

State Government Digital Preservation Profiles

Kansas ARM

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 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.

Kansas

Name and affiliation of individual(s) who responded on behalf of the state or territory.

Patricia A. Michaelis, Kansas State Historical Society

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

- 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 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 State Records Board (consisting of representatives of the Attorney General, the State Librarian, the State Dept. of Administration, and the State Historical Society and the State Archivist) set retention and disposition schedules and have the authority to set standards for the preservation of records of enduring value. The State Records Board requires agencies to prepare an Electronic Record Keeping Plan for records series with 10 or more years retention when the 'record copy' is electronic.

Additional information.

Major Records Laws

Government Records Preservation Act K.S.A. 45-401-45-413

Public Records Act K.S.A. 75-3501--75-3518

Open Records Act K.S.A. 45-415--45-223

Electronic Media K.S.A. 45-501

Available online at <http://www.kslegislature.org/legsrv-legisportal/index.do>

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 | | | | |
| 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 | | X |

Other services provided and the units that provide them.

No information provided

Additional information.

The Secretary of State oversees PKI issues.

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.

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 | | | | |
| 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.

No information provided

Additional information.

The Historical Society has no statutory authority for dealing with records of the legislature. In cooperation with the State Library, we have implemented a digital repository for electronic reports submitted to the legislature (KSPACE). We have a representative from the legislative technology staff on our Electronic Records Committee and our KSPACE planning team so informal consulting, etc. occurs.

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.

No information provided

Additional information.

The court has responsibility for its own records preservation though state level court records come to the State Archives. The courts periodically review their practices (which are disseminated as a court rule) and the State Archivist participates in these task forces.

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.

No information provided

Additional information.

As indicated earlier, the Historical Society has no direct records authority for the courts but we have a long standing cooperative relationship. As with the legislature, a representative from the judicial branch technology staff participates in the Electronic Records Committee and the KSPACE planning team.

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:

KSPACE

SHORT DESCRIPTION:

KSPACE was developed as a cooperative project of the Kansas State Historical Society and the State Library of Kansas, as a response to legislation that allowed agencies to submit required reports electronically to the Legislature. The pilot project focused on these reports to the legislature and representatives of the Division of Information Services and Communications (DISC) of the Department of Administration, legislative staff, and other state agencies participated in the planning.

The pilot was deemed successful and planning is underway for phase II. The same groups are still involved as well as a representative from the IT staff from the judicial branch. The planning team used the Capability Assessment and Planning Toolkit to initiate the planning.

Richard Pearse Moses was brought in as a consultant for the 'Arizona' model. As a result, we are unofficial partners in the web archives workbench project being developed by OCLC. We plan to use the toolkit to expand the focus to state government publications on agency Web sites.

We are in the final stages of strategic planning for the next phase and for long term support for KSPACE.

LINKS TO RELATED WEB SITES OR PROJECT DOCUMENTS:

www.kspace.org

CONTACT FOR THIS ACTIVITY:

sleonard@kshs.org

TITLE OF THE STATE GOVERNMENT DIGITAL INFORMATION PRESERVATION ACTIVITY:

Electronic Recordkeeping Plan

SHORT DESCRIPTION:

The State Records Board has responsibility for establishing retention and disposition schedules. As agencies begin to come to the board indicating the record copy of certain records series was electronic, we developed the Electronic Record Keeping Plan template to provide the Records Board with more information about the nature of the electronic records and their plans for preservation, based on the approved retention.

The Historical Society chairs a subcommittee (the Electronic Records Committee) of the Information Technology Board (ITAB) whose members are the IT heads of cabinet level agencies. A number of years ago, the State Archivist joined ITAB at the request of the Executive Chief Information Technology Officer and we have been able to raise electronic records preservation issues when appropriate. The Electronic Records Committee (ERC) was established to bring together people in state agencies interested in electronic records preservation. This background is provided because the Electronic Records Committee developed the Electronic Recordkeeping Plan template. It was reviewed by ITAB and adopted by the State Records Board. As agencies develop their recordkeeping plans, they are reviewed by the ERC because of the technical expertise of the members. Once the ERC approves the plan, it then is submitted to the State Records Board for final action.

We have found that having agencies use the Electronic Recordkeeping Plan initiates a dialogue with the agency about all of the issues involved in long term preservation of electronic records. While the plans obviously cannot predict the future, they do commit the agency to a strategy to review, periodically, the technology in place for records with long retention periods. While the process is labor intensive, the agencies that have completed plans have indicated they benefited from the process.

LINKS TO RELATED WEB SITES OR PROJECT DOCUMENTS:

www.kshs.org/government/records/electronic/electronicrecordkeepingplan.htm

CONTACT FOR THIS ACTIVITY:

sleonard@kshs.org

TITLE OF THE STATE GOVERNMENT DIGITAL INFORMATION PRESERVATION ACTIVITY:

Electronic Records Committee

SHORT DESCRIPTION:

As explained in the previous item, the Electronic Records Committee is a sub committee of the Information Technology Advisory Board. The membership includes IT heads from cabinet level agencies, representatives of the state universities and county government, the CITO's of each of the branches of Kansas government, and other selected agencies, including the State Archivist from the Kansas State Historical Society. The Electronic Records Committee has undertaken projects such as developing E-mail Guidelines and Guidelines for Managing Records on Kansas Government Agency Web Sites. All are available at the link below. The committee is chaired by Scott Leonard, Electronic Records Archivist, KSHS.

LINKS TO RELATED WEB SITES OR PROJECT DOCUMENTS:

<http://da.state.ks.us/itab/erc/>

CONTACT FOR THIS ACTIVITY:

sleonard@kshs.org.

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). | | | |

Other training needed for digital preservation capability.

No information provided

Additional information on existing training programs.

I was uncomfortable with the labels for the choices of the above questions. When I marked 'training already provided,' that indicates that we are already doing something in this area. For the two items where I marked Basic training needed, I felt that these were areas where the State Archives did not have a primary responsibility. For the areas that were marked Advanced training needed, I meant that we have basic understandings of these issues but more training would be helpful. This would also be the case for the activities in which we are already involved.

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:

Because we have not done a recent survey, we are not qualified to provide detailed information. However, all of the examples listed and many others such as Governor's e-mail, etc. are probably at risk.

CONDITIONS CAUSING INFORMATION TO BE AT-RISK:

No information provided

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

No information provided

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.

Yes

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

We have been involved in the state's Enterprise Architecture since 1999. The Electronic Records Specialist sits on the committee overseeing the Architecture and is leading a subcommittee on drafting the Information Management section of the Kansas Statewide Technical Architecture. Part of that section includes a chapter on electronic records management and preservation for which we have responsibility.

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

The chapter is not currently online, but this link (<http://da.state.ks.us/itab/erc/reports/architecture.htm>) provides information on the chapter on ERM and preservation. The next update, currently in process, of the Kansas Statewide Technical Architecture will be available online.

Section 7. Additional Thoughts or Comments

Our biggest problem is staff, time, and money. We received some grant funding from the Information Network of Kansas for hardware to support KSPACE but everything else is from existing funds. We feel we have made some significant progress but the climate for additional funding/staff from the state legislature is very bleak at this time.