State Government Digital Preservation Profiles

Utah LARM*

July 2006

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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 **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.
Utah

Name and affiliation of individual(s) who responded on behalf of the state or territory.
Ray Matthews, Utah State Library

Craig Neilson, Utah State Library

Donna Jones Morris, Utah State Library (Dir.)

Patricia Smith-Mansfield, Utah State Archives (Dir.)

Elizabeth Perkes, Utah State Archives

Stuart Preece, Utah State Archives

David Fletcher, Dept. of Technology Services (Information Technology Services Dir.)

Contacts who didn't participate in completion of this survey:
Jonathan C. Ball, Legislative Fiscal Analyst
Chris Calcut, Legislative Research & General Counsel

This profile includes information provided by the following units for this state:
- Library
- Archives
- Records Management
- Other (please specify)
- Information Technology Services
Information Technology Services

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
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.
Archival and records management authority is invested in a single agency: The Utah State Archives and Records Service (UCA 63-2 as rev. 2006). State Archives creates retention schedules for digital records (UCA 63-2-901; 46-4-501) which are approved by the State Records Committee (UCA 63-2-502). The Utah State Library is responsible for providing for the permanent public access to electronic documents and publications created by all branches of state government and all political subdivisions through the management of the state depository library system and publications digital library (UCA 9-7 as rev. 2006). Technology standards for executive department agencies are set and administered by Dept. of Technology Services (UCA 63F-1) headed by the State Chief Information Officer (UCA 46-4-501; 63F-1-201). The Technology Advisory Board advises the State CIO and executive branch agencies regarding the development of standards for state information architecture (UCA 63F-1-202). The State CIO makes rules providing standards that impose requirements on acquiring computer software on executive branch agencies (UCA 63F-1-206) and rules to implement the best public policies, standards, and best practices, within in the field of information technology by each state entity/organization (Rule R365-10). The Judicial Council establishes retention policies and periods for court records, including computer records (UCA 78-3-21). The State CIO plans for inter-branch information technology coordination (UCA 63D-1a-401), and the Utah Technology Commission provides recommendations regarding the governance of the information technology needs for all branches of government (UCA 63D-1a-202). The Legislative Automation Committee (LAC) implements standards set by the Utah Technology Commission for the Legislature.

Additional information.
Best practices and training for metatagging and the schema for metadata standards were provided for the past several years by the Utah State Library through the Government Information Locator Service in cooperation with the Office of the State CIO. The state now has a standing 'Standards Committee' assigned by the state's Information Technology Council for managing the standards process and reporting standards recommendations. The IT Council develops and maintains IT operational standards and best practices and is chaired by the CIO or designee, and consists of IT representatives within executive branch agencies (Rule R365-10). The Utah Geographic Information Systems Advisory Council, chaired by the Manager of the Automated Geographic Reference Center under the State CIO coordinates the collection, creation, and access of statewide GIS data (Rule R365-101).

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

Other services provided and the units that provide them.
Those services listed under 'others' in #7 are provided by the Dept. of Technology Services under the direction of the State Chief Information Officer. The State Library provides its services under the State Documents Depository Program and Government Information Locator Service.

Additional information.
The Department of Technology Services provides services for current records, but not historical records. The State Library, from Feb 2002 to Sep 2005, was the provider and manager of the state enterprise search engine. Since Sep 2005, this service has been provided by the Dept. of Technology Services.

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
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.
The Utah Legislature has authority for its own records. The Utah Technology Commission provides recommendations regarding the governance of the information technology needs for all branches of government (UCA 63D-1a-202). The Legislative Automation Committee (LAC) implements standards set by the Utah Technology Commission for the Legislature.

Additional information.
The Legislative Automation Committee identifies information exchange needs and policies; reviews hardware/software to support information exchange; develops a strategic plan for legislative information exchange; and coordinates information technology purchases and legislative information technology support to maintain compatibility. The Utah State Archives and Records Service has analysts assigned to assist and train legislative personnel, if needed.

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

Other services provided and the units that provide them.
The Utah Legislature has authority for its own records. Others: The Dept. of Technology Services provides the facilities and these services for Legislative agencies (such as Legislative Research and General Counsel and the Legislative Fiscal Analysts Office) and to the House more so than for the Senate.

