

# State Government Digital Preservation Profiles

# Kentucky LARM\*

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### 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 archives and records management 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.

Commonwealth of Kentucky

Name and affiliation of individual(s) who responded on behalf of the state or territory. Jim A. Nelson - Commissioner of the Kentucky Department for Libraries and Archives

Richard N. Belding - Director Public Records Division

#### This profile includes information provided by the following units for this state:

- Library
- Archives
- Records Management
- Other (please specify)
- Commonwealth Office for Technology

Commonwealth Office for Technology

### 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).			х		х
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.			х		х

#### Other standards and the units with authority over setting them.

Commonwealth Office for Technology in consultation with state agencies is responsible for the Enterprise Information Technology Architecture and Standards.

Approval for records retention schedules rests with the State Archives and Records Commission. This includes setting retention and disposal (e.g., retention periods and methods of disposal) for records in all formats. For an increasing number of records, the electronic format is retained as the primary storage medium and for some permanent records is used as a means to create microfilm at some point in the record's life cycle.

The Kentucky Electronic Records Working Group, an informal, joint interagency body with representatives from the Kentucky Department for Libraries and Archives (KDLA), the Commonwealth Office for Technology, the Office of the Attorney General, the League of Cities, the University of Louisville, the Jefferson County Public School District and the Auditor of Public Accounts, helps develop policy recommendations or alternatives for issues involving the intersection of technology and records management. Guidelines have been issued for the management of e-mail, and responding to an open records request from a database. A standard for recordkeeping has also been developed. (See: http://kdla.ky.gov/recmanagement/technology.htm )

#### 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 Manage- ment provides services	Others (See below)
Storage for digital information.					Х
Consultation and training services on digital information creation.			х	х	х
Consultation and training services on digital information management.			Х	Х	х
Consultation and training services on digital information preservation.			х		
Consultation and training services on digital information preservation.			х		
Preservation (e.g., migration, reformatting).			х		
Access (e.g., search engine).					Х
Certification (e.g., trustworthiness of system, backups sufficient).			х		х

#### Other services provided and the units that provide them.

Commonwealth Office for Technology, in consultation with state agencies, is responsible for the Enterprise Information Technology Architecture and Standards and technology training.

The Kentucky Electronic Records Working Group, an informal, joint interagency body with representatives from the Kentucky Department for Libraries and Archives, the Commonwealth Office for Technology, the Office of the Attorney General, the League of Cities, the University of Louisville, the Jefferson County Public School District and the Auditor of Public Accounts, helps develop policy recommendations or alternatives for issues involving the intersection of technology and records management. Guidelines have been issued for the management of e-mail, and responding to an open records request from a database. A standard for recordkeeping has also been developed. (See: http://kdla.ky.gov/recmanagement/technology.htm.)

The Department for Libraries and Archives, in consultation with state agencies, creates transfer standards for electronic records to be accessioned into the Archives. The records management units in the Public Records Division are the points of contact with state and local agencies regarding issues involving public records, regardless of format.

The Public Records Division of KDLA provides training to state and local agencies regarding electronic recordkeeping.

#### Additional information.

### 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 Manage- ment has authority	Others (See below)
Setting data management standards and or guidelines for information creation (e.g., metadata, file formats).			х		
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.			х		х

#### Other standards and the units with authority over setting them.

Commonwealth Office for Technology is responsible for the Enterprise Information Technology Architecture and Standards.

Approval of records retention schedules rests with the State Archives and Records Commission, which has a legislative member. This includes setting retention and disposal (e.g., retention periods and methods of disposal) for records in all formats. For an increasing number of records the electronic format is retained as the primary means of retention or used as a means to create microfilm sometime in the record's life cycle.

Although the legislative branch is not represented on the Kentucky Electronic Records Working Group, the group regularly discusses proposed technology-related legislation and issues positions through appropriate executive branch channels.

