


KEEP Project Overview
House Government Efficiency Committee
March 14, 2012
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<http://keep.ks.gov/presentations>



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Overview


- Recordkeeping in a digital age
- Records management & archives in Kansas
- Before KEEP
- KEEP



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Government Records


- Foundation of democracy
- Transparency
- Accountability
- Public trust
- Protect legal rights of citizens



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Effective Records Management and Archives


- Efficient and systematic control of records throughout life cycle
- Maintain records only as long as needed
- Records destroyed or transferred to archives when required retention periods met



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Effective Records Management and Archives


- Preserves records with enduring value
- Protects essential (vital) records
- Protects confidential information
- Reduces risks and costs of litigation
- Reduces cost of records storage



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Recordkeeping in a Digital Age


- The way we work has changed
 - The way we manage the records of that work has not kept pace
 - Systems often funded, designed and implemented without adequate thought for the records they create and how those records will be managed across time



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Without effective RM, electronic records may be


- Deleted, destroyed, or overwritten before retention requirements met
- Retained longer than needed
- Difficult, time consuming, and expensive to find
- Stored & migrated without adequate provisions for ensuring authenticity
- Stored in obsolete formats and no longer accessible



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Digital Age Expectations


- Access to government records expected to be electronic and available 24/7
- Electronic records expected to be authentic, accurate, and trustworthy
- Electronic records – at least some of them – expected to be preserved for generations to come



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Digital Age Challenges

- Preserving authentic electronic records not easy
 - Hardware and software dependence
 - Technology obsolescence



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Records Management & Archives in Kansas Government



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Kansas Records Laws


- Government Records Preservation Act (K.S.A. 45-401 through 45-414)
- Public Records Act (K.S.A. 75-3501 through K.S.A. 75-3520)
- Open Records Act (K.S.A. 45-215 through K.S.A. 45-240)



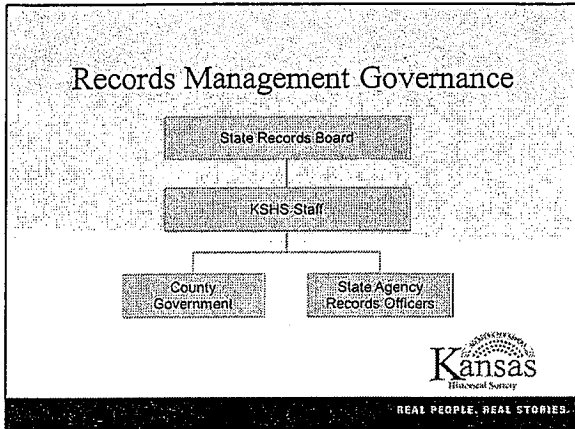
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Kansas Government Records

- K.S.A. 45-402: “all volumes, documents, reports, maps, drawings, charts, indexes, plans, memoranda, sound recordings, microfilms, photographic records and other data, information or documentary material, storage media or condition of use, made or received by an agency regardless of physical form or characteristics in pursuance of law or in connection with the transaction of official business or bearing upon the official activities and functions of any governmental agency.”



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KSHS Records Management & Archives Services, 1905-2011

- State Archives (est. 1905)
- Records scheduling (est. 1950s)
- State Records Center (est. 1992)
- All developed for analog environment

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Before KEEP

Electronic Records Management & Preservation Strategies

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Digital Age Strategies: Education & Training

- NHPRC Grants (1996 & 1999)
- Guidelines
 - Electronic Records Guidelines (1997)
 - Digital Imaging Guidelines (1998)
 - Email Guidelines (2002)
 - Web RM Guidelines (2004)

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Digital Age Strategies: Partnerships

- Electronic Records Committee (1999)
- Information Technology Advisory Board
 - State Archivist membership (2000)
- Electronic Records Summit (2008)

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Digital Age Strategies: Influence System Design

- KS Information Technology Architecture
 - E-recs chapter (1999)
 - Data asset management section (2007)
- Electronic Recordkeeping Plan (2001)
 - Addendums to retention schedule
 - Required for long-term electronic records

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Digital Age Strategies: Influence System Design


- IT Project Approval Process
 - IT projects > \$250K require a project plan
 - E-Recs Retention Statement required (2000)
 - State Archivist review of ERRS (2010)
 - Does new system include long-term records?
 - Are appropriate plans in place to ensure long-term records authenticity, preservation, & access?



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Digital Age Strategies: Trusted Digital Repository


- KSPACe (2004)
 - DSpace digital repository for state publications
 - Remains in service but not fully standards compliant



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KEEP


Kansas Enterprise
Electronic Preservation



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- Trusted digital repository for KS government records with long-term value
 - Long-term = 10+ year retention period
 - 10 years = Long enough to require preservation actions



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Legal Foundation


- Essentially the same as for analog records:
 - Government Records Preservation Act (K.S.A. 45-401 through 45-414)
 - Public Records Act (K.S.A. 75-3501 through 75-3520)



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K.S.A. 45-414 (2010)


- State Archivist recommends to the SRB standards for preservation processes for maintaining the authenticity of electronic records
- E-records maintained in accordance have full legal status
- Authorizes state archivist to certify authenticity of electronic records with his/her electronic signature
- Authorizes cost recovery



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KEEP System Goals

- Enterprise-wide
- Standards and best practices based
- Open source tools
- Access to authentic and authenticated digital records for as long as needed
- Financial sustainability




