

Summary

CTG has engaged in numerous projects that have bridged the gap between theory and practice by producing generalizable tools that link business objectives to sound information management practices. CTG has worked with the US Library of Congress on digital preservation strategies for states; partnered with the New York State Archives and Records Administration and National Historical Publications and Records Commission (NHPRC) to develop a set of practical guidelines to support and promote secondary uses of electronic records; and conducted a case study with the NYS Adirondack Park Agency to develop a practical way to incorporate essential electronic records requirements into the design of new information systems. Through these projects, CTG has developed a robust set of guides and tools, as well as used our expertise to conduct numerous electronic records workshops with organizations such as the United Nations to facilitate many of these best practices.

Latest Project

Scope of Work for Enterprise Content Management Project

CTG and the New York State Homes and Community Renewal (HCR) project team developed an Enterprise Content Management Strategy based on the work conducted over a six month period. Below are the key project activities.

Conduct Enterprise Content Management (ECM) system tools orientation with CTG team and identify business processes to be used during the project. This will include a Developer Workshops where CTG and HIS teams discuss how HCR is using current ECM tools and learn more about the capabilities of each (Sharepoint and Livelink).

Map out a selected core business process and information relationships and conduct a business process improvement activity. This resulted in an improved business process model and the identification of key records and determine the records to be retained in ECM system for the selected process.

Identify records retention requirements and security classifications including a Records Classification Workshop with records manager, business process owner, OCS, NYS Archives and ITS. The result was a Record Classification Document for Single Process and Records Classification Criteria Template for Additional Processes.

Map the business process and associated documents to the ECM system. A developer workshop was held and focused on presenting a draft standardized entity/document relationship diagram based on the selected business process. The result was a Standardized Entity/Document Relationship Diagram for Single Process and Dataset Design Document to include Controlled Vocabulary and Standardized Index Value Templates.

Finalize ECM Strategy “How To” Guide and additional tools. All analysis, findings, and recommendations developed during the project were integrated into a ECM Strategy “how to” guide and additional tools to support the design and implementation of an ECM strategy.

Related Publications

Practical Guides (3)



Opening Gateways: A Practical Guide for Designing Information Access Programs

Wed, 18 Apr 2012

This Guide was originally published under the title of *Opening Gateways: A Practical Guide for Designing Electronic Records Access Programs* in 2000 and revised in 2002. Since it was issued, technological advances have given us a much broader array of tools and approaches to providing access to information. These advances have created a broader and in some ways more sophisticated community of potential users and stakeholders whose expectations of ease of access and immediacy of information have grown exponentially. These changes, combined with a social and political environment that demands public sector entities be more open and transparent in their operations, have put increased pressures on government to provide access to more and better information through readily accessible means such as the Internet. This guide is designed to help government agencies develop affordable, manageable, and effective information access programs. Given the changing technological and social environment, the type of planning processes facilitated by this Guide are more relevant than ever. The revisions have focused on updating many of the examples provided and language used as well as including an expanded discussion of program models available due to technological advances.

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Building State Government Digital Preservation Partnerships: A Capability Assessment and Planning Toolkit, Version 1.0

Mon, 01 Aug 2005

Decisions to invest in digital preservation projects must be grounded in a full understanding of the ability of those involved to identify and fill the gaps between current and required capability. This toolkit is designed for library, archives, records management, and information technology professionals to assess where capability for digital preservation exists and where it must be developed in order to achieve the goal of preserving significant at-risk government information.

State and local governments are creating vast amounts of information solely in digital form, including land data, school records, official publications and court records. Much of this material is of permanent value, yet is at risk because of fragile media, technological obsolescence, or other hazards. State libraries and state archives typically have broad responsibility for preserving and providing public access to state and local government information of enduring value, but many other agencies also play critical roles in managing and preserving digital information.

States vary greatly in the work already undertaken on behalf of digital preservation, as well as in the resources available for the task. The degree and focus of leadership for digital preservation varies from state to state, as do the specific priorities for immediate preservation attention. This variation comes in part because there is currently no consensus view about how states (or other organizations) should go about doing digital preservation. The challenge is both so new and so large that everyone is still trying to determine the best methods.

This toolkit is designed for library, archives, records management, and information technology professionals to use when considering or planning for a digital preservation initiative. It provides a process for assessing where capability for digital preservation exists and where it must be developed in order to achieve the goal of preserving significant and at risk government information.

The toolkit is presented in four chapters as well as a comprehensive set of worksheets and related materials. Chapters 1-4 and Appendices 1-8 are available for download in PDF. **Note:** In order to help users of the toolkit compile multiple capability assessment ratings electronically, Appendix 8. Dimension Worksheets is provided also as a separate Microsoft Word document.

Making Smart IT Choices: Understanding Value and Risk in Government IT Investments

Wed, 01 Apr 2004

IT innovation is risky business in every organization. In the complex public sector environment, these risks are even greater. This handbook is designed to help any government manager evaluate IT innovations before deciding (with greater confidence) to make a significant investment.

