

Council of State Archivists – Implementing ACCESS: Guiding the Creation, Preservation, and Use of Electronic Records

Abstract

The Council of State Archivists (CoSA) will gather, develop, and share best practices and guidance materials to improve creation, management, preservation, and use of permanent state government digital records and information. CoSA will collaborate with the National Governors Association (NGA), the National Association of State Chief Information Officers (NASCIO), the National Association of Secretaries of State (NASS), and the Chief Officers of State Library Agencies (COSLA), as well as content creators in state government and users of government data to help improve preservation and use of permanent state government electronic records.

This two-year project will be conducted from October 2017 to September 2019, and allow CoSA to build on the success of its [State Electronic Records Initiative \(SERI\)](#) to improve digital preservation and electronic records management in state government. In this project, CoSA will increase strategic collaborations with users, state agencies, and partner associations to improve preservation and use of digital government information with long-term or permanent retention.¹ CoSA will provide expertise on electronic records management and digital preservation techniques to its collaborators. It will share processes and mechanisms with state and territorial archivists to facilitate work with creators of digital government records, implementing best practices and standards to ensure ongoing preservation of and broad public accessibility to permanent state government records. These actions are recommended in CoSA's [Archives Cooperating with External Strategic Stakeholders \(ACCESS\) Action Plan](#), a 2015 IMLS National Leadership planning grant.²

CoSA will use the results of a March 2017 survey of its members and consultation with partner groups to determine the priority for completing guidance documents. Project staff will first assess existing archival literature and current and recent projects, and then create and distribute case studies, workflows, and best practices guidance for review and comment. Project staff will also collaborate with partners to plan outreach efforts for user engagement, to produce and disseminate co-branded publications and training materials, and to attend partner conferences, webinars, and committee meetings. Project materials will be freely available online through open licenses.

The project's performance goals and outcomes are to increase knowledge on preserving digital government records and enhance collaboration with national associations representing state officials through:

- 1) **Engaging records creators and government officials** by assessing needs, then developing and distributing ten short guidance documents to increase understanding of digital preservation standards;
- 2) **Galvanizing external stakeholder groups and users** by issuing five collaborative reports, ten case studies on electronic records or digital preservation issues in state archives; engaging stakeholders via their professional associations at seven conferences, six webinars, and numerous articles and blog posts to get feedback as well as plan collaborative actions; and engaging users of government records through focus groups and surveys for feedback on access to government records;
- 3) **Sharing expertise** through documentation, guidance, and best practices created during the grant with other archival and library groups, and professional associations for government officials; and
- 4) **Creating ongoing processes** with partner groups and content creators to continue joint work on improving access to state government digital archives and records and strengthening the National Digital Platform.

¹ Council of State Archivists (CoSA), "State Electronic Records Initiative." <https://www.statearchivists.org/programs/state-electronic-records-initiative/>

² CoSA, "Archives Cooperating with External Strategic Stakeholders (ACCESS) Action Plan," https://www.statearchivists.org/files/3314/5383/8754/CoSA_ACCESS_Action_Plan.FINAL.pdf

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Narrative

1. Statement of National Need

1.1 Statement of National Need - IMLS Goals

The “Implementing ACCESS: Guiding the Creation, Preservation, and Use of Electronic Records” grant supports the IMLS priority of promoting a National Digital Platform by improving social and technical infrastructures that govern the creation, preservation, and use of digital government records and information. This project is based on recommendations from a 2015 IMLS National Leadership Grant planning project, [Archives Collaborating and Cooperating with External Strategic Stakeholders \(ACCESS\) Action Plan](#), and will create best practices and guidelines for components of electronic records management and digital preservation, share case studies of successful projects, and disseminate information widely to state government officials.¹ It will help state and territorial archives in their work with government agencies to strengthen compliance for the creation, preservation, and use of permanent state government digital records.

This project strengthens the National Digital Platform, by enhancing the capacity of state and territorial governments to preserve and provide access to digital government records that are essential to society. It also supports the Platform by strengthening and formalizing the relationships and collaborative processes of the participating professional associations concerned with government information. This collaboration will, in turn, enhance the management, preservation, and care of permanent state government digital records.

The project will also advance two IMLS agency-level goals. To further the IMLS agency-level goal *Learning*, the project will provide guidance documents, case studies, and best practices and guidelines to state and territorial archives on electronic records management and digital preservation; it will also offer freely available online training on the use of those materials. To further the IMLS agency-level goal *Content and Collections*, the project will help manage, protect, preserve, and increase access and use of state and territorial digital government information.

1.2 Statement of National Need - Urgency of Need

In less than a decade, state archives’ electronic records holdings have grown by 734% to include more than 635 terabytes of permanent records.² Recognizing the urgency for states to manage digital records, CoSA started its State Electronic Records Initiative (SERI) in 2011 to improve education and training for state archives staff, to provide tools and best practices, and to assist with advocacy and outreach for state government electronic records.

