topics would you like info on?

▶ Tools

- ▶ What tools do you find useful? Or have used and recommend to others?

▶ Policies

- ▶ Have you written any? Which are most valuable? Have you been successful in implementing?

▶ Guidelines/Best Practices

- ▶ What are you following? Do you have any that you are using that you are willing to share?

▶ Education format – what would you like to see?

- ▶ Webinars? Step-by-step guidelines (PDF)? Screen captures/recordings

▶ [**http://tinyurl.com/perttsportal**](http://tinyurl.com/perttsportal)

Questions



Contact Information



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SERI
State Electronic
Records Initiative
COUNCIL OF STATE ARCHIVISTS