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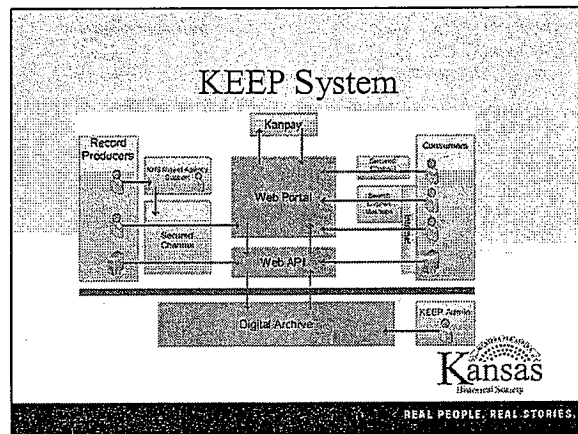
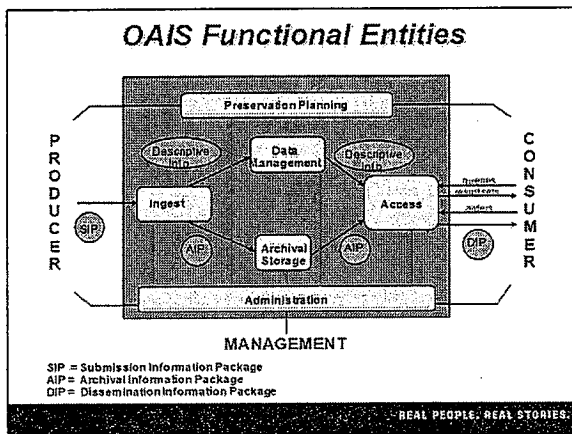
Standards & Best Practices

- OAIS
 - Open Archival Information System (ISO 14721:2003)
- PAIMAS
 - Producer-Archive Interface Methodology Abstract Standard (ISO 20652:2006)
- TRAC
 - Trustworthy Repositories Audit & Certification: Criteria & Checklist (ISO/DIS 16363: in progress)
- PREMIS
 - Preservation Metadata: Implementation Strategies




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KEEP System Partners

- Legislature
- Judicial branch
- Information Network of Kansas
- Library of Congress
- Executive branch
 - Kansas Historical Society
 - Attorney General's Office
 - Office of IT Services
- Business partners
 - Imerge Consulting
 - Propylon
 - AOS




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KEEP Prototype

- Scope
 - Sample ingest of foundational documents for interpreting Kansas law
 - Legislative committee meeting minutes
 - Supreme Court opinions
 - Attorney General opinions
- Funding
 - SGF
 - INK
 - Library of Congress
- Policy framework v1.
 - September 2010
- Prototype acceptance
 - June 2011




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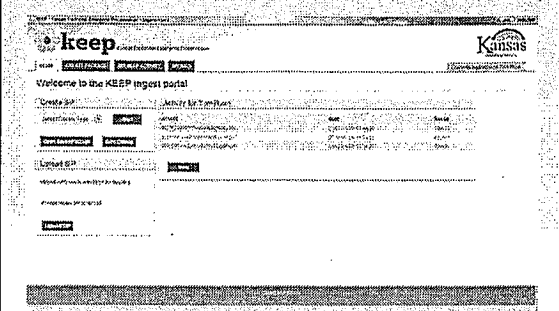

KEEP Production

Part 1: "Dark Archives"

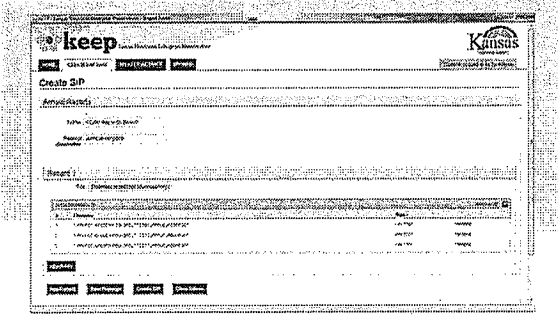

- Ingest Enhancements
 - SIP creation tools
 - Web portal
 - Thick client
 - API
 - Producer authentication
 - Submission agreement validations
- Archival Storage & Data Management Enhancements
 - Metadata registry
 - Variable retention
 - Reporting & management tools
- Projected completion
 - April 2012



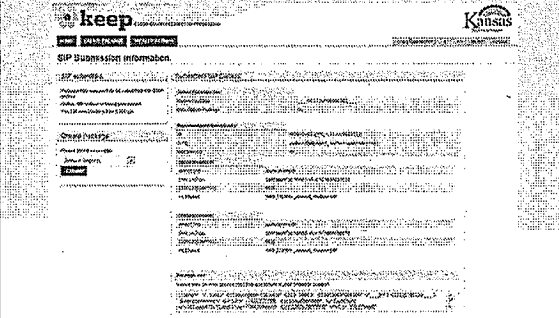

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KEEP Production

Part 2: Access & Preservation Planning (not yet funded)


- Access
 - Enhanced public access
 - Secure producer access
 - Authentication service
- Preservation Planning
 - Preservation/technical registry
 - Normalization tools



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Early Adopters

- KDHE
- Department of Administration
- Board of Regents
- Legislature
- Judicial branch



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