Additional information.
The Utah State Archives maintains and preserves the historical records of the legislature.

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.
The Judiciary has control of its own records. The Administrative Office of the Courts (AOC) provides these services. The Dept. of Technology Services and the Utah Dept. of Public Safety provide input into implementing Global Justice XML Data Model standard (http://radio.weblogs.com/0110120/2004/01/13.html) for sharing data.

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 Management 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 Administrative Office of the Courts (AOC) provides these services. The Dept. of Technology Services provides storage of certain data in systems that share data with other agencies such as the Dept. of Public Safety.

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:
Guide to Digital Imaging

SHORT DESCRIPTION:
New Guide to Digital Imaging Available

The Utah State Archives created a brochure called 'Guide to Digital Imaging' to assist state agencies who are interested in scanning their records. The guide provides information about digital imaging such as the benefits and disadvantages, costs and efficiencies, retention and disposition of records, standards for digitization, and definitions. It was created to address records issues before agencies begin a digitization project.

Its purpose was to provide information about digital imaging or the scanning of records. The guide specifically referred to records which are originally in another format and are captured digitally, rather than those records that are born electronically. It discussed benefits and disadvantages, costs and efficiencies, retention and disposition of records, standards for digitization, and definitions.

LINKS TO RELATED WEB SITES OR PROJECT DOCUMENTS:
No information provided

CONTACT FOR THIS ACTIVITY:
Janell Tuttle, Utah State Archives
jtuttle@utah.gov

TITLE OF THE STATE GOVERNMENT DIGITAL INFORMATION PRESERVATION ACTIVITY:
Capturing Electronic Publications (CEP) and Web Archives Workbench (WAW).

SHORT DESCRIPTION:
This is actually two separate and distinct projects developing automated tools for crawling, identifying, ingesting, and archiving Web publications.

Capturing Electronic Publications is a project to develop software for preserving state Websites. The software was developed by the Graduate School of Library and Information Science (GSLIS) at the University of Illinois, Urbana-Champaign (UIUC) in cooperation with the Illinois State Library (ISL), the State Library of Ohio, the Illinois State Archives, under an Institute of Museum and Library Services (IMLS) National Leadership Grant. It is being used and managed by the Utah State Archives and Records Service to crawl state Web domains to periodically capture and preserve entire Web sites.

Web Archives Workbench (WAW) is being developed by UIUC/OCLC under a NSF grant as a suite of open source tools to discover, monitor, identify, ingest, and package Web information. It will be used by the Utah State Library to discover and ingest publications on state Web sites for inclusion in the state publications Digital Library. Upon release (estimated 3rd quarter 2006) the State Library will host the program on local servers and collect the data locally.

Web Archives Workbench (WAW) Open source crawler to discover, monitor, identify, ingest, and package publications on state Web sites for inclusion in the Digital Library. It is currently being developed by UIUC/OCLC and being tested and hosted on servers at OCLC. Upon release (estimated 3rd quarter 2006) we will need to host the program on local servers and host the collected data locally.

Institute of Museum and Library Services (IMLS) 'National Leadership Grant' to the Illinois State Library (ISL), the State Library of Ohio, the Illinois State Archives, and the Graduate School of Library and Information Science (GSLIS) at the University of Illinois, Urbana-Champaign (UIUC).

The Utah State Archives participated in the program from September 2004 through the following year. This provided the Archives with the opportunity to capture important state Web sites before and during a change of state administration.

LINKS TO RELATED WEB SITES OR PROJECT DOCUMENTS:
CEP: No public access.
Statistics: http://pep.library.uiuc.edu/~cep/stats/UT/LatestStats.html.
Project sites: http://www.isrl.uiuc.edu/pep/ and
http://www.cyberdriveillinois.com/departments/library/who_we_are/cep.html.

