NDSR - NY

{Let's Get Digital}

A Preservation Week Symposium

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The **Archivists Round Table** of Metropolitan New York, Inc.

A·R·T

BROOKLYN HISTORICAL SOCIETY

INSTITUTE *of* Museum *and* Library SERVICES

M METROPOLITAN NEW YORK LIBRARY COUNCIL

#getdigital2016

Thursday, April 28, 2016

From Planning to Preservation

From Planning....

What is a Records Retention Schedule and Do I Even Need One?

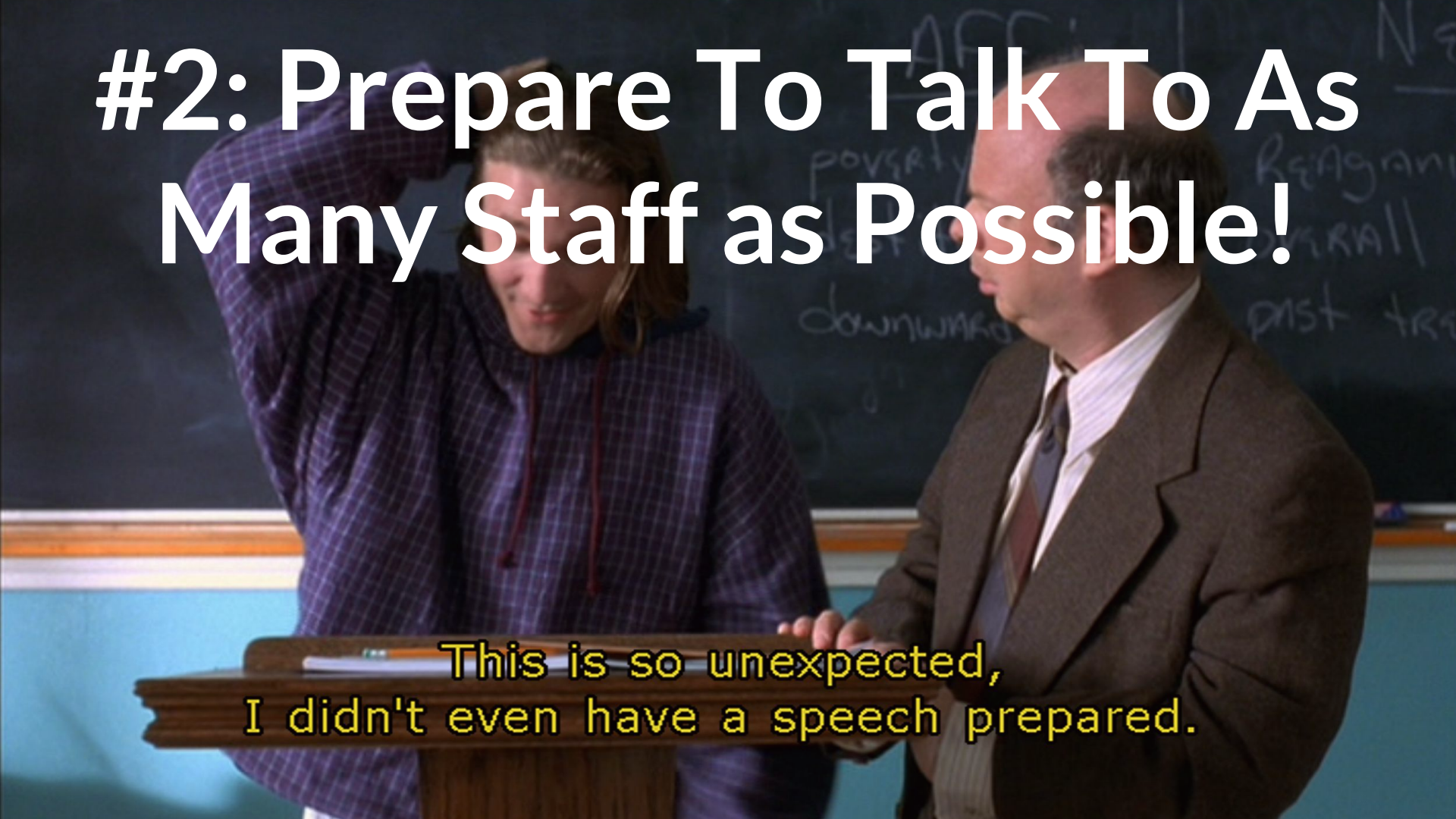# BAM Audience Development Dept - DRAFT Records Retention Schedule

