State Government Digital Preservation Profiles

Arizona LARM

July 2006

This page intentionally left blank.

Introduction

The state government digital preservation profiles available on this Web page are based on information collected from those state and territorial library, archives, and records management units that completed CTG's State Government Digital Information Preservation Survey. CTG administered the survey to all state and several territorial librarians, archivists, and records managers in early 2006. See baseline report for details.

The profiles are organized by state or territory and the library (**L**), archives (**A**), and records management (**RM**) units that were represented in the survey response. (For example, "**Alabama ARM**," which is the first responding unit in the drop down menu below, refers to the **a**rchives and **r**ecords **m**anagement units from Alabama in one survey response.) For some states, respondents also included agencies other than library, archives, and records management. These profiles are marked with an asterisk (*****) and the other units that contributed to the survey response are specified in the profiles.

To select a different profile, click on the Introduction/Select Profile link located on the top left of the screen.

You can also view consolidated tables showing how all the state/territory responding units replied to selected questions in the survey. (This is also found in Appendix E of Preserving State Government Digital Information: A Baseline Report.)

STATE PROFILES CONTACT
G. Brian Burke, Project Manager
Center for Technology in Government
University at Albany, SUNY

Section 1. Responding Unit(s)

Name of state or territory.
Arizona State Library, Archives and Public Records

Name and affiliation of individual(s) who responded on behalf of the state or territory.
Richard Pearce-Moses, Director of Digital Government Information (principal contact for questions regarding this survey)

Janet Fisher, Director, Law and Research Library

Melanie Sturgeon, Directory, History and Archives Division

Laurie Sletten, Director, Records Management Division

Eddy Cheng, Chief Technology Officer

All work for the Library and Archives

This profile includes information provided by the following units for this state:
- Library
- Archives
- Records Management

Section 2.1a. Setting Standards for EXECUTIVE Agencies

The following units have authority for setting standards, specified below, for digital information created or maintained by EXECUTIVE agencies. Multiple boxes are checked to reflect authority that is shared or delegated.

	Authority not assigned	Library has authority	Archives has authority	Records Manage-ment has authority	Others (See below)
Setting data management standards and or guidelines for information creation (e.g., metadata, file formats).		X	X	X	X
Setting information technology standards and or guidelines for information creation (e.g., state approved software applications).					X
Setting standards for information retention and disposal (e.g., retention periods and methods of disposal) for various series/types of digital records and publications.			X	X	X

Other standards and the units with authority over setting them.
The Arizona Government Information Technology Agency (GITA) has overlapping authority in all three areas.

Remember that there are state and federal statutes that affect our operations, hence the Congress and the state legislature have some authority.

Additional information.
No information provided

Section 2.1b. Services Provided to EXECUTIVE Agencies

The following units provide the services, specified below, to EXECUTIVE agencies. If services are provided by multiple units, the appropriate boxes are checked.

	Services not provided	Library provides services	Archives provides services	Records Management provides services	Others (See below)
Storage for digital information.	X				
Consultation and training services on digital information creation.		X	X	X	X
Consultation and training services on digital information management.		X	X	X	X
Consultation and training services on digital information preservation.		X	X	X	
Consultation and training services on digital information preservation.		X	X	X	
Preservation (e.g., migration, reformatting).				X	
Access (e.g., search engine).		X			
Certification (e.g., trustworthiness of system, backups sufficient).				X	

Other services provided and the units that provide them.
The Law and Research Library captures state documents published on the Web for preservation and access.

Additional information.
Many of the services listed above are in development and offered on a limited basis.

Section 2.2a. Setting Standards for LEGISLATIVE Agencies

The following units have authority for setting standards, specified below, for digital information created or maintained by LEGISLATIVE agencies. Multiple boxes are checked to reflect authority that is shared or delegated.