With so much of the country’s digital heritage at risk through neglect, lack of funding, and lack of expertise, it is vital that CoSA strengthen its relationships with partner groups to share requirements for digital preservation with state agency officials in roles crucial to influencing digital recordkeeping procedures. Short guidance documents, workflows, and case studies will allow CoSA and its members to share its digital records

¹ CoSA, “Archives Cooperating with External Strategic Stakeholders (ACCESS) Action Plan,” https://www.statearchivists.org/files/3314/5383/8754/CoSA_ACCESS_Action_Plan.FINAL.pdf. Plan included in Supporting Documents as Supporting Document 1.

² CoSA, *The State of State Records*, 2015, https://www.statearchivists.org/files/3114/4837/2004/ARM_Report_Narrative_2014-15.pdf, p.2. Accessed May 17, 2017.

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expertise widely and increase connections with partner groups and content creators. To answer the urgent and continuing need for active interaction with content creators and users, it is also imperative for CoSA, partner associations, and their members to create a process for ongoing cooperation and exchange. By deepening engagement with users and producers of state government electronic records and digital information, CoSA will improve processes for the creation, preservation, and use of digital archival records.

This project is timely, because the explosive growth of electronic records in state governments is accompanied by an increasing number of requests for information. Since states are under growing pressure to improve their electronic records management capabilities to meet the demands of state Freedom of Information Acts (FOIA) and to be responsive to other customer requests, state governments must comply with best practices and standards for recordkeeping. State governments often lack resources to deploy sophisticated archiving and retrieval systems, thus increasing the need for CoSA to engage with partners to share its expertise in managing and preserving digital records. With CoSA providing guidelines to records creators in state governments, and through collaboration with its partners, documentation of government policies, actions, and processes will be more likely to be preserved and made available to the public.

CoSA's recently completed IMLS Laura Bush 21st Century Librarian grant (IMLS Grant # RE-06-12-0094-12) that focused on providing education and training for state archives staff also revealed the critical need for state archives staff to have standard best practices information to share with others in state government, and to have readily available case studies and examples for guidance.³

1.3. Statement of National Need - Convening and Collaborating

The ACCESS Action Plan highlights CoSA's significant leadership role in protecting the public's interest in digital government records and information. It outlines areas in which CoSA will improve preservation of and access to permanent government digital records by collaborating with other professional associations, state government officials, and users. CoSA's collaborators for this project are: the National Governors Association (NGA), the National Association of State Chief Information Officers (NASCIO), the National Association of Secretaries of State (NASS), and the Chief Officers of State Library Agencies (COSLA). Additionally, content creators in state government and users of government data will help gather, develop, and share best practices, standards, and guidance to improve creation, management, preservation, and use of government records and information. Enhancing government records creation and government recordkeeping will, in turn, result in increased preservation of and access to permanent state and territorial government records.

Collaborating with these state government associations has specific benefits. Collaboration with the NGA will help increase interest in electronic records issues among those individuals holding the highest office in state government. With NASCIO, CoSA will strengthen the relationship between state archivists and state CIOs by continuing to share information about issues of mutual concern and collaborating on technology issues that might affect the management and preservation of government records. Working with NASS, including its twenty members who oversee state archives and records management programs, CoSA will improve engagement with Secretaries of State on ensuring the proper management of government records. With

^{3 3} For more information on the SERI program and on electronic records and digital preservation in state archives, see forthcoming CoSA report, *"A National Risk: The State of State Electronic Records, 2017,"* funded by IMLS. Final review draft attached in Supporting Documents - Supporting Document 2.

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COSLA, including its nine members who are in the same state administrative agency as the state archives, CoSA will be working with an allied professional group in state government, especially in those states where the state library agency oversees a digital library.

With these organizations relying on CoSA to serve as a catalyst for preserving and providing access to records within the state and territories, CoSA has an opportunity to strengthen its relationship with records creators and others with influence in state government, while assisting state archivists in forging stronger networks that support electronic records management and digital preservation within their jurisdiction. The ACCESS planning grant and CoSA's successful six-year emphasis on SERI place CoSA in a unique position to collaborate with prominent national associations in the promotion of electronic records management and digital preservation best practices to their members, as well as to engage with users of digital government records for input and feedback. The national interest in government email and government transparency, both frequent topics of news coverage, also points to the timeliness of this project.

CoSA is currently collaborating with several of the partners named in this proposal to provide basic guidance to their association members on specific issues. NGA recently requested assistance in creating a best practices guideline for governors on the management and preservation of email, and this project is currently in process. NGA also asked for assistance with a full revision of NGA's 2010 publication, [Managing Gubernatorial Records: A Guide for Governors](#), to incorporate current guidance for electronic records.⁴ CoSA and NASCIO also continue to share information with their memberships on issues of relevance to the other associations. CoSA recently presented a webinar for state CIOs on preserving long-term government information, emphasizing the importance of digital preservation to these officials and discussing areas of cooperation.⁵ With limited funding and using only volunteers from CoSA in fulfilling these requests from our partners, the work accomplished to date nonetheless shows promise and points to the great need for additional staff and resources to prepare information on electronic records management and digital preservation to share with associations of government officials and other creators of state government information.