Item	Record Series Title	Description/Examples	Total Retention	Transfer to Archives
AD -1	Audience Development Survey	Questionnaire and results from survey conducted every 3 years on BAM audience demographic.	permanent	yes
AD-2	Patron Audience Members Report	Weekly PAM Report.	while useful	no
AD-3	Committee Presentations	Digital copy of slideshow presentations given during committee meetings.	permanent	yes
AD-4	Audience Outreach Planning Documents	Strategic documentation relating to audience outreach efforts (ie. Email scheduling strategy).	while useful	no
AD-5	Major Project Documentation	Documents relating to a noteworthy non-routine effort or event within BAM.	permanent	yes
AD-6	Departmental Budgets	Annual budgets and supporting documentation, including drafts and contingency budgets.	while useful, up to 3 yrs	no
AD-7	Contract and Legal Agreements--Official Copies	Original signed copy of any contract or agreement entered into by this department.	7 yrs after termination or final payment	no
AD-8	Subject Files--Significant Content	Information about important persons, organizations, events, activities, other topics including correspondence/email.	permanent	yes

#1: Invite IT To Hang!

-Hang with us.
-Thank you.

#2: Prepare To Talk To As Many Staff as Possible!

This is so unexpected, I didn't even have a speech prepared.

Sample Interview Outline

a. Walk through the general responsibilities of your department with an emphasis on what kinds of records or information is being created.
    i.   Who creates record(s)?
    ii. How it is created? Specific software?
    iii. What format is it?
    iv. How is it identified (filename/folder)? Standard naming conventions?
    v.   Are there multiple copies? Multiple versions? How are finals identified?
    vi. Where is it stored?
    vii. How long is it used/accessed/relevant to your department?
b. What is the historical significance/long-term research value in information created by your department?

#3: Don't Make People Feel Embarrassed!

#4: To Record Or Not to Record? To Transcribe or Not to Transcribe?

I think that I remember Hamlet accurately.

#5: Pick a Format For Your Records Retention Schedule

You see how picky I am about my shoes,
and they only go on my feet.

