

State Electronic Records Initiative: An Update



Presented by Jim Corridan
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Challenges to Program Development



- Misperception that records in electronic form are not permanent, not subject to same rules
- Rapid technological changes and obsolescence
- Legacy of disconnect between archives and technology

Federal Efforts



Electronic Records Archives (ERA)



35 states participated in NDIIPP projects



SERI Phase I

- Gather the Data and Facts
 - ***2010 State of State Records Survey*** released in June 2011
 - Survey identified the number of states reporting electronic records holdings – 25 states and territories
 - Survey reported number of electronic records staff – 88 FTE
 - **Spurs Establishment of SERI – Indiana and Kentucky provide LSTA grant funds to study state Electronic Records**
 - Phil Bantin of Indiana University conducts surveys (both on-line and phone) to delve deeper into the conditions of State's electronic records programs.
 - Bantin data is cross-tabbed against the Digital Preservation Capability Maturity Model (DPCMM) developed by Dollar and Ashley

Initial Findings

- 15 state archives had ER staff
- 35 state archives had little or no ER program
- 19 state archives had not accessioned ER
- Few state archives could integrate project results into long-term strategies
- Few state archives had working relationship with their state IT department
- Most were not involved in selection and modification of IT systems affecting archival electronic records



SERI Phase I

- Gather the Data and Facts
 - Cross-Tabbed Digital Preservation Capability Maturity Model (DPCMM) shows initial low scoring levels by states.
 - Christopher “Cal” Lee writes the NDIIPP Report “States of Sustainability”, (May 2012) summarizing electronic records initiatives in the states.
 - SERI Phase I Report available at:
www.statearchivists.org/seri/phase_one_report.htm



SERI Phase I

- SERI Governance Development
 - Simultaneous to the fact gathering, the SERI Committee is established in July, 2011, meets with Advisory Committee at annual meeting in Nashville, Tennessee.
 - Holds planning meeting in Indianapolis in September 2011 to finalize initial survey, outline goals.
 - In October, Committee meets at BPE in Lexington, Kentucky to develop SERI priorities (four planks: Awareness, Education, Governance, and Standards).
 - In May, 2012, the Committee meets in Washington DC to build awareness with allied professions and holds briefing.



What is DPCMM

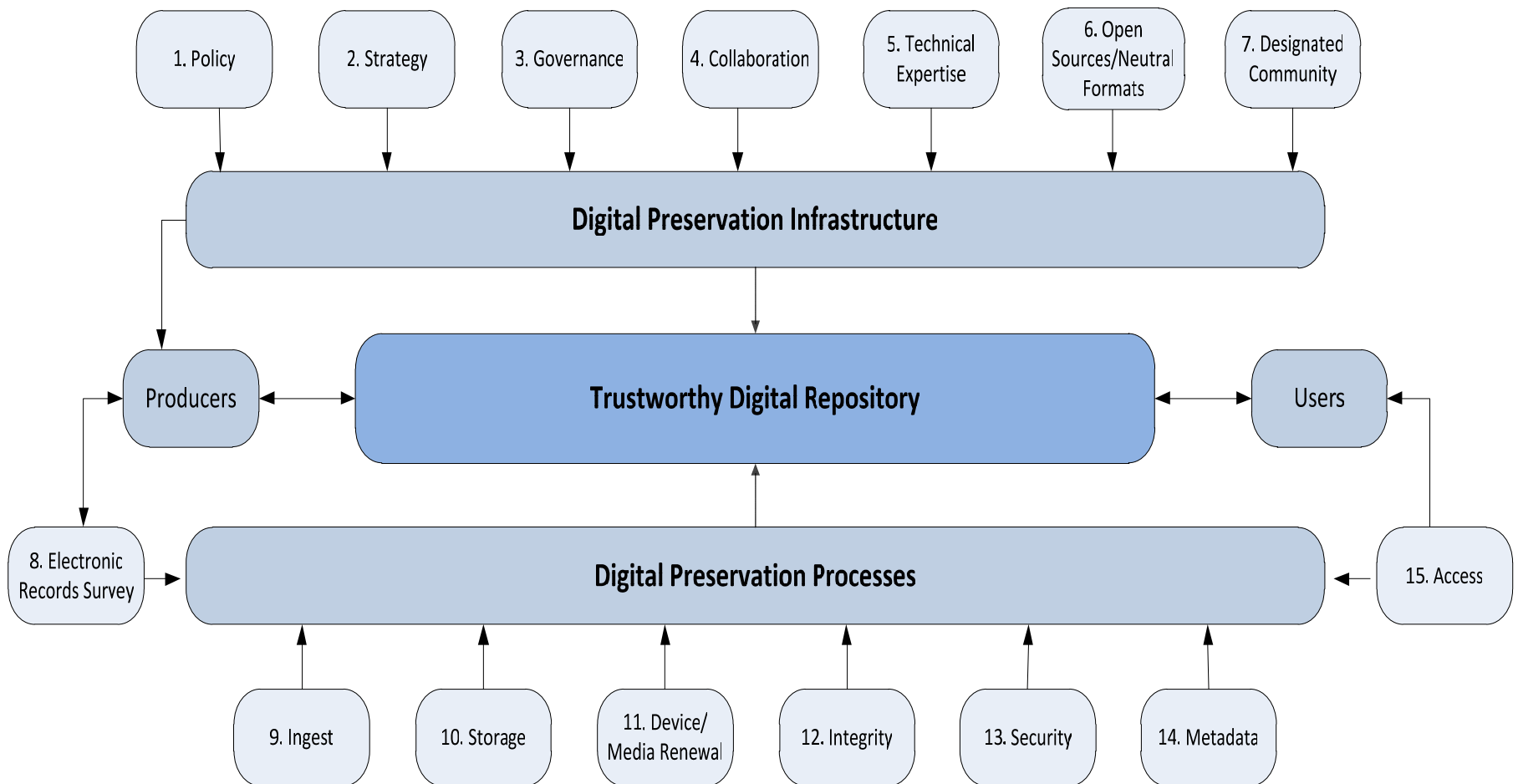
- **Charles Dollar and Lori Ashley developed a model to measure an organizations preparedness to preserve electronic records.**
- **CoSA worked with Dollar and Ashley to create a self-assessment tool to provide a means of measuring electronic records preservation progress.**