#### Additional information.

## 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 Manage- ment provides services	Others (See below)
Storage for digital information.					Х
Consultation and training services on digital information creation.			х		х
Consultation and training services on digital information management.					х
Consultation and training services on digital information preservation.			х		
Consultation and training services on digital information preservation.			х		
Preservation (e.g., migration, reformatting).			х		
Access (e.g., search engine).					Х
Certification (e.g., trustworthiness of system, backups sufficient).			х		х

#### Other services provided and the units that provide them.

Commonwealth Office for Technology, in consultation with state agencies is responsible for the Enterprise Information Technology Architecture and Standards. Technology training is provided on a fee for service basis.

The Department for Libraries and Archives, in consultation with state agencies, creates transfer standards for electronic records to be accessioned into the Archives. The State Records Branch, in the Public Records Division is the point of contact with the legislature regarding records issues regardless of format.

Standards for some electronic records, (i.e. publications) are established through Administrative Regulation, which is subject to review and approval by the legislature.

#### Additional information.

### 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 Manage- ment has authority	Others (See below)
Setting data management standards and or guidelines for information creation (e.g., metadata, file formats).			х		
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.			х		х

#### Other standards and the units with authority over setting them.

Commonwealth Office for Technology is responsible for the Enterprise Information Technology Architecture and Standards.

Approval for records retention schedules rests with the State Archives and Records Commission, which has a judicial member. This includes setting retention and disposal (e.g., retention periods and methods of disposal) for records in all formats. For an increasing number of records, the electronic format is retained as the primary means of retention or used as a means to create microfilm sometime in the record's life cycle.

#### Additional information.

## 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.					Х
Consultation and training services on digital information creation.			х		х
Consultation and training services on digital information management.			Х		х
Consultation and training services on digital information preservation.			х		
Consultation and training services on digital information preservation.			х		
Preservation (e.g., migration, reformatting).			х		
Access (e.g., search engine).					Х
Certification (e.g., trustworthiness of system, backups sufficient).			Х		х

#### Other services provided and the units that provide them.

Commonwealth Office for Technology in consultation with state agencies is responsible for the Enterprise Information Technology Architecture and Standards. Technology training is provided on a fee for service basis.

The Department for Libraries and Archives in consultation with state agencies creates transfer standards for permanent electronic records it accessions into the Archives. The State Records Branch, in the Public Records Division, is the point of contact with the Judicial Branch regarding records issues, regardless of format.

#### Additional information.

### 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:

State Publications and Minutes in the Electronic Records Archives

#### SHORT DESCRIPTION:

Since 1958, the Public Records Division (PRD) has been the state's central repository for publications and reports which are issued by state agencies and intended for general public distribution. Both state agency publications and the minutes of state-level boards, commissions and legislative committees for the period 1996 to the present have been collected in electronic format over the past three years and are now available via Web pages organized by agency name.

Various units in the Public Records Division are responsible for accessioning the publications and minutes. While much of the acquisition has occurred through downloads of agencies sites, the publications will be solicited from agencies as part of long standing legislative mandates and administrative regulations. A regulation that deals specially with publications was recently updated to include electronic records, as well as to set standards (PDF/A) for publications to be transferred to the Archives.

The State Library Services Division, with the assistance of the Public Records Division, is responsible for cataloging state publications, including those in electronic format, and for providing access to the publication's permanent URL via links in the catalog record.

Research on preservation of publications and minutes is being conducted via an NHPRC grant-funded Persistent Archives Testbed Project, which is scheduled to be completed at the end of 2006. The project is exploring the use of grid technology which distributes records in geographically separated locations in a non-proprietary environment.

#### LINKS TO RELATED WEB SITES OR PROJECT DOCUMENTS:

The records are available via the Kentucky Electronic Records Archives http://e-archives.ky.gov

#### **CONTACT FOR THIS ACTIVITY:**

Glen McAninch (Glen.McAninch@ky.gov), Public Records Division, Kentucky Department for Libraries and Archives

#### TITLE OF THE STATE GOVERNMENT DIGITAL INFORMATION PRESERVATION ACTIVITY:

KYGeonet (Geographic Information System) Records Preservation

#### SHORT DESCRIPTION:

From the Geospatial Data Clearinghouse for the Commonwealth of Kentucky a variety of datasets can be located and accessed, static map products can be downloaded, and many Internet Mapping solutions are accessible via the Web site. The powerful geographic explorer can be used to locate maps and geographic data content for a particular part of the state or search based on keyword or theme type. Since these records have been scheduled as permanent records, the State Archives will store copies of the raster images that have been loaded into the system, as well as work with the Division of Geographic Information ensure that snapshots of the vector data are captured periodically. All copies of the periodically updated images have been retained as layers in the system, which is mirrored on multiple servers.