1.4 Statement of National Need - National Context of Project

CoSA will build on previous work in electronic records management and digital preservation by incorporating resources from other projects and institutions while compiling best practices documents targeted specifically for CoSA's project collaborators and state government records creators.

CoSA will rely on current professional expert information in electronic records management and digital preservation to prepare for short documents containing targeted information to assist state officials in understanding issues, policies, and practices. CoSA will use existing resources that include: parts of the curriculum from the three [SERI Electronic Records Institutes](#) and many [educational webinars](#), created during its IMLS Laura Bush grant; materials from the IMLS-funded [Digital PWRR project](#) (Preserving Digital Objects with Restricted Resources (now in its second phase and being funded by the National Endowment for the Humanities)); resources shared through the [National Digital Stewardship Alliance \(NDSA\)](#), of which CoSA is a member; the University of North Carolina at Chapel Hill's [DigCCurr, Carolina Digital Curation Curriculum](#)

⁴ National Governors Association, Governors Operations, "Managing Gubernatorial Records: A Guide for Governors, 2010, <https://www.nga.org/files/live/sites/NGA/files/pdf/OMCTMANAGEGUBNRECORDS.PDF>, accessed on May 17, 2017

⁵ CoSA, "CoSA Preservica Practical Digital Preservation Webinar - The Governance of Long-Term Digital Information," May 23, 2017. <https://www.youtube.com/watch?v=K06AH8DluQ&feature=youtu.be>, accessed May 31, 2017.

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[Project](#); the [National Archives and Records Administration Applied Research](#); and digital preservation resources from the [Library of Congress](#), including its Digital Preservation Outreach and Education training program, among others.⁶ CoSA will adapt the products from these and other existing digital preservation sources specifically for state government officials, including governors, information technology officers, secretaries of state, state librarians, and others.

CoSA is involved in two other projects that will contribute to its expertise in creating best practices guidance documents, particularly for government email. CoSA is a member of the Friends of the Task Force group for the [Task Force on Technical Approaches to Email Archives](#), formed in September 2016 and sponsored by the Andrew W. Mellon Foundation and the Digital Preservation Coalition. CoSA recently hosted a webinar for the task force to discuss its work with CoSA and to begin a dialogue on email technical issues in state government. Additionally, CoSA and the National Historical Publications and Records Commission (NHPRC) are hosting a symposium in September 2017 in Washington, DC on “Government Email in an Age of Risk: Ensuring Preservation of and Access to Information.” This symposium will bring together leaders from the federal government, state governments, and academia to discuss challenges and solutions for government email through the development of case studies and a white paper. The results of this symposium and the work of the Task Force will help inform and improve the Implementing ACCESS project’s work on email guidance for government officials.

2. Project Design

2.1 Project Design – Goals and Outcomes

The project will increase knowledge of digital government records preservation and enhance collaboration with national associations representing state officials through the following performance goals and outcomes:

- **Engaging records creators and government officials** by assessing needs, then developing and distributing ten (10) short guidance documents to increase understanding of digital preservation standards, as well as hosting webinars to share information on the standards, practices, and skills;
- **Galvanizing external stakeholder groups and users** by issuing five (5) collaborative reports and ten (10) case studies on electronic records or digital preservation issues in state government; engaging stakeholders via their professional associations at a minimum of eighteen (18) national conferences over the project’s two years, six (6) webinars, and through numerous articles and blog posts to get feedback as well as to plan collaborative actions; and engaging users of government records through focus groups and surveys for feedback on access to digital government information;
- **Sharing expertise** through documentation, guidance, and best practices created during the grant period with other archival and library groups, and with professional associations for government officials; and

⁶ CoSA, PERTTS Portal, “Education-Training,” <https://www.statearchivists.org/pertts/education-training/>; Digital PWRR, <http://digitalpowrr.niu.edu/>; NDSA, <http://ndsa.org/>; DigCCurr, <https://ils.unc.edu/digccurr/>; and NARA, <https://www.archives.gov/applied-research/>; Library of Congress, “Digital Preservation,” <http://www.digitalpreservation.gov/>, all accessed May 17, 2017.

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- **Creating ongoing processes** with partner groups to continue joint work on improving access to digital government information and strengthening the National Digital Platform.