	Authority not assigned	Library has authority	Archives has authority	Records Management has authority	Others (See below)
Setting data management standards and or guidelines for information creation (e.g., metadata, file formats).		X	X	X	
Setting information technology standards and or guidelines for information creation (e.g., state approved software applications).	X				
Setting standards for information retention and disposal (e.g., retention periods and methods of disposal) for various series/types of digital records and publications.			X	X	

Other standards and the units with authority over setting them.
No information provided

Additional information.
No information provided

Section 2.2b. Providing Service to LEGISLATIVE Agencies

The following units provide the services, specified below, to LEGISLATIVE agencies. If services are provided by multiple units, the appropriate boxes are checked.

	Services not provided	Library provides services	Archives provides services	Records Management provides services	Others (See below)
Storage for digital information.		X	X	X	
Consultation and training services on digital information creation.		X	X	X	
Consultation and training services on digital information management.		X	X	X	
Consultation and training services on digital information preservation.		X	X	X	
Consultation and training services on digital information preservation.		X	X	X	
Preservation (e.g., migration, reformatting).				X	
Access (e.g., search engine).		X			
Certification (e.g., trustworthiness of system, backups sufficient).				X	

Other services provided and the units that provide them.
Many services listed above are in development and are offered only on a limited basis.

Additional information.
No information provided

Section 2.3a. Setting Standards for JUDICIAL Agencies

The following units have authority for setting standards, specified below, for digital information created or maintained by JUDICIAL agencies. Multiple boxes are checked to reflect authority that is shared or delegated.

	Authority not assigned	Library has authority	Archives has authority	Records Management has authority	Others (See below)
Setting data management standards and or guidelines for information creation (e.g., metadata, file formats).					X
Setting information technology standards and or guidelines for information creation (e.g., state approved software applications).					X
Setting standards for information retention and disposal (e.g., retention periods and methods of disposal) for various series/types of digital records and publications.					X

Other standards and the units with authority over setting them.
Courts set their own standards, although they frequently consult with our agency's History and Archives Division and Records Management Division.

Additional information.
No information provided

Section 2.3b. Providing Service to JUDICIAL Agencies

The following units provide the services, specified below, to LEGISLATIVE agencies. If services are provided by multiple units, the appropriate boxes are checked.

	Services not provided	Library provides services	Archives provides services	Records Manage-ment provides services	Others (See below)
Storage for digital information.					X
Consultation and training services on digital information creation.					X
Consultation and training services on digital information management.					X
Consultation and training services on digital information preservation.					X
Consultation and training services on digital information preservation.					X
Preservation (e.g., migration, reformatting).					X
Access (e.g., search engine).		X			
Certification (e.g., trustworthiness of system, backups sufficient).					X

Other services provided and the units that provide them.
The Law and Research Library indexes all publicly accessible state Web sites, including the courts' Web sites.

Additional information.
No information provided

Section 3. State Government Digital Information Preservation Activities

This section includes descriptions of past or current digital preservation activities in the state.

TITLE OF THE STATE GOVERNMENT DIGITAL INFORMATION PRESERVATION ACTIVITY:
Web SafetyNet Archives

SHORT DESCRIPTION:
Uses software developed by the Illinois State Library and UIUC under an IMLS grant to harvest state agency Web sites on a monthly basis. After sites are harvested, they are compressed to minimize storage space. Documents are not described or indexed in a publicly accessible database and can be retrieved only by special request. The hope is that when a better tool comes along, we will be able to extract documents for storage and access to the historical documents.

LINKS TO RELATED WEB SITES OR PROJECT DOCUMENTS:
http://wap.lib.az.us/

CONTACT FOR THIS ACTIVITY:
Richard Pearce-Moses
rpm@lib.az.us or 602-542-4035

TITLE OF THE STATE GOVERNMENT DIGITAL INFORMATION PRESERVATION ACTIVITY:
Arizona Model/Web Archives Workbench

SHORT DESCRIPTION:
Developing a rationale, methodology, and software tools to aid in the curation of a collection of documents harvested from state agency Web sites. The model was developed by the State Library and serves as the basis of a key portion of an LC/NDIIPP research project at UIUC/OCLC.

The model considers how the basic processes of identification and selection, acquisition, description, reference, and preservation will change in the digital era. It also explores how the fundamental principles underlying those activities must be reconsidered. The model is based on the observation that the organization of Web sites parallels the organization of an archival collection and on the assumption that archival principles of provenance and original order are useful to curate and to provide access to documents in the collection.