Research on preservation of the raster images is being conducted via an NHPRC grant funded Persistent Archives Testbed Project which is scheduled to be completed at the end of 2006. GIS systems present problems with long-term retention due to the size of the image databases. The raster image database is currently over a terabyte in size and growing. This has raised issues over the custody of the information, who is responsible for costs of maintenance, storage and functionality of the data.

#### LINKS TO RELATED WEB SITES OR PROJECT DOCUMENTS:

KyGeonet at http://kygeonet.ky.gov/

#### CONTACT FOR THIS ACTIVITY:

Kent Anness (Kent.Anness@ky.gov), Division of Geographic Information

#### TITLE OF THE STATE GOVERNMENT DIGITAL INFORMATION PRESERVATION ACTIVITY:

Governor's Web Records in the Electronic Records Archives

#### SHORT DESCRIPTION:

Some of the electronic records from the Office of the Governor that have been accessioned consist of Web pages that were available on the Internet from the administration of Governor Paul Patton's (1995 - 2003). The site contains speeches, press releases, photographs, documentation of conferences and other events. Versions of the site from three periods (1997, 2002, and 2003) have been recreated from various sources. Selected snapshots from the current Governor, Ernie Fletcher, were also downloaded and the Governor's office is working with the Public Records Division to ensure that scheduled record series (speeches, press releases, etc.) that appear on the Web site will be regularly transferred to the Archives. These Web records supplement and provide an index to paper and electronic records (digitized photos and videos) which Archives staff has accessioned from the agency that documents gubernatorial events.

Research on preservation of the Web records is being conducted via an NHPRC grant funded Persistent Archives Testbed Project which is scheduled to be completed at the end of 2006. The project is exploring the use of grid technology which distributes records in geographically separated locations in a non-proprietary environment. The Web links are preserved in a logical rather than absolute structure.

#### LINKS TO RELATED WEB SITES OR PROJECT DOCUMENTS:

Persistent Archives Testbed Project: (http://www.sdsc.edu/PAT/)

1st year meeting (http://www.sdsc.edu/PAT/researcherforum/index2.html)

2nd year meeting http://www.sdsc.edu/PAT/researcherforum/Meeting2/Kentucky-notes.doc)

#### CONTACT FOR THIS ACTIVITY:

Glen McAninch (Glen.McAninch@ky.gov), Public Records Division, Kentucky Department for Libraries and Archives

#### TITLE OF THE STATE GOVERNMENT DIGITAL INFORMATION PRESERVATION ACTIVITY:

University of Kentucky E-thesis and Dissertations Project

#### SHORT DESCRIPTION:

The University of Kentucky is one of eight Association of Southeastern Regional Libraries (ASERL) that has launched a pilot program to test use of the LOCKSS ('Lots of Copies Keep Stuff Safe') system to preserve electronic theses and dissertations (ETDs). The number of universities that accept submission of theses and dissertations in digital format is increasing worldwide. Recently, the Networked Digital Library of Theses and Dissertations (NDLTD), an international organization that promotes ETD programs, has focused on the need to develop preservation initiatives along with programs for accepting and distributing ETDs. LOCKSS is open source software that provides librarians with an easy and inexpensive way to collect, store, preserve, and provide access to their own, local copy of authorized content.

Running on standard desktop hardware and requiring almost no technical administration, LOCKSS converts a personal computer into a digital preservation appliance, creating low-cost, persistent, accessible copies of digital content. LOCKSS utilizes the Open Archives Initiative Protocol for Metadata Harvesting (OAI-PMH). The eight ASERL libraries will work with the LOCKSS development team at Stanford University to create and test the necessary software plug-ins. The development team will also identify any policy concerns that need to be addressed. Full-scale production of the service is anticipated in early 2006.