Sample Format of An RRS

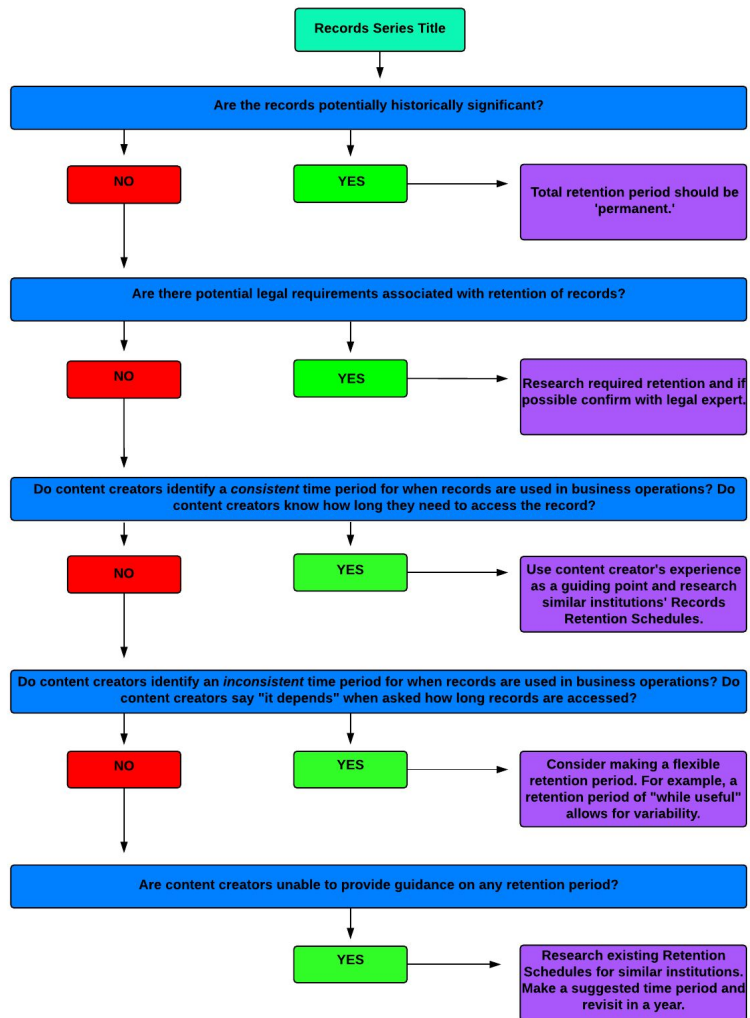| Item	Record Series Title	Description/Example	Total Retention	Transfer to Archives
Item Number	*Category of Record*	*Explanation of record category*	*Time period records are retained*	*Whether or not records are sent to the Archives*
AD -1	Audience Development Survey	Questionnaire and results from survey conducted every 3 years on BAM audience demographic.	permanent	yes

#6: Write Record Series & Descriptions Based Off Language Used By Staff

-I'm telling you, I'm completely bugging.
-Jeez, I'm bugging myself.

#7: Determine Retention Periods for Record Series

How about tomorrow?

```mermaid
flowchart TD
    Title[Records Series Title]
    Q1[Are the records potentially historically significant?]
    Q1_NO[NO]
    Q1_YES[YES]
    Q1_OUT[Total retention period should be 'permanent.']

    Q2[Are there potential legal requirements associated with retention of records?]
    Q2_NO[NO]
    Q2_YES[YES]
    Q2_OUT[Research required retention and if possible confirm with legal expert.]

    Q3[Do content creators identify a *consistent* time period for when records are used in business operations? Do content creators know how long they need to access the record?]
    Q3_NO[NO]
    Q3_YES[YES]
    Q3_OUT[Use content creator's experience as a guiding point and research similar institutions' Records Retention Schedules.]

    Q4[Do content creators identify an *inconsistent* time period for when records are used in business operations? Do content creators say "it depends" when asked how long records are accessed?]
    Q4_NO[NO]
    Q4_YES[YES]
    Q4_OUT[Consider making a flexible retention period. For example, a retention period of "while useful" allows for variability.]

    Q5[Are content creators unable to provide guidance on any retention period?]
    Q5_YES[YES]
    Q5_OUT[Research existing Retention Schedules for similar institutions. Make a suggested time period and revisit in a year.]
```

Records Series Title

Are the records potentially historically significant?

- NO
- YES → Total retention period should be 'permanent.'

Are there potential legal requirements associated with retention of records?

- NO
- YES → Research required retention and if possible confirm with legal expert.

Do content creators identify a *consistent* time period for when records are used in business operations? Do content creators know how long they need to access the record?

- NO
- YES → Use content creator's experience as a guiding point and research similar institutions' Records Retention Schedules.

Do content creators identify an *inconsistent* time period for when records are used in business operations? Do content creators say "it depends" when asked how long records are accessed?

- NO
- YES → Consider making a flexible retention period. For example, a retention period of "while useful" allows for variability.

Are content creators unable to provide guidance on any retention period?

- YES → Research existing Retention Schedules for similar institutions. Make a suggested time period and revisit in a year.

