

State Government Digital Preservation Profiles

New York 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 **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.

New York

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

Kathleen Roe, New York State Archives (archives)

Geoffrey Huth, New York State Archives (records management)

Robert Dowd, New York State Library

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

- Library
- 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	X	
Setting information technology standards and or guidelines for information creation (e.g., state approved software applications).			X	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		X	

Other standards and the units with authority over setting them.

No information provided

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 Management provides services	Others (See below)
Storage for digital information.		X	X	X	
Consultation and training services on digital information creation.		X		X	
Consultation and training services on digital information management.				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).			X		
Certification (e.g., trustworthiness of system, backups sufficient).	X				

Other services provided and the units that provide them.

Library services are provided informally on request.

Additional information.

No information provided

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	X	X	
Consultation and training services on digital information creation.		X		X	
Consultation and training services on digital information management.				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).			X		
Certification (e.g., trustworthiness of system, backups sufficient).	X				

Other services provided and the units that provide them.

Library services are provided informally on request.

The Archives will provide these services if requested, but rarely is contacted by the Legislature for such services.

Additional information.

No information provided

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 Office of Court Administration has authority for these functions for the judicial branch.

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	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				
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 Office of Court Administration has responsibility for these activities for the judicial branch. Some collaboration and coordination takes place with the Archives.

The Archives provides some funding for these activities for judicial agencies through its local government records management improvement fund.

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:

Preservation of state publications in digital form

SHORT DESCRIPTION:

The State Library scans and harvests electronically published New York state documents.

LINKS TO RELATED WEB SITES OR PROJECT DOCUMENTS:

<http://purl.org/net/nysl/nysdocs/nyspubs>

CONTACT FOR THIS ACTIVITY:

Robert Dowd, NYS Library
rdowd@mail.nysed.gov

Liza Duncan, NYS Library
lduncan@mail.nysed.gov

TITLE OF THE STATE GOVERNMENT DIGITAL INFORMATION PRESERVATION ACTIVITY:

Preservation copying of archival data sets

SHORT DESCRIPTION:

The State Archives currently has nine data sets of state government archival records. The Archives stores multiple copies of native format files on hard drives and on transfer media stored remotely. Files in proprietary formats are converted to open formats more likely to survive long term.

LINKS TO RELATED WEB SITES OR PROJECT DOCUMENTS:

No information provided

CONTACT FOR THIS ACTIVITY:

Bonita Weddle, Senior Archivist, Electronic Records
bweddle@mail.nysed.gov

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.

This survey does not allow us to check off more than one choice for training types. We have some staff in need of basic, as well as some in need of advanced. Because of this flaw in your survey, the above answer does not fully or accurately reflect the response we wanted to give.

Additional information on existing training programs.

No information provided

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:

An agency has several series of local government activity reports (current and archival) in a mainframe computer and has had substantial difficulty moving it out of this environment. This information is extracted from paper reports submitted by various types of local governments and could thus be replicated if all else fails; however, doing so would require a mammoth amount of time and effort.

CONDITIONS CAUSING INFORMATION TO BE AT-RISK:

Although the agency has successfully removed other local government report series out of the mainframe environments and into an Oracle database (a business-driven solution that will, owing to the proprietary nature of Oracle, eventually pose its own preservation challenges) its IT staff have not yet been able to determine how best to move the remaining series out of its remaining mainframe. The agency is determined to do so, but at this point success is not guaranteed.

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

The agency is investing substantial IT staff time and resources into moving this data out of the mainframe environment and into Oracle. The agency is also transferring the paper reports used to create the data to the State Archives, which wants both the electronic data and the paper reports preserved--the electronic files because researchers want to be able to search and analyze the data without having to sift through the paper reports and the paper reports because they contain additional information (notable report preparers' certifications of accuracy) not found in the electronic files.

DESCRIPTION OF AT-RISK STATE GOVERNMENT DIGITAL INFORMATION:

The State Archives holds nine archival datasets generated by various state agencies. The datasets, which comprise ASCII flat files that can be analyzed with a statistical software package, contain information about the state's population and economy, inmates of state correctional facilities, public-sector labor-management relations, and teachers and educational institutions.

CONDITIONS CAUSING INFORMATION TO BE AT-RISK:

Owing to staff and other resource shortages within both the State Archives and its parent agency, the State Education Department, these datasets are currently housed on media that are on the verge of obsolescence (e.g. open-reel tape, nine-track cartridge). The State Archives is currently working to have the datasets refreshed and placed on modern storage media. However, owing to shortcomings in agency-supplied and State Archives-created technical documentation and ongoing IT staff shortages, the process has been slow and difficult.

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

The State Archives is developing a program that will enable it to manage its electronic records holdings with less assistance from its parent agency's IT department. It has employed an electronic records archivist, devoted substantial resources to training (for all staff) and equipment purchase, and is working to integrate electronic records into its existing accessioning, preservation, description, and reference work processes. It is also exploring alternate strategies, including collaborative partnerships and outsourcing, that will facilitate the copying of these datasets onto a transfer medium that its equipment can access.

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.

No

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

No information provided

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

No information provided