Why evaluate information technology (IT) choices? Because IT innovation is risky business in every organization. The public policy choices and public management processes that are part of government make it an especially difficult environment for IT managers. These layers of complexity present a daunting challenge to public managers who are responsible for choosing, funding, and building IT innovations.

Government managers need to evaluate IT choices because they are among the most complex and expensive decisions they are expected to make.

There are three ways to mitigate the risks inherent in these complex decisions: thoroughly understand the problem to be solved and its context, identify and test possible solutions to the problem, evaluate the results of those tests against your service and performance goals. This handbook is designed to help any government manager follow a well-tested methodology for evaluating IT innovations before deciding (with greater confidence) to make a significant investment.

Reports and Working Papers (5)



Opening Government's Official Legal Materials: Authenticity and Integrity in the Digital World Thu, 23 Feb 2012

Increasingly, state governments are moving toward making primary legal materials available online via state government websites. The goal in these efforts, and also the challenge, is to provide users with more efficient access while ensuring that the electronic versions of primary legal materials are as "official" as their paper originals. The desire of state governments to make this a priority is strong. However, they currently lack the necessary policies and management practices necessary for success. State legislators and their staffs, legislative reference librarians, state archivists, and chief information officers all have important roles to play in laying the foundation for these efforts through the creation of new policy, management, and technology capabilities. This brief provides background to the recently approved Uniform Electronic Legal Material Act (UELMA), explores the concepts behind authenticated electronic materials, defines what it will take to create, maintain, and make available official electronic legal material, and provides recommendations for states.

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Setting the Stage for an Electronic Health Record: A Business Analysis for the New York State Department of Correctional Services Thu, 10 Dec 2006

This document reports on a project conducted by CTG on behalf of the New York State Department of Correctional Services (NYS DOCS) to explore the likely benefits and associated costs of an Electronic Health Record (EHR) for NYS DOCS. The project, moving towards an electronic health record for NYS DOCS, was

initiated in the summer of 2005 by the former New York State Department of Correctional Services Commissioner, Glenn Goord.

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The project report outlines the source of many of the environmental and organizational challenges facing NYS DOCS in the transition to an EHR. The benefits of an EHR both generally and in a correctional context are introduced together with barriers to implementation at NYS DOCS found in the environmental analysis. In addition, a set of recommendations was designed to assist NYS DOCS in their efforts to fully realize the benefits of an EHR as well as a brief discussion of related cost estimation issues. Since the release of the report, NYS DOCS has taken positive developments towards their goal, an update of which is now included in the report.

Preserving State Government Digital Information: A Baseline Report

July 2006

This report provides a baseline for state government digital information preservation capabilities and activities. It includes an analysis of the results across states and territories and presents several observations on the current digital preservation environment based on CTG's 2006 State Government Digital Information Preservation Survey.

Partnerships have emerged as the most viable strategy for securing the resources necessary for preserving state government digital information. Whether these partnerships span units within a single agency or multiple state and local governments and in some cases the federal government, their development requires knowledge of capabilities and priorities to be shared among potential partners. This report provides the baseline knowledge necessary to launch these critical partnership development efforts. Baseline data on state government digital information preservation capabilities and activities was collected in five key areas:

1. Institutional Roles and Responsibilities
2. State Government Digital Information Preservation Activities
3. Training Needs for Digital Preservation
4. State Government Digital Information Currently At-Risk
5. Engagement with Enterprise Architecture

Six observations about the challenges facing state government digital preservation initiatives emerged from the baseline data:

1. Capability for preserving state government digital information is low.
2. There is no consistent approach to addressing "at-risk" information.
3. Authority for setting standards and responsibility for providing digital preservation services is dispersed.
4. Executive, legislative, and judicial agencies operate parallel digital preservation efforts.
5. Digital preservation and Enterprise Architecture initiatives are not well-connected.
6. Efforts to develop strategic digital preservation programs are hampered by problem focused practices and funding and staffing models.

A complementary resource to this baseline reports enables you to review the individual profiles from the responding units within the states/territories. >> State Government Digital Preservation Profiles.

State Government Digital Preservation Profiles

July 2006

This Web-based resource provides profiles of state government digital information preservation efforts within the United States based on the information collected from the 2006 State Government Digital Information Preservation Survey. The profiles are organized by state or territory and the library, archives, and records management units that were represented in the survey response.

State libraries and archives have traditionally managed, preserved, and provided access to significant government information in paper and other traditional formats. More and more, however, this information is

created in digital form. Much of it has short-term value, but a considerable fraction must remain available for many years, in some cases, permanently. Unfortunately, states are finding their current preservation capabilities do not extend from paper to digital formats. All signs point to continued growth in the volume and complexity of this information yet library, archives and records management professionals are hampered in their efforts to respond to this growth by a host of resource gaps. These gaps include a lack of comprehensive program strategies, personnel and funding as well as a lack of technology infrastructure and appropriate and sufficient skills.