WAW: No public access.
Admin: http://webarchives.oclc.org/WAW/

CONTACT FOR THIS ACTIVITY:
CEP: Elizabeth Perkes, Utah State Archives
eperkes@utah.gov, 801.531.3852

WAW: Ray Matthews, Utah State Library
raymatthews@utah.gov, 801.715.6752

TITLE OF THE STATE GOVERNMENT DIGITAL INFORMATION PRESERVATION ACTIVITY:
Utah Government Publications Online: Utah State Publications Digital Library.

SHORT DESCRIPTION:
The Utah State Library has preservation and access responsibilities for publications created entities of the state and its political subdivisions (Utah Code Ann. 9-7-101, et seq.) Utah Government Publications Online, a.k.a. the Digital Library, extends the library's traditional depository program to digital formats. It is being developed in 2006 as an online repository for providing public access to digitally-born government publications in one location, for preserving them over time, and for providing the public with full text accessibility. The Digital Library will allow the full range of state publication information, and agency and library created metadata, to be accessed from single location. It will provide agencies with an online tool for reporting and depositing publications. It will save state agencies money by reducing printing costs and the costs for distributing hard copies to regional state publication depositories. Each depository library in the state depository system shall have electronic network access to the digital objects and the associated bibliographic records for the purposes of providing for local preservation and local access. The demonstration test of the SirsiDynix Horizon Digital Library should be completed by July 2006 and include approximately 3,300 publications.

LINKS TO RELATED WEB SITES OR PROJECT DOCUMENTS:
http://publications.utah.gov

CONTACT FOR THIS ACTIVITY:
Ray Matthews, Utah State Library
raymatthews@utah.gov, 801.715.6752

TITLE OF THE STATE GOVERNMENT DIGITAL INFORMATION PRESERVATION ACTIVITY:
Utah State Historical Society Digital Photograph Collections, Utah Online Public Health Library, and Utah State Archives Documents Collection.

SHORT DESCRIPTION:
This is a statewide project of the Utah Academic Library Consortium (UALC) that includes three Utah State agencies that are building digital collections included in the University of Utah J. Willard Marriott Library CONTENTdm Digitized Collections http://content.lib.utah.edu/cdm4/search.php.

The Utah Division of State History (Utah State Historical Society) has Digital Photograph Collections (Tax Assessors, City Engineers, Classified Photograph Collection, Olympic Legacy Collection, Philo Farnsworth Television Tubes Collection, Schools of the Salt Lake Valley, Shipler Commercial Photograph Collection, Governor's Olympic Photograph Collection, Civilian Conservation Corps collection, Wm. Edward Hook Glass Negative Photograph Collection). The Utah State Library in cooperation with the University of Utah Spencer S. Eccles Health Sciences Library and the Utah Dept. of Health are building the Utah Online Public Health Library (OPHL) on the CONTENTdm server at the Marriott Library. The Utah State Archives and Records Service is building an online collection of documents with a separate CONTENTdm server being managed by the Utah Dept. of Technology Services.

LINKS TO RELATED WEB SITES OR PROJECT DOCUMENTS:

J. Willard Marriott Library Digitized Collections: http://content.lib.utah.edu/

Digital Photograph Collections: http://history.utah.gov/utah_history_research_center/digitalcollections.html

OPHL: http://library.med.utah.edu/OPHL/

CONTACT FOR THIS ACTIVITY:
Utah State Historical Society Digital Photograph Collections: Linda Thatcher
lindathatcher@utah.gov, 801.533.3574

Utah Online Public Health Library: Ray Matthews, Utah State Library
raymatthews@utah.gov, 801.715.6752

Utah State Archives Documents Collection: Patricia Smith-Mansfield, Utah State Archives
pmansfie@utah.gov, 801.531-3850.

TITLE OF THE STATE GOVERNMENT DIGITAL INFORMATION PRESERVATION ACTIVITY:
gilsUtah: Utah Government Information Locator Service.

SHORT DESCRIPTION:
This was a project of the Utah State Library in cooperation with other Utah state agencies, 1999-2005, to develop standards, provides tools, and train agencies how to make Utah government information more accessible and easily retrievable. The project resulted in the creation and operation of an enterprise search engine UtahGov Search (http://info.utah.gov), the gilsUtah metadata schema, controlled vocabularies, a client-side and a Web accessible metadata generators, and training for state agencies. The gilsUtah schema has been replaced by the use of Dublin Core (DCMI). The project was subsumed by the State Library's digital repository initiative.