2.2. Project Design – Project Workplan

CoSA will hire a Principal Investigator (Michelle Gallinger) and Project Coordinator (Barbara Teague) who will work with CoSA Executive Director Anne Ackerson, the CoSA Board of Directors, the SERI Steering Committee, and collaborators to:

- Assess the March 2017 survey of CoSA members and consult with partner groups to determine relative priority of topics for guidance documents on specific subjects;
- Create and distribute case studies, workflows, and governance documentation requested by CoSA members and partners, such as guidance documents to improve digital preservation and access and best practices guidelines for inclusion of preservation and long-term access provisions during content creation;
- Work with named partners - NGA, NASCIO, NASS, and COSLA - along with others to plan outreach efforts for user engagement, and to share information regularly through partners' websites, blogs, and newsletters;
- Collaborate with partners to produce and disseminate co-branded publications and webpages;
- Add up to three additional association or organizational partners;
- Attend partner conferences, webinars, and committee meetings, and host collaborators at CoSA meetings;
- Create processes for ongoing collaboration to continue sharing best practices documentation, presentations, and articles with partner members and users after the grant ends;
- Assess the impact of the project on records creators, participating organizations, and users, and
- Recommend next steps for continuing work after the grant ends.

CoSA conducted an initial survey of its members in March 2017 to help identify the most critical needs for best practices guidance, case studies, and guidelines for use by state and territorial archives.⁷ In the survey, CoSA members selected processing workflows (transfer of records from creating agency to the archives, processing records encoded in specific formats, and repository management) as the number one priority, closely followed by preservation and dissemination (preserving records in various formats and moving archival records out of content management systems) and digital preservation tools (BitCurator, Archivematica, Preservica, etc.). CoSA will consult with collaborative partners at the beginning of the grant, prior to determining the relative priority of subjects for which to create best practices information.

After selection of topics, Ms. Gallinger will survey currently available literature, electronic records management and digital preservation programs, and archival practices. She will then work with CoSA members and others to compile and edit case studies, best practices documents, and other guidance documents. All documents will undergo wide review within CoSA and by CoSA's formal collaborators on this project. Outside experts, including representatives from the Society of American Archivists' Colleges and Universities, Government Records, and Electronic Records Sections, will be asked to review and comment on

⁷ CoSA, "SERI Survey: Evaluating Education, Training, Tools, and Resources, Question 18, Ranking topics for best practices and guidance documents is included in Supporting Documents – Supporting Document 3.

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the documents prior to their release. Other reviewers to be contacted include members of the National Digital Stewardship Alliance and staff from the National Archives and Records Administration, and the Library of Congress.

Ms. Gallinger and Ms. Teague will work closely with CoSA’s SERI Steering Committee to offer webinars presenting the best practices and guidance documents and publications to state archivists, members of the collaborating associations, and to other interested parties in the library and archives professions. Webinars will include general overviews of best practices and guidelines, and focused “how-to” webinars to ensure that state archives staff are familiar with the best practices and guidelines. They will also convene user focus groups, both in-person and online, to gather feedback on uses of the guidelines and next steps, and will conduct user surveys about the availability and use of digital state government information.

Throughout the grant period, CoSA will assess the impact of the grant and work with project collaborators and users to evaluate the grant’s products and outcomes, and to plan future collaborations on safeguarding digital government information.

2.3 Project Design – Collaboration and Coordination

With several official collaborators and with a reach to all 56 states and territories, the project will require sustained coordination and oversight from CoSA staff, contractors, and CoSA committees. CoSA is experienced in managing large projects with participants from all states and territories, and has gained significant experience through the recent grant projects that funded parts of the SERI initiative and through the [Intergovernmental Preparedness for Essential Records](#) project, a collaboration with the Federal Emergency Management Agency, state CIOs, and state disaster preparedness/homeland security coordinators.⁸ The leadership of the CoSA Board, the SERI Steering Committee and its subcommittees will help ensure that the project focuses on the timeline, goals, and outcomes. CoSA’s staff and contractors performed successfully within CoSA’s coordinated collaboration model during previous grants, yielding substantial results. The CoSA Board, SERI Steering Committee, and SERI Subcommittees meet at least monthly, and will receive and assess regular reports and analysis on the progress of the project from Ms. Gallinger and Ms. Teague. When the wider reviews are completed, the SERI Steering Committee will review all guidelines, publications, and other guidance documents prior to release. The collaborating organizations and their members will provide significant incentive for the success of the project as well.

Representatives from partner organizations who will be working directly with CoSA include: Nikki Guilford, Director, and Christie Amberman, Associate Director, NGA Office of Management Consulting and Training; Doug Robinson, NASCIO Executive Director; Leslie Reynolds, NASS Executive Director, and John Milhofer, NASS Policy Analyst; and Tim Cherubini, COSLA Executive Director. Ms. Teague will focus on working with these collaborative partners, adding additional partners, and securing continued collaboration with content creators and end users. The group will also develop relationships and create formal ongoing communication processes with partner organizations that will continue after the grant ends.

