Collaborative Electronic Records Project

CERP team presentation
to the Archivists Round Table of Metropolitan New York
November 15, 2006
Lynda Schmitz Fuhrig

Project Archivist
Smithsonian Institution Archives

Capital Gallery Building
600 Maryland Avenue, SW, Suite 3000
Washington, D.C. 20024-2520
202-633-5917
SchmitzfuhrigL@si.edu
Letter from Wilbur Wright to the Smithsonian Institution

May 30, 1899

Dear Sir,

I have been interested in the possible development of mechanical and human flight ever since as a boy I constructed a number of kites and various toys after the style of Cayley and Parapente machines. My observation of birds has convinced me, more and more, that human flight is practicable and practicable. It is only a question of knowledge, skill, and taste in all necessary parts. Birds are the most perfect airplane organisms in the world and are as well adapted for their work as any machine made of metal. In the same way, I think that people who have watched a bird chasing an insect or another bird can doubt that people will perform what requires three or four times the effort required in ordinary flight. I believe that simple flight is a possible goal for man, and that the work of scientists and inventors of a large number of independent vehicles will result in the accomplishment of this goal. The work on the subject in which I have had access...
Dear Sirs,

Enclosed is a letter requesting information about aeronautics.

Sincerely,

Wilbur Wright
Dear Sirs:
Enclosed is a letter requesting information about aeronautics.

Sincerely,
Willis Wright

Wright Cycle Company
1127 West Third St.
Dayton, Ohio.
May 30, 1899

The Smithsonian Institution,
Washington:

Dear Sirs:

I have been interested in the problem of mechanical and human flight ever since as a boy I constructed a number of bats of various sizes after the style of Cayley’s and Peanot’s machines. My observations since have only convinced me more firmly that human flight is possible and practicable. It is only a question of knowledge and skill just as in all acrobatic feats. Birds are the most perfectly
Collaborative Electronic Records Project

- Three-year undertaking
- Testbed surveys
- Email guidance
- Transfer guidelines
- Long-term preservation of electronic files
Sample E-Mail and Internet Policy Acknowledgement Form

I affirm that I have received, read, and understand the [name of organization] E-mail and Internet Policy and will abide by the terms and conditions of this policy.

I understand that failure to do so can result in immediate suspension of network access as well as disciplinary action or termination of employment.

I understand that my use of e-mail may be monitored.

I understand that I am responsible for all activity on my e-mail account.

I will not allow others to use my login or password. During my absence, trusted staff members requiring access to my files and mail may be delegated those rights. When I am given temporary rights to a colleague's e-mail, I agree to maintain the confidentiality of their e-mail.

If I receive suspicious, threatening or harassing e-mail, or suspect that my system has been sent e-mail containing harmful material such as worms or viruses, I will immediately notify the Information Systems manager.

If I have reason to believe another employee is engaging in unauthorized use of E-mail or the Internet, I will immediately advise my supervisor, Human Resources, and the Information Systems manager.

When I leave [name of organization] employment, I will ensure that my e-mail messages considered "records" have been transferred to the appropriate shared or group folders.

Print Name:

Signature:

Title:

Date:
The Project

The Smithsonian Institution Archives (SIA) and the Rockefeller Archive Center (RAC) are engaged in a collaborative three-year project to develop, test, and share the technology to preserve digital documents with other non-profit organizations. SIA and RAC will develop and test electronic records preservation, focusing on e-mail, that will draw on the SIA's more established framework for developing methodologies, and that will draw on the RAC's network of donor institutions for testing the preservation system and strategies. Working together they expect not only to achieve much more than they could accomplish separately, but they expect to develop a model that should have implications for a broad range of nonprofit and philanthropic institutions.

Archival institutions, which provide permanent access to information deemed vital to understanding the history of individuals and organizations, are encountering the loss of digitally-created information before it even crosses their thresholds. Given modern digital forms of information, the long-term preservation of electronic records, particularly e-mail, will be critically important for scholars looking at the first decade of the 21st century, as well as for organizational accountability.

Yet few institutions have taken significant steps toward preservation, in part because there are few accepted standards for such preservation in the archival world. Much of the electronic information created by institutions now becomes inaccessible or is intentionally destroyed within a few months or a few years of creation. This is true for the offices and organizations for which the Rockefeller Archive Center and the Smithsonian Institution Archives have archival responsibilities, as well as for virtually all other nonprofit institutions.
Collaborative Electronic Records Project

The Collaborators

The Rockefeller Archive Center and the Smithsonian Institution Archives bring substantial assets and advantages to the project.