Use of Parcel Data in New York State: A Reconnaissance Study

June 2005

This report presents the findings of a reconnaissance study on the use of parcel data in New York State. It documents the current and potential uses of parcel data, its value to many different kinds of organizations, and the typical flow of data across government and non-governmental boundaries.

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Journal Articles and Conference Papers (2)



Building a state government digital preservation community: Lessons on interorganizational collaboration.

2006

Based on the findings of 2005 Library of Congress workshops and previous efforts on digital preservation, this paper discusses the challenges and opportunities regarding interorganizational collaboration and community building for digital preservation of state government information.

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Challenges of Treating Information as a Public Resource: The Case of Parcel Data

2006

Land parcels are the foundation for many aspects of public and community life. This report presents the findings of a study of information about land parcels in New York State. It identifies stakeholders and their interests as well as the needs and issues associated with the uses of parcel data in the public, private, and nonprofit sectors.

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We describe the attributes of parcel data, discuss its value to a variety of stakeholders, present typical data flows across organizational boundaries, and illustrate a wide range of uses. We then present the main issues and policy challenges associated with treating parcel data as a collective public resource, and conclude with a set of policy principles for guiding future investments.

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Other Results

Digital Archiving: From Fragmentation to Collaboration

Report and press release from the June 2006 National Association of Secretaries of State and National Electronic Commerce Coordinating Council (eC3) symposium on state government archiving of digital information. CTG staff organized and facilitated the day and a half symposium session with secretaries of state, state archivists, state librarians, IT solutions vendors and others interested in the issue of digital archiving. Also, CTG wrote the symposium report, which CTG presented at the December 2006 annual eC3 conference in Sacramento, California.

[> Download Report](#)

Partnering for Preservation

Can governments come up with plans to preserve digital information for future generations? Yes, but CIOs must be on board to make it happen. [> Download Article](#)

By Theresa A. Pardo and Brian Burke

Public CIO Magazine

April-May 2006 Issue

Preservation of State Government Digital Information: Issues and Opportunities

Report of the Library of Congress Convening Workshops with States 2005 [> Download PDF](#)

The Library of Congress convened three workshops with representatives from all 50 states during 2005 to listen and learn about how states are coping with the digital preservation challenge. CTG staff played a key role in planning, facilitating, and analyzing the results of the workshops. Findings from the workshops are outlined in this report.

Regulatory Impacts on E-Records Management Decisions

Prepared by the NECCC Records Management Workgroup 2005 [> Download PDF](#)

As part of CTG's project with the Library of Congress, CTG staff participated in the NECCC Records Management Workgroup and contributed to this paper. This NECCC workgroup paper seeks to describe and discuss the impact on state and local public agencies of the unintended results created by new regulations and changes in regulatory assignments by the federal government. Several case studies are highlighted to show what jurisdictions are doing to solve this issue.

Enterprise Content Management Deliverables

The Center for Technology in Government developed an *ECM Five Step Intake Process* for the NYS Homes and Community Renewal, along with a set of tools to carry out an agency-wide implementation. These deliverables are described below:

ECM Strategy 5 Step Intake Process: Outlines the intake process and points to other materials in the packet that can support each process step.

Guide to Business Process Analysis for an Enterprise Content Management Intake Process: A "how to" guide including scripts and templates on conducting a BPA that can support the intake of program units records into an ECM.

HOME Disbursements Program Process Improvement Recommendations: High-level process improvement recommendations for the HOME Disbursement Financial Process focused on the handling of records and information.

Records Retention and Information Security Classification Guide: A “how to” guide to classifying records for retention, security and access purposes that will support the intake of records into an ECM.

HOME Disbursement Records Retention Issues: A summary of the specific records retention and management issues related to HOME Disbursement Financial Processing records.

Integrating the HOME Disbursement and Warrant Processes into an ECM System: Logical architecture and data schemas for the intake of HOME Disbursement and Warrant Processes records into the ECM based on the findings from the BPA and records classification phases of the project. Also provides a general approach for producing such architectures for other HCR business processes.

CTG HCR ECM Project Recommended Next Steps: List of recommended follow-up work to actually integrate HOME Disbursement and Warrant Processing records into the ECM.

For more information on these deliverables and how your agency can work with CTG to develop similar ECM strategies, please contact Brian Burke.

Partners

New York State Homes and Community Renewal

Funding Sources

Our most recent project was funded by New York State Homes and Community Renewal.

Press Releases & News Stories

Press Releases

Center for Technology in Government at UAlbany Develops “How to” Guide and Planning Tools for Government Enterprise Content Management Strategies
Wed, 02 Jan 2013

UAlbany’s Center for Technology in Government Releases New Report with Recommendations for States on Providing Access to Electronic Legal Records
Mon, 12 Mar 2012

UAlbany’s Center for Technology in Government Releases Survey Results For State Government Digital Information Preservation
Mon, 24 Jul 2006

UAlbany Center Receives \$800,000 from NSF for Work on Library of Congress Project to Explore National Collaborative Approach to Preserve State and Local Government Digital Information
Fri, 25 Feb 2005

News Stories

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