2.4. Project Design – Additional Collaborators

⁸ CoSA, “Emergency Preparedness,” <https://www.statearchivists.org/programs/emergency-preparedness/>

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CoSA will also seek to enlist up to three additional formal collaborators during the grant period and will approach the associations of state government officials most likely to have a significant impact on digital government information. CoSA will consider asking up to three of the following organizations to be formal partners on this grant: the National Association of State Budget Officers (NASBO); the National Conference on State Legislatures (NCSL); the National Association of Attorneys General (NAAG); the National Association of State Auditors, Comptrollers, and Treasurers (NASACT); and the Council of State Governments (CSG). Ms. Teague will examine information about each association and consult with the SERI Steering Committee and the CoSA Board prior to the beginning of the grant to select a priority order for contacting possible additional participants when the grant project begins.

2.5 Project Design – Dissemination of Materials

CoSA's online [Program for Electronic Records Training, Tools, and Standards \(PERTTS\) Portal](#) will be the primary distribution method for materials, supplemented by co-branded publications/webpages on partner websites.⁹ CoSA will also distribute information to the state or territorial archives for sharing through each state's distribution network and linking to the documents from the state archival agency's website. CoSA will also investigate ways to make the materials more readily accessible and easier to use online; for example, by providing access by topic or for a specific group, association, or profession, as in the American Library Association's [Advocacy University](#).¹⁰

Products from the grant, in addition to surveys and other assessments mentioned above, will include at least ten (10) guidance documents on digital preservation standards; at least ten (10) case studies on electronic records management or digital preservation issues in state archives; at least five (5) co-branded publications with project collaborators that explore an issue in electronic records management or digital preservation; at least six (6) webinars recorded and made available on CoSA's [YouTube channel](#) and website; and numerous blog posts and newsletter articles.¹¹

Ms. Gallinger, Ms. Teague, and other CoSA members will give presentations and workshops on grant products at archival, library, and partner organization conferences, and provide articles and blogs for newsletters and journals in the archival and library professions and for the project collaborators to use or post in their communication channels. In addition to presenting at national conferences, CoSA will use attendance at partners' conferences as an opportunity to seek feedback on ideas for ongoing collaboration and cooperative projects on digital government information. Either Ms. Teague and/or Ms. Gallinger will attend and give presentations at the following conferences: NASCIO's mid-year meetings in the Washington, DC area in April 2018 and 2019; NASS's mid-year meeting in Washington DC in February 2018 and 2019; and COSLA's fall meeting in Bismarck, North Dakota in 2018 and in a northeastern location in the US in 2019. Additionally, CoSA will give presentations at NGA training conferences for gubernatorial staff, most likely the Legal Counsels, the Directors of Appointments to Boards and Commissions, and the Directors of Constituent Services. The time and location of the NGA training sessions are not yet available. Ms. Gallinger and/or Ms. Teague will also give presentations at professional archival conferences, including SAA's annual meeting in August (Washington DC in 2018 and Austin, Texas in 2019), the annual National Digital Stewardship Alliance

⁹ CoSA, "PERTTS Portal," <https://www.statearchivists.org/pertts/>

¹⁰ American Library Association, "Advocacy University," <http://www.ala.org/advocacy/advocacy-university>

¹¹ CoSA, "YouTube," <https://www.youtube.com/user/StateArchivists>, accessed May 17, 2017.

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and Best Practices Exchange conferences (Fall, 2018 and 2019), and others, as outlined in the budget justification. CoSA will also offer at least three (3) webinars per year to introduce grant products to stakeholder groups and state government content creators and users.

3. National Impact

3.1 National Impact – Importance of Materials

Implementing ACCESS addresses the need of ensuring that permanent digital government information in the fifty-six states and territories is preserved and accessible, making it available for research and the documentation of government policies and actions. The project has the potential for significant national impact because a successful project will ensure that state and territorial governments will improve creation, preservation, and access to records through the application of best practices to their electronic records management and digital preservation programs. The increased awareness of archival and records management requirements by governors, secretaries of state, chief information officers, and state librarians will have a meaningful long-term influence on state government policies and actions in many of the states and territories. Working with the associations of these influential state government officials will create additional emphasis on digital preservation in state and territorial governments, resulting in less information loss over time. Additionally, increased effort dedicated to preservation by content creators will help mitigate the need for costly triage on fragile digital records during or after transfer into archives custody.

3.2 National Impact – Materials Produced and Disseminated

The materials produced during the grant will have a lasting effect on the library and archives field by creating and making available case study information on specific projects; providing guidelines and best practices documents that the state archives can use to assist state agencies in creating, preserving, and providing access to government records; and strengthening influential government officials' understanding of critical issues in electronic records management and digital preservation and their own role in its success. The case studies will provide real-world examples of digital preservation decisions in state government that offer samples of challenges and solutions with wide applicability to other types of libraries and archives. The best practices guidance documents will be useful beyond the state archives community, particularly to colleges and university archivists who work with their university administrators to improve electronic records management; to local governments that will find the best practices and guidance documents scalable for their local use; and to smaller archival repositories that look for basic guidance on a range of digital preservation and electronic records management issues. Smaller repositories might include public libraries with local history collections and museums with archives that would benefit from the grant products.