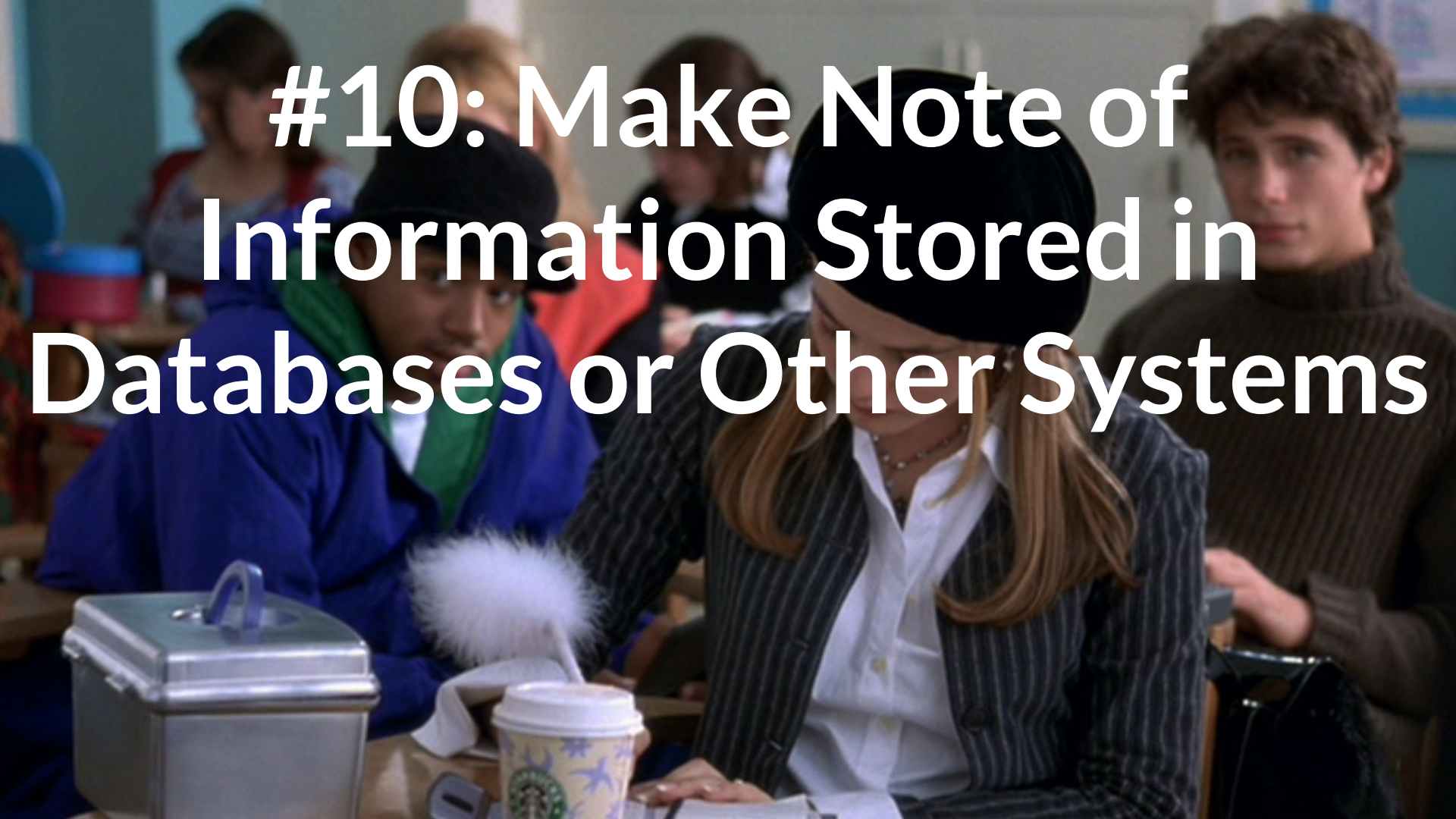# #8: Consult Legal Expertise

Miss Stoeger, that machine is just a lawsuit waiting to happen!