The 2012 Self-Assessment

- Kentucky, particularly Beth Shields and Barbara Teague lead the SERI Committee work with the Consultants to refine the Self-Assessment survey.
- Using the DCPMM, questions and scoring were developed to measure the level or maturity of a particular programs development in the 15 categories.
- States have access to their data. SERI will be using the data to prioritize educational and programming efforts.
- SERI is pleased to report every state, territory and DC has taken the initial self-assessment!

Digital Preservation Capability Maturity Model[©]



So how do we move forward?

- SERI Planks:
 - Education and Training
 - Standards, Tools & Implementation
 - Governance & Sustainability
 - Awareness & Outreach

Education and Training

- Develop and recommend criteria for continuing education grant funding.
- Develop and recommend curriculum for the (one) Primary and (three) Advanced State Electronic Records Institutes.
- Identify appropriate presenters for the four institutes.
- Work with SERI's Best Practices & Tools Subcommittee to identify potential continuing education opportunities for inclusion on the electronic records resources website.
- Explore post-institute training opportunities/methods.
- Evaluate existing educational resources (with applicability to state archives)



IMLS Education Grant

CoSA received a \$490,000 grant from IMLS to provide educational training to state and territorial archives which will begin in October of 2012.

Three Main Areas:

- \$56,000 in continuing education funds to be made available to state archives and records management staff to attend electronic records training programs
- The creation of Two Institutes: An Introductory Institute to be offered to 24 states next spring and an Intermediate Institute offered to every state over three years.
- A report that will analyze of existing training opportunities and gaps in electronic records education training programs and recommendations for improvement.



Standards, Tools & Implementation

- Establish and identify standards and tools for the entire lifecycle of electronic records from records management through preservation.
- Identify existing resources and tools for inclusion in an electronic records resource website.
- Identify existing programs and state implementations of electronic records management systems for states and territories to evaluate and consider.
- Work with SERI's Education Subcommittee to identify potential continuing education opportunities for inclusion on the electronic records resources website.
- Monitor the field for new tools and developing best practices to share with CoSA.

Governance & Sustainability

- Identify existing state and territorial governance models and establish best practices.
- Consider establishing a model law for electronic records management.
- Provide proposals to establish records governance within the IT infrastructure.
- Identify critical roles for governance to work correctly and to achieve functional outcomes.



Awareness & Outreach

- Coordinate electronic records awareness and advocacy programming through CoSA and SERI.
- Recommend, develop, and implement a national awareness campaign centered on electronic records and preservation.
- Creating partnerships with other groups.



SERI Committee Members 2011-12

Jim Corridan, Indiana, Chair

Rod House, Idaho

Ann Jenks, North Dakota

Dave Joens, Illinois

Sarah Koonts, North Carolina

Tanya Marshall, Vermont

Pat Michaelis, Kansas

Beth Shields, Kentucky

Barbara Teague, Kentucky

Matt Veatch, Kansas

Julia Marks Young, Mississippi



SERI Partners

NASCIO	National Association of State Chief Information Officers
COSLA	Chief Officers of State Library Agencies
NASS	National Association of Secretaries of State
NGA	National Governor's Association
NAAG	National Association of Attorneys General
CSCA	Conference of State Court Administrators
NCSL	National Conference of State Legislatures
NCSHPO	National Conference of State Historic Preservation Officers
IIMC	International Institute of Municipal Clerks
NLC	National League of Cities
NACO	National Association of Counties

Reflections & Comments

- SERI has the opportunity to address needs at all levels of government, so we would like your feedback. What have we missed?
- How could you participate or help?
- Other questions for us?