3.3 National Impact – IMLS Goals

This project addresses two IMLS Agency Goals, *Learning* and *Content and Collections*. For the *Learning* IMLS Goal, this project addresses the Performance Goal "Train and develop museum and library professionals." CoSA will measure the *Learning* Performance Goal by assessing satisfaction surveys completed after each webinar and other presentation and by a final survey at the end of the grant to assess state archives' staff opinions on training, presentations, case studies, guidance documents, and best practices guidelines issued during the grant period.

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For the *Content and Collection* IMLS Goal, this project addresses all three Performance Goals, “Broaden access and expand use of the Nation’s content and collections,” “Improve management of the Nation’s content and collections,” and “Improve preservation, conservation, and care of the Nation’s content and collections.” CoSA will measure these performance goals by examining access and use of government archival records through surveys of users and through sampling of user satisfaction surveys at several state archives; by assessing improved management of digital government information through surveys of project collaborators and of association staff who worked with CoSA on the project; and by regular CoSA assessments of state archives’ improvements in preservation, conservation, and care of electronic records in their custody.

3.4 National Impact – Long-Term Outcomes

The benefits of the project will be sustained beyond the grant period through the documents produced during the grant, as they will be widely disseminated and freely available on CoSA’s PERTTS portal. The cooperation between professional associations of state government officials will also continue, sustaining and growing work to preserve and provide access to state government digital information through the continued use of networks and information channels with the project collaborators that were either started or expanded during the grant. CoSA will continue to update and exchange information with project collaborators after the grant, ensuring wider distribution of updates about electronic records and digital preservation.

The grant’s outcome will be increased preservation and use of digital government information, heightened awareness of electronic records management and digital preservation among influential state government officials, and state archivists and staff who are better prepared to manage records in their care and to work collectively within their jurisdictions to save digital government information. CoSA and its partners on this proposal look forward to working collaboratively, ensuring that state government digital records are safe and accessible for the next generation.

DIGITAL PRODUCT FORM

Introduction

The Institute of Museum and Library Services (IMLS) is committed to expanding public access to federally funded digital products (i.e., digital content, resources, assets, software, and datasets). The products you create with IMLS funding require careful stewardship to protect and enhance their value, and they should be freely and readily available for use and re-use by libraries, archives, museums, and the public. However, applying these principles to the development and management of digital products can be challenging. Because technology is dynamic and because we do not want to inhibit innovation, we do not want to prescribe set standards and practices that could become quickly outdated. Instead, we ask that you answer questions that address specific aspects of creating and managing digital products. Like all components of your IMLS application, your answers will be used by IMLS staff and by expert peer reviewers to evaluate your application, and they will be important in determining whether your project will be funded.

Instructions

You must provide answers to the questions in Part I. In addition, you must also complete at least one of the subsequent sections. If you intend to create or collect digital content, resources, or assets, complete Part II. If you intend to develop software, complete Part III. If you intend to create a dataset, complete Part IV.

PART I: Intellectual Property Rights and Permissions

A.1 What will be the intellectual property status of the digital products (content, resources, assets, software, or datasets) you intend to create? Who will hold the copyright(s)? How will you explain property rights and permissions to potential users (for example, by assigning a non-restrictive license such as BSD, GNU, MIT, or Creative Commons to the product)? Explain and justify your licensing selections.

The *Implementing ACCESS* project will create a variety of digital products spanning best practices and guidelines documents for components of electronic records management and digital preservation, case studies of successful projects, co-branded publications with project collaborators, webinars, blog posts and newsletter articles. The Council of State Archivists (CoSA) will assign a Creative Commons Attribution (by) licenses to these materials to facilitate broad and unrestricted access and use of findings. All documents and webinars will be publicly available via CoSA's website (www.statearchivists.org) or [YouTube channel](#).

A.2 What ownership rights will your organization assert over the new digital products and what conditions will you impose on access and use? Explain and justify any terms of access and conditions of use and detail how you will notify potential users about relevant terms or conditions.

All the project's digital products will carry the Creative Commons copyright logo with Attribution license language explaining how readers may access and use the materials. The Creative Commons Attribution license is the most unrestrictive, allowing others to use the report simply by providing appropriate credit as to its source. The Council of State Archivists will provide appropriate credit language in the materials and on the website.

A.3 If you will create any products that may involve privacy concerns, require obtaining permissions or rights, or raise any cultural sensitivities, describe the issues and how you plan to address them.

Should CoSA use any images borrowed or owned by others, or extractions of copyrighted written material in the production of the materials, it will seek permission/rights for their use, retain all signed

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permissions, and provide appropriate credit as required by the owner(s).

Part II: Projects Creating or Collecting Digital Content, Resources, or Assets

A. Creating or Collecting New Digital Content, Resources, or Assets

A.1 Describe the digital content, resources, or assets you will create or collect, the quantities of each type, and format you will use.