#9: Limit and Appoint Specific Departments & People to Transfer Materials to Archive

#10: Make Note of Information Stored in Databases or Other Systems

....To Preservation

So you have an RRS...
What now?

Let's do a makeover!

What are your needs?

Sample Business Needs

1. Prevent data loss.
2. Describe the content of collection materials.
3. Identify digital objects.
4. Ensure long-term accessibility of digital objects .
5. Develop policies for user permissions.

... Etc.

What are your requirements?

I'm not prude, I'm just highly selective

Add your favorite standards & frameworks

Table 1: Version 1 of the Levels of Digital Preservation

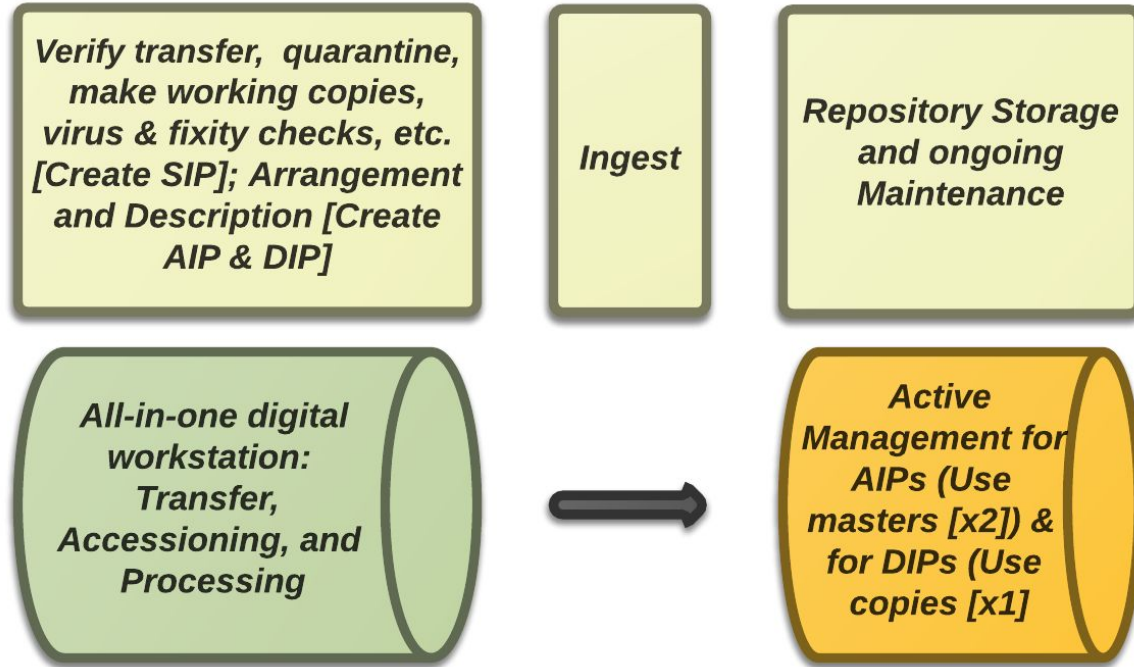|	Level 1 (Protect your data)	Level 2 (Know your data)	Level 3 (Monitor your data)	Level 4 (Repair your data)
Storage and Geographic Location	- Two complete copies that are not collocated - For data on heterogeneous media (optical discs, hard drives, etc.) get the content off the medium and into your storage system	- At least three complete copies - At least one copy in a different geographic location - Document your storage system(s) and storage media and what you need to use them	- At least one copy in a geographic location with a different disaster threat - Obsolescence monitoring process for your storage system(s) and media	- At least three copies in geographic locations with different disaster threats - Have a comprehensive plan in place that will keep files and metadata on currently accessible media or systems