LINKS TO RELATED WEB SITES OR PROJECT DOCUMENTS:
http://gils.utah.gov/

CONTACT FOR THIS ACTIVITY:
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cneilson@utah.gov, 801.715.6750

Ray Matthews, Utah State Library
raymatthews@utah.gov, 801.715.6752

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.
Digitization of legacy documents and publications.

Although some training is provided by the Utah State Archives and the Utah State Library, the scope of the audience is far from widespread and the need for basic training is still prevalent.

Additional information on existing training programs.
We have been utilizing the experience and receiving training from the UALC/University of Utah Digital Projects/Institutional Repository staff. We have been receiving solutions from the State-GILS, U.S. States Government Information Locator Services, in the form of email exchanges and conferences. For example, the upcoming Best Practices Exchange http://statelibrary.dcr.state.nc.us/digidocs/bestpractices

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:
Electronic records, especially email, are at risk in Utah.

CONDITIONS CAUSING INFORMATION TO BE AT-RISK:
The state has focused on the maintenance and storage of active records but not of historical records or their preservation. Focus groups of state and local government records managers have identified the following issues: The need for standards that agencies and local governments, statewide, can meet. The need for a consistent model that works. The need to embed the necessary retentions, metadata, etc., into the acquisitions of systems and put costs of migration/conversion onto vendors. The need for retention for e-records needs to be clarified. The need for statewide data warehouse for e-records.

STRATEGIES CONSIDERED TO PRESERVE AT-RISK STATE GOVERNMENT DIGITAL INFORMATION:
Recently the state Department of Technology Services completed a state-wide survey of state agencies and is in the process of developing the necessary statewide architecture, standards, and guidelines. There has been a new focus on enterprise projects and the need for state agencies to partner on similar digital projects. There is a need for more and wider participation.

The Utah State Archives is in the process of developing hosting applications for digital collections of state agencies.

The Utah State Library worked with the legislature in passing important legislation in the 'PRESERVATION OF AND ACCESS TO STATE PUBLICATIONS.'

DESCRIPTION OF AT-RISK STATE GOVERNMENT DIGITAL INFORMATION:
Databases arrangements and website information are also at risk.

CONDITIONS CAUSING INFORMATION TO BE AT-RISK:
Web sites in general are at risk because (1) content can be removed and structure can be changed at the discretion of agency personnel such as Webmasters; (2) agencies remove content to save space; (3) agencies remove content because of the perceived loss of relevance (e.g. earlier additions of manuals; press releases and event notices that have expired; purchasing notices, bids, and RFPs are routinely removed from public Web access after their award); (4) administrations change when new governors come into office; (5) agencies disappear along with their Web sites (e.g.. DCED, Olympics, Centennial Commissions, etc.); (6) some documents are located only on intranets and content on intranets are subject even more to discretionary retention practices. State agencies have legacy database systems with no means to migrate/convert the information, including personnel and finance systems. There are no standards as yet for preserving permanent information.

There is no strategic plan for the capture, collection, and preservation of Web site information generated by state agencies.

STRATEGIES CONSIDERED TO PRESERVE AT-RISK STATE GOVERNMENT DIGITAL INFORMATION:
See the previous example.

Examples of government digital information that was not preserved and is no longer accessible.
Utah Department of Transportation Property Inventories, records formatted on 12' disk system now obsolete. Governor records on obsolete systems, e.g., Beta, Wang, obsolete tape systems, dl tape back up systems. Records on magnetic television tape, which we have no idea what is. Correspondence in obsolete word processing systems, e.g. Atari, Epson.

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.
The Department of Technology Services has just completed an surrey of Utah's state agencies. As a result of this survey, the department is now involved in assessing needs and creating the necessary architecture.

EA is totally in the hands of the Director of DTS (the State Chief Information Officer) and a EA Transition Team of DTS employees. The Utah State Archives and Utah State Library participated in the survey.

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

We had several agencies participate in this survey. It would be beneficial if all participants from a state could enter into the same survey form.