#### LINKS TO RELATED WEB SITES OR PROJECT DOCUMENTS:

A press release is available at: http://www.solinet.net/resources/resources\_templ.cfm?doc\_id=3680

#### CONTACT FOR THIS ACTIVITY:

Beth Kramer [kraemer@email.uky.edu], University of Kentucky Libraries

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

#### Other training needed for digital preservation capability.

While basic training has been provided, advanced training in all of the areas above is needed.

#### Additional information on existing training programs.

An overall study of the electronic records environment in Kentucky was conduct by a consultant, Dr. Greg Hunter, in 2001. KDLA has worked on the following NHPRC projects: Metadata and XML (2002) and Persistent Archives Testbed project 2004-2006. KDLA staff attended and made presentations at numerous ECURE, Society of American Archivists, National Association of Government Archives and Records Administrators, and National Archives and Records Administration conference sessions or training workshops on electronic records in the past five years. We are currently developing strategies and procedures for such archival functions as: appraisal, accessioning, description, access and preservation processes according to the OAIS model. The appraisal approach involves discussions with state agencies regarding the most feasible format for archiving each series as part of records management activities. At http://e-archives.ky.gov, KDLA is making available some of the electronic records it has accessioned into its Electronic Records Archives through a Web interface.

### 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:

Digitized video (of governor's events, legislative sessions, administrative hearings, and court proceedings) is a new record format that is transforming the records creation process and creating indexing, preservation, and long-term access challenges for recordkeeping.

#### CONDITIONS CAUSING INFORMATION TO BE AT-RISK:

Standards for digitized video format are not fully established and are continually evolving. Transfer of video via DVD could be problematic due to the Digital Millennium Copyright Act. Agencies are considering the wider use of the video to replace official transcripts or minutes of proceedings. They are often doing this without considering issues associated with preserving and accessing records which may need to be retained permanently.

#### STRATEGIES CONSIDERED TO PRESERVE AT-RISK STATE GOVERNMENT DIGITAL INFORMATION:

KDLA's Public Records Division is working with agencies that create digitized video to reach agreement on transfer procedures and standards that facilitate preservation.

#### DESCRIPTION OF AT-RISK STATE GOVERNMENT DIGITAL INFORMATION:

Electronic mail (e-mail) is an important communication tool for conducting government business in the Commonwealth of Kentucky. Increasingly, government agencies use e-mail systems to distribute memos, circulate drafts, disseminate directives, transfer official documents, send external correspondence, and support various aspects of government operations. Well-designed and properly managed e-mail systems expedite business communications, eliminate paperwork, and automate routine office tasks. As more state and local government agencies consider using more advanced office systems, a wider range of government recordkeeping will move to online computerized systems.

#### CONDITIONS CAUSING INFORMATION TO BE AT-RISK:

Since e-mail meets the statutory definition of a public record in Kentucky, it is subject to records management requirements which may not be immediately obvious. For example, electronic mail may be subject to open records requests, yet its users may have inappropriate expectations of privacy and informality. Mail may be destroyed inappropriately or it may be accumulating in systems when it should be destroyed after it no longer has value to the agency.

#### STRATEGIES CONSIDERED TO PRESERVE AT-RISK STATE GOVERNMENT DIGITAL INFORMATION:

KDLA has issued guidelines for managing e-mail in Kentucky government (see:

http://kdla.ky.gov/recmanagement/EmailGuidelines.pdf) and it provides training on the topic to state and local agencies. Although KDLA supports the use of e-mail management systems with certified recordkeeping functions, it has been unable to establish a pilot project in this area, and e-mail has been a major source of friction among top level Executive Branch agencies in the past few years.