File Fixity and Data Integrity	- Check file fixity on ingest if it has been provided with the content - Create fixity info if it wasn't provided with the content	- Check fixity on all ingests - Use write-blockers when working with original media - Virus-check high risk content	- Check fixity of content at fixed intervals - Maintain logs of fixity info; supply audit on demand - Ability to detect corrupt data - Virus-check all content	- Check fixity of all content in response to specific events or activities - Ability to replace/repair corrupted data - Ensure no one person has write access to all copies
Information Security	- Identify who has read, write, move and delete authorization to individual files - Restrict who has those authorizations to individual files	- Document access restrictions for content	- Maintain logs of who performed what actions on files, including deletions and preservation actions	- Perform audit of logs
Metadata	- Inventory of content and its storage location - Ensure backup and non-collocation of inventory	- Store administrative metadata - Store transformative metadata and log events	- Store standard technical and descriptive metadata	- Store standard preservation metadata
File Formats	- When you can give input into the creation of digital files encourage use of a limited set of known open formats and codecs	- Inventory of file formats in use	- Monitor file format obsolescence issues	- Perform format migrations, emulation and similar activities as needed
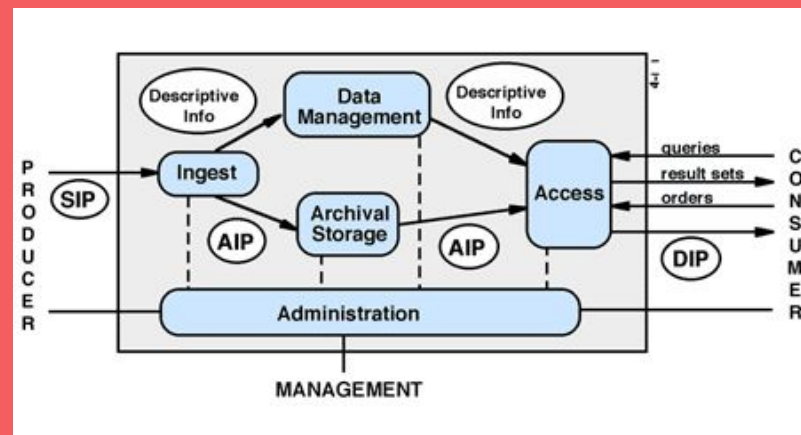
Sample Requirements Checklist