LINKS TO RELATED WEB SITES OR PROJECT DOCUMENTS:
http://www.lib.az.us/diggovt/azmodel/AzModel.pdf

CONTACT FOR THIS ACTIVITY:
Richard Pearce-Moses
rpm@lib.az.us or 602-542-4035

TITLE OF THE STATE GOVERNMENT DIGITAL INFORMATION PRESERVATION ACTIVITY:
Digital Repository

SHORT DESCRIPTION:
The Arizona State Library is building the capabilities to store and provide access to digital information in all forms, including public records and reports created by state and local governments, as well as personal papers, photographs, and other historical records. The materials may be born digital or may be digitized.

This repository will be the facility for storing materials harvested using the Web Archives Workbench and the Web SafetyNet Archives.

Currently, the State Library is focused on depositing state docs through manual harvesting and the use of an email account to which agencies can send reports.

LINKS TO RELATED WEB SITES OR PROJECT DOCUMENTS:
http://azmemory.lib.az.us/cdm4/index.php?CISOROOT=/statepubs

CONTACT FOR THIS ACTIVITY:

Marisa Ramirez
mramirez@lib.az.us or 602-364-0264

TITLE OF THE STATE GOVERNMENT DIGITAL INFORMATION PRESERVATION ACTIVITY:
Assurance statements for electronic recordkeeping systems

SHORT DESCRIPTION:
A program to review agencies' electronic recordkeeping systems to ensure that archival records in those systems are maintained in a trustworthy manner. Agencies that want to keep their permanent records in an electronic format may be able to enter into an agreement with the Arizona State Library, Archives and Public Records that certifies that the agency will assure on an annual basis that they are following a prescribed methodology to maintain their permanent records. Their annual assurance statement must indicate that the records still exist in a useable format and are readily accessible.

LINKS TO RELATED WEB SITES OR PROJECT DOCUMENTS:
http://www.lib.az.us/records/GuidanceAndRelatedResources/approved_standards_for_permanent_records.pdf

CONTACT FOR THIS ACTIVITY:
Laurie Sletten
LSletten@lib.az.us or 602-542-3741

TITLE OF THE STATE GOVERNMENT DIGITAL INFORMATION PRESERVATION ACTIVITY:
Electronic Recordkeeping System Guidelines

SHORT DESCRIPTION:
The ERS Guidelines describe specifications for recordkeeping functionality that should be incorporated into any electronic recordkeeping system to ensure the records are accepted as evidence, well managed, and preserved, and that benefits are appropriate to the costs. These specifications are organized into three broad sections.

Specific functional requirements, including requirements for system administration, origin/creation of records, security and trustworthiness, access, maintenance and preservation, and disposal.

General requirements for recordkeeping, including trustworthiness, records management, legal requirements, business requirements, security requirements, administrative considerations, and human factors.

Background to help designers balance the compliance with the requirements with resources and value of the records.

LINKS TO RELATED WEB SITES OR PROJECT DOCUMENTS:
http://www.lib.az.us/records/GuidanceAndRelatedResources.cfm?/GuidanceAndRelatedResources/ers_guide.cfm

CONTACT FOR THIS ACTIVITY:
Richard Pearce-Moses
602-542-4035 or rpm@lib.az.us

Section 4. Training Needs for Digital Preservation Related Activities

Level of training needed for the digital preservation capabilities, specified below.

	Training already provided	Basic training needed	Advanced training needed
Identify the type and amount of digital information throughout the state.			X
Select and appraise state government information in digital form.			X
Identify key stakeholders related to specific digital information (other local/state agencies, other states, private sector, etc.).	X		
Negotiate and make agreements with key stakeholders to preserve digital information.			X
Acquire state government information in digital form for holdings.			X
Manage state government information in digital form (metadata, reformatting, etc.).			X
Manage the ingest of digital information into a repository.			X
Manage the long-term storage of digital information in a repository.			X
Develop mechanisms to monitor the long-term usability of state government information in digital form.		X	
Make state government information in digital form accessible to users.	X		
Produce a disaster and recovery planning for state government information in digital form.			X
Manage copyright, security, and other legal issues of relevance to state government digital information.			X
Other (See below).		X	

Other training needed for digital preservation capability.
How to conduct effective public relations and outreach to both public records officials and patrons, helping the understand the challenges of e-records and how to use e-records.