#### DESCRIPTION OF AT-RISK STATE GOVERNMENT DIGITAL INFORMATION:

Web-records of significant value to document state government activities

#### CONDITIONS CAUSING INFORMATION TO BE AT-RISK:

Web records are often voluminous and hard to capture. In some instances, however, they provide unique documentation for the activities of state government, particularly in the area of relations with the public. While these long-term records may only represent a small portion of the total number of records distributed via the Web, the loss of these records will adversely effect the documentation of current state government activities, particularly when they represent records that are not available in any other format.

#### STRATEGIES CONSIDERED TO PRESERVE AT-RISK STATE GOVERNMENT DIGITAL INFORMATION:

KDLA has taken a selective approach to capturing and preserving Web records. Working with the interagency Electronic Records Work Group, KDLA has created guidelines for the management of Web records. Some of the principles outlined in the guidelines document are:

1) Web sites are not considered a record series or category; they are a means of publishing information.

2) Many Web-based records are maintained in more than one format and each format should be analyzed for retention.

3) KDLA reviews Web sites from state agencies, boards and commissions that are closing and consequently can no longer maintain their own Web sites. If KDLA determines that the Web site is of enduring historical value, the files will be transferred to the State Archives.

4) Working with state agencies, KDLA is also identifying for preservation high value Web sites that document significant/unique government activities, or record the evolving organizational structure of state government.

5) KDLA has established procedures for the transfer of these records to the State Archives.

#### DESCRIPTION OF AT-RISK STATE GOVERNMENT DIGITAL INFORMATION:

The permanent government records that are stored in transactional databases are at risk of not being maintained though the full life of the record.

#### CONDITIONS CAUSING INFORMATION TO BE AT-RISK:

The risk is based on technological obsolescence or due to the improper identification of records that need to be maintained long-term. In many cases where records are scheduled as permanent, agencies are maintaining them in electronic form. Frequently new systems or reports from systems are created without thought to the historical or research value of the records long-term.

#### STRATEGIES CONSIDERED TO PRESERVE AT-RISK STATE GOVERNMENT DIGITAL INFORMATION:

KDLA is revising its priority list of permanent records that are contained in state agency electronic systems. When an appropriate system has been identified it will be examined for retention schedule creation or update. With the help of the agency, KDLA staff will identify those system outputs (reports) that may have research or historical value and that have minimal confidentiality elements or that could be reconfigured to exclude confidential information. Once those outputs have been identified, KDLA staff will work with the agency records officer to assess the format, metadata and cost of preservation so that an appropriate disposition statement can be written for the archival record series.

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

It is believed that many unscheduled mainframe files were lost during the 1970's and early 1980's before agencies in Kentucky state government began to address recordkeeping issues through planning forums such as the Kentucky Information Systems Commission and the Kentucky Information Resources Management Commission. In the mid 1980's KDLA confirmed data loss through an NHPRC Historical Records Needs Assessment Report, and obtained additional NHPRC support to develop a Machine-Readable Records Program. Since that time progress has been made at identifying state systems and determining both retention periods and preservation strategies for electronic records. Still, in recent years the dizzying speed of change in formats, the increasing volume of records, and the decreasing availability of resources to address recordkeeping issues has made it hard to make much headway in preventing the loss of government digital information. With nearly everyone in government now having the capability of creating and destroying digital records, the proper management of the information becomes a tremendous training challenge.

### 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.

Yes

#### Nature of involvement in the state's Enterprise Architecture efforts, if appropriate.

Through participation in the Electronic Records Working Group, KDLA has been able to influence elements of the architecture that pertain directly to recordkeeping issues.

# Links to relevant documentation that describes the unit's involvement in the state's Enterprise Architecture efforts.

One example of an Enterprise Architecture Standard in which KDLA was involved was the 'Enterprise IT Architecture Standard 4050 Recordkeeping, General'

http://gotsource.ky.gov/dsweb/Get/Document-9406/4050%2BRecordkeeping%2B-%2BGeneral.doc

### Section 7. Additional Thoughts or Comments

Grant support for research in preservation methods and established programs that are preserving digital records is needed. From an archival perspective, the National Historical Publications and Records Commission is the granting agency that best understands the challenges of digital records found in state and local government. Continued support of this funding mechanism is crucial to the preservation of state and local records.