Workflow ID	ID	Functional Requirement	NDSA Category	NDSA Level	OAIS Entity
2.1	1	Ability to define file format normalization standards	File Formats	1	Ingest
2.2	2	Mechanism for creating and/or verifying data fixty upon ingest	Fixity & Data Integrity	1	Ingest
2.3	3	Mechanism for indicating access restrictions to a given asset	Information Security	1	Administration
2.4	4	Provide interface for creation of accession record and unique ID	Metadata	1	Administration

Weigh Your Options

Outline Your System

Verify transfer, quarantine, make working copies, virus & fixity checks, etc. [Create SIP]; Arrangement and Description [Create AIP & DIP]

Ingest

Repository Storage and ongoing Maintenance

All-in-one digital workstation: Transfer, Accessioning, and Processing

Active Management for AIPs (Use masters [x2]) & for DIPs (Use copies [x1]

Match with requirements

Sample Requirements Checklist

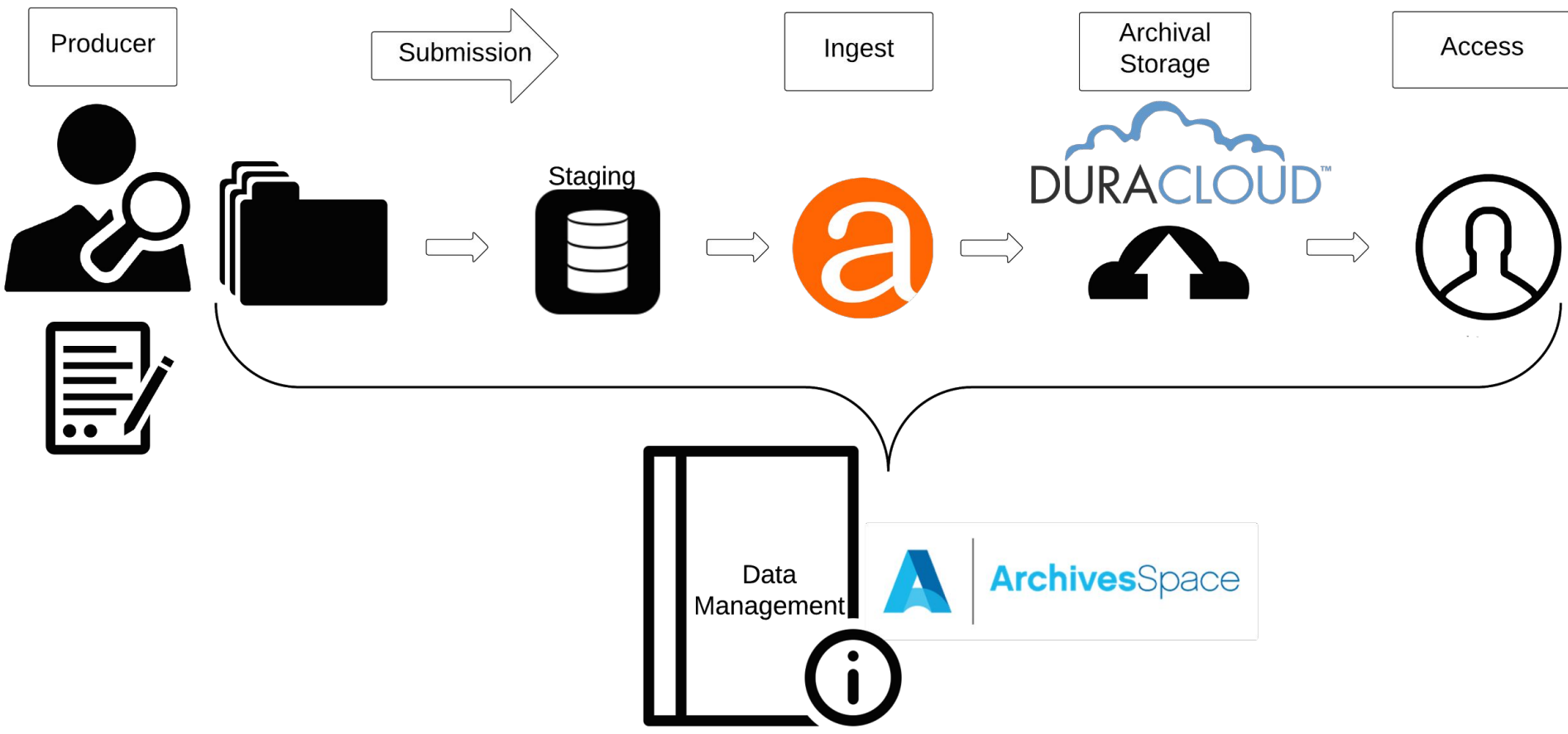| Workflow ID	F.ID	Functional Requirement	NDSA Category	NDSA Level	OAIS Entity	Archivematica	Bit Curator
2.1	1	Ability to define file format normalization standards	File Formats	1	Ingest	Yes	No
2.2	2	Mechanism for creating and/or verifying data fixty upon ingest	Fixity & Data Integrity	1	Ingest	Yes	Yes
2.3	3	Mechanism for indicating access restrictions to a given asset	Information Security	1	Administration	Yes	Probably Not
2.4	4	Provide interface for creation of accession record and unique ID	Metadata	1	Administration	Yes	Unclear

Decide &
Get Testing!

WCS Library & Archives High-Level Workflow

Producer

Submission

Ingest

Archival Storage

Access

Staging

DURACLOUD™

Data Management

ArchivesSpace

Discussion

Challenges?

Advice?

Experiences?

Thank You!

@Genevieve_HK | @ThisIsCarmel

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