The majority of the digital content produced in the *Implementing ACCESS* project grant will consist of typed and graphically designed documents -- at least ten case studies on electronic records management or digital preservation issues in state archives; at least five co-branded publications with project collaborators, exploring an issue in electronic records management or digital preservation; at least six webinars recorded and available on CoSA's YouTube channel and website; and numerous blog posts and newsletter articles. Case studies and co-branded publications will initially be produced using Microsoft Office software before being formatted and designed by a contract graphic designer using Publisher or similar software. They will then be published as PDFs under the Creative Commons Attribution license.

Webinars will be presented via a WebEx platform, which allows CoSA to record the audio presentation that is then uploaded to the CoSA YouTube channel along with a PDF of the PowerPoint slide deck. Many of CoSA's webinars are first uploaded to the Council's website (www.statearchivists.org) and then moved to its YouTube channel after a few weeks.

A.2 List the equipment, software, and supplies that you will use to create the content, resources, or assets, or the name of the service provider that will perform the work.

The contract Principal Investigator, Michelle Gallinger, will use her own equipment, software, and supplies to compile and edit case studies, best practices documents, and other guidance documents after surveying available literature, electronic records management and digital preservation programs, and archival practices. All documents will undergo wide review within CoSA and by CoSA's formal collaborators on this project.

Ms. Gallinger and Project Coordinator Barbara Teague will work with CoSA's SERI Steering Committee to offer webinars presenting the best practices and guidance documents and publications to state archivists and to members of the associations collaborating on this project, and to other interested parties in the library and archives professions. Webinars will include general overviews of best practices and guidelines for project collaborators and others, and specific "how-to" webinars to ensure that state archives staff are familiar with the best practices and guidelines.

Ms. Gallinger and Ms. Teague will use Microsoft Office software to create documents and webinar slide decks.

Blog posts are uploaded to the Council's website, www.statearchivists.org, which was built and partially customized by Informatics, a web design company based in Cedar Rapids, IA, using concrete5, a free CMS Open Source Content Management System. The site is accessible via standard web browsers. Informatics maintains the site on an annual contract. Blog posts written for collaborators websites will

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also be cross-posted on CoSA’s website, so that these outreach materials are maintained together.

CoSA uses the free version of MailChimp, a leading marketing automation platform, to create and send newsletters. Newsletters are also archived at MailChimp.

A.3 List all the digital file formats (e.g., XML, TIFF, MPEG) you plan to use, along with the relevant information about the appropriate quality standards (e.g., resolution, sampling rate, or pixel dimensions).

The project’s products will be developed in Microsoft Word and converted into PDFs for placement on the CoSA’s website (www.statearchivists.org). If images are used, JPGs will be the primary format for them. Webinar slide decks will be created in PowerPoint and uploaded to WebEx for presentation. PowerPoint slide decks are converted to PDFs for long-term availability on the Council’s website and on YouTube.

B. Workflow and Asset Maintenance/Preservation

B.1 Describe your quality control plan (i.e., how you will monitor and evaluate your workflow and products).

The Principal Investigator and the Project Coordinator will use the Schedule of Completion to plan and implement the development of all the project’s digital products. They will begin drafting documents and webinar presentations in early 2018 and continue this work throughout Year 2 of the project. They will work closely with other project personnel by soliciting input on drafts, editing and proofreading, as documents will have staggered beginning and ending dates. Monthly meetings with project personnel will ensure that workflows are monitored, evaluated, and recalibrated when necessary. As drafts are finalized, they will be sent to the contract graphic designer. When finalized, they will be uploaded to the PERTTS (Program for Electronic Records Training, Tools, and Standards) Portal on the CoSA website.

B.2 Describe your plan for preserving and maintaining digital assets during and after the award period of performance. Your plan may address storage systems, shared repositories, technical documentation, migration planning, and commitment of organizational funding for these purposes. Please note: You may charge the federal award before closeout for the costs of publication or sharing of research results if the costs are not incurred during the period of performance of the federal award (see 2 C.F.R. § 200.461).

The project’s digital products will be available on the Council of State Archivists’ website (www.statearchivists.org) and on the CoSA’s YouTube channel, and maintained by CoSA staff during and after the grant award period to ensure accessibility.

C. Metadata

C.1 Describe how you will produce any and all technical, descriptive, administrative, or preservation metadata. Specify which standards you will use for the metadata structure (e.g., MARC, Dublin Core, Encoded Archival Description, PBCore, PREMIS) and metadata content (e.g., thesauri).

The digital content produced in the *Implementing ACCESS* project grant will consist of typed documents and would probably not include the creation of any specific metadata excluding upload of the documents and reports to the Council of State Archivists’ website built on the open source concrete5 content management system using customized metadata fields provided in the system.

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C.2 Explain your strategy for preserving and maintaining metadata created or collected during and after the award period of performance.

Any metadata created or collected during this project grant will be maintained on the Council of State Archivists' website.