Additional information on existing training programs.
No information provided

Section 5. State Government Digital Information Currently At-Risk #1

This section includes examples of state government digital information that is at-risk of deteriorating or being altered or lost through format or technological obsolescence, policy or procedural gaps, or financial constraints.

DESCRIPTION OF AT-RISK STATE GOVERNMENT DIGITAL INFORMATION:
Legislative proceedings

CONDITIONS CAUSING INFORMATION TO BE AT-RISK:
Proceedings are now captured using digital video with no transcription.

There is no inherently stable video format to which we can transfer this information for preservation. The information in a form that is easy to access; it cannot be key-word searched, nor can it be easily skimmed.

Working with this format requires specialized AV skills and equipment.

STRATEGIES CONSIDERED TO PRESERVE AT-RISK STATE GOVERNMENT DIGITAL INFORMATION:
None at this time.

DESCRIPTION OF AT-RISK STATE GOVERNMENT DIGITAL INFORMATION:
State documents published on Web sites.

We are not interested in capturing and preserving the whole of Web sites (either content or click-through functionality). Many things published on the Web are not within the agency's scope of collections.

CONDITIONS CAUSING INFORMATION TO BE AT-RISK:
The quantity of information is enormous. It's very time consuming to try to determine if we already have the information. Traditional bibliographic methods of curation don't scale.

The information may change slightly and subtly. Small changes may be insignificant (a small typo) or reflect a major shift in meaning.

The documents are often on an agency's server for a relatively short period of time.

STRATEGIES CONSIDERED TO PRESERVE AT-RISK STATE GOVERNMENT DIGITAL INFORMATION:
We're currently capturing websites using software developed through an IMLS grant by Illinois State Library and UIUC.

We're working on two LC/NDIIPP projects (UIUC, CDL) to develop techniques to capture web documents with rich metadata.

DESCRIPTION OF AT-RISK STATE GOVERNMENT DIGITAL INFORMATION:
Electronic correspondence, especially with key officials such as the Governor.

CONDITIONS CAUSING INFORMATION TO BE AT-RISK:
Managing email is one of the biggest challenges for all sectors, private or public. People tend not to classify their email, but manage everything in their received and sent folders, making it hard to use traditional approaches involving records schedules.

There is no widely accepted or implemented standard for storing email messages outside email systems. we need something that captures the message and metadata in a package that can file *easily* filed.

We need email software that makes it easier to manage email correctly than it is to leave it unmanaged.

STRATEGIES CONSIDERED TO PRESERVE AT-RISK STATE GOVERNMENT DIGITAL INFORMATION:
We have developed guidelines.
(http://www.lib.az.us/records/GuidanceAndRelatedResources.cfm?/GuidanceAndRelatedResources/
GuidelinesForManagingPublicRecordsSentAndReceivedViaElectronicMail.cfm)

Examples of government digital information that was not preserved and is no longer accessible.
No information provided

Section 6. Enterprise Architecture

The following section describes the state's and corresponding units' awareness of and involvement in their state's Enterprise Architecture efforts.

Aware of state's Enterprise Architecture efforts.
Yes

Involved in state's Enterprise Architecture efforts.
No

Nature of involvement in the state's Enterprise Architecture efforts, if appropriate.
We do keep a close eye on the EA efforts and provide back-channel communications as appropriate.

Links to relevant documentation that describes the unit's involvement in the state's Enterprise Architecture efforts.
No information provided

Section 7. Additional Thoughts or Comments

Answering questions about digital government information at risk is difficult because we don't know all the records that are now being kept in digital formats. Often we are surprised that a critically important record formerly kept in paper is now kept only in digital formats.

The survey does not address digital records created and kept by local governments (cities, counties and special districts). Many of these records may be transferred to the state archives and are of exceptional importance.