C.3 Explain what metadata sharing and/or other strategies you will use to facilitate widespread discovery and use of the digital content, resources, or assets created during your project (e.g., an API [Application Programming Interface], contributions to a digital platform, or other ways you might enable batch queries and retrieval of metadata).

All digital products from *Implementing ACCESS* will be available online at the Council of State Archivists' website in the PERTTS (Program for Electronic Records Training, Tools, and Standards) Portal, an area specifically designed for the Council's State Electronic Records Initiative (SERI) resources.

D. Access and Use

D.1 Describe how you will make the digital content, resources, or assets available to the public. Include details such as the delivery strategy (e.g., openly available online, available to specified audiences) and underlying hardware/software platforms and infrastructure (e.g., specific digital repository software or leased services, accessibility via standard web browsers, requirements for special software tools in order to use the content).

The project's digital products will be available online at the Council of State Archivists' website in the PERTTS (Program for Electronic Records Training, Tools, and Standards) Portal, an area specifically designed for the Council's State Electronic Records Initiative (SERI) resources. CoSA's website was built and partially customized by Informatics, a web design company based in Cedar Rapids, IA, using concrete5, a free CMS Open Source Content Management System. The site is accessible via standard web browsers. Informatics maintains the site on an annual contract.

D.2 Provide the name(s) and URL(s) (Uniform Resource Locator) for any examples of previous digital content, resources, or assets your organization has created.

The following reports and surveys are a representative example of the types of digital resources created by the Council of State Archivists and available at www.statearchivists.org:

ACCESS Action Plan: <https://www.statearchivists.org/programs/state-electronic-records-initiative/>

SERI Phase II Report: <https://www.statearchivists.org/programs/state-electronic-records-initiative/>

State of the State Records (2015): <https://www.statearchivists.org/resource-center/cosa-reports-projects-and-surveys/>

The State of State Records: A Statistical Report on State Archives and Records Management Programs in the United States (June 2013): <https://www.statearchivists.org/resource-center/cosa-reports-projects-and-surveys/>

Importance of State Archives (March 2013): <https://www.statearchivists.org/resource-center/cosa->

reports-projects-and-surveys/

Part III. Projects Developing Software

A. General Information

A.1 Describe the software you intend to create, including a summary of the major functions it will perform and the intended primary audience(s) it will serve.

A.2 List other existing software that wholly or partially performs the same functions, and explain how the software you intend to create is different, and justify why those differences are significant and necessary.

B. Technical Information

B.1 List the programming languages, platforms, software, or other applications you will use to create your software and explain why you chose them.

B.2 Describe how the software you intend to create will extend or interoperate with relevant existing software.

B.3 Describe any underlying additional software or system dependencies necessary to run the software you intend to create.

B.4 Describe the processes you will use for development, documentation, and for maintaining and updating documentation for users of the software.

B.5 Provide the name(s) and URL(s) for examples of any previous software your organization has created.

C. Access and Use

C.1 We expect applicants seeking federal funds for software to develop and release these products under open-source licenses to maximize access and promote reuse. What ownership rights will your organization assert over the software you intend to create, and what conditions will you impose on its access and use? Identify and explain the license under which you will release source code for the software you develop (e.g., BSD, GNU, or MIT software licenses). Explain and justify any prohibitive terms or conditions of use or access and detail how you will notify potential users about relevant terms and conditions.

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C.2 Describe how you will make the software and source code available to the public and/or its intended users.

C.3 Identify where you will deposit the source code for the software you intend to develop:

Name of publicly accessible source code repository:

URL:

Part IV: Projects Creating Datasets

A.1 Identify the type of data you plan to collect or generate, and the purpose or intended use to which you expect it to be put. Describe the method(s) you will use and the approximate dates or intervals at which you will collect or generate it.

A.2 Does the proposed data collection or research activity require approval by any internal review panel or institutional review board (IRB)? If so, has the proposed research activity been approved? If not, what is your plan for securing approval?

A.3 Will you collect any personally identifiable information (PII), confidential information (e.g., trade secrets), or proprietary information? If so, detail the specific steps you will take to protect such information while you prepare the data files for public release (e.g., data anonymization, data suppression PII, or synthetic data).

A.4 If you will collect additional documentation, such as consent agreements, along with the data, describe plans for preserving the documentation and ensuring that its relationship to the collected data is maintained.

A.5 What methods will you use to collect or generate the data? Provide details about any technical requirements or dependencies that would be necessary for understanding, retrieving, displaying, or processing the dataset(s).

A.6 What documentation (e.g., data documentation, codebooks) will you capture or create along with the dataset(s)? Where will the documentation be stored and in what format(s)? How will you permanently associate and manage the documentation with the dataset(s) it describes?

A.7 What is your plan for archiving, managing, and disseminating data after the completion of the award-funded project?

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A.8 Identify where you will deposit the dataset(s):

Name of repository:

URL:

A.9 When and how frequently will you review this data management plan? How will the implementation be monitored?