Colleges and Universities of Rockefeller Archive Center

The Rockefeller Archive Center manages the archives of Rockefeller University, a private, non-profit organization. The archives of Rockefeller University are a source of unique, interdisciplinary, and extensive records. However, the archives are used with increasing frequency by scholars and other researchers, and it is essential to preserve and manage these resources effectively.

Smithsonian Institution Arts & Industries Building

Washington, D.C.

Rockefeller Archive Center

Smithsonian Institution Archives

Collaborative Electronic Records Project

ROCKEFELLER ARCHIVE CENTER

& SMITHSONIAN INSTITUTION ARCHIVES
Warren Christopher

**An Evening with Warren Christopher**

- **INTRO** (1:52)
- **PROGRAM** (1:10:49)

Warren Christopher, who was U.S. secretary of state from 1993 to 1997, was once described by the Washington Post as "the antithesis of the gilt-hungry, self-aggrandizing, corner-cutting political figures who dominate Washington today." In a fascinating evening, Mr. Christopher recounts some of the domestic and international events he witnessed, sharing his personal impressions of world leaders he encountered along the way.

Mr. Christopher served as a law clerk for Supreme Court Justice William O. Douglas, deputy U.S. attorney general (1967–69), and deputy secretary of state (1977–81). Still a Democratic power broker, he is a senior partner at O'Melveny and Meyers in Los Angeles.

This program was recorded February 27, 2001 at the Smithsonian Institution.

### Share this Program
- Email a Friend!

### Learning Links
- **Warren Christopher Biography**
- **Listen to Speech from January 21, 1981**

### Books
- [amazon.com](http://amazon.com)
SIA testbed relationship
Three SI units agreed to participate in the project

SIA
Collects, preserves, and makes available the official records of the Smithsonian Institution

Administrative
- Has very active relationship with SIA.
- One of our largest depositors.

Financial
- Deposits records regularly using its own records disposition schedule.
- Project has raised issues about retention of some records.

Public-Research
- Deposits made irregularly.
- Records schedules only exist for some departments within unit.
Email screenshot

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CD testing

![CD testing result screen]

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Breakdown of results:
- Background Error Rate (BER) failed.
- Overall grade is F.
Event: Geographic Information Systems Announcement, Training Opportunities and Software Availability

Subject: Event: Geographic Information Systems Announcement, Training Opportunities and Software Availability

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Environmental System Research Institute (ESRI) - Federal Center. While attendance is free to the presentations, registration is required at www.esri.com/reduc. Preconference

29/30, ground floor, East Center Court, 9-4 each day. Please test.

ArcView 3.0 (Win95 and up)

Crystal Reports 9.0 (Win95 and up)

ArcGIS 8.3 (Arcator or ArcEditor or ArcView versions) (Win2000 or XP)

ArcPad 6.0 (WinCE)

ArcIMS 4.01 (Win2000 or XP)

---

Missing Metadata
Inbox email numbers

- Less than 50: 28%
- 51-1,000: 29%
- 1,001-9,999: 29%
- +10,000: 14%
Subfolders within an email account

Number of subfolders

- <10
- 11 -- 75
- >76
Attitudes about electronic records/email

- Email is transitory
- Storage is cheaper than managing email
- “Nothing I have is important.”
Testbed Wish List

• Email guidance

• Records management system

• Paperless office
Nancy L. Adgent

Project Archivist
Rockefeller Archive Center

15 Dayton Avenue
Sleepy Hollow, NY 10591
914–366–6355
nadgent@rockefeller.edu
## Survey Results

<table>
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<tr>
<th>Y=YES</th>
<th>N=NO</th>
<th>P=Partially</th>
<th>T=To be determined</th>
<th>V=Varies</th>
<th>Blank=Not yet surveyed</th>
<th>X=Not participating/applicable</th>
<th>Key Electronic Records Issues</th>
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<td>Y</td>
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## Key Survey Findings

### Key Electronic Records Issues

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Inbox Folder Organization
Inbox – Non Standard File Names

Suggested Subject Names: “Staff Meeting Minutes.2006.08.02”
Electronic Records Accession and Documentation Form

Rockefeller Archive Center

Archivist: __________________________ Date appraised: ______

Depositing Organization: ____________________________________________

Contact name: ______________________________________________________

Address: __________________________________________________________

E-mail: __________________________ Telephone: _______________________

Terms (donation, deposit, time period, restrictions): ____________________

_________________________________________________________________

Record Group and Series: ____________________________________________

_________________________________________________________________

Content (please check all that apply):

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Depositor: Please provide an electronic (preferably plain text) and paper list of the files being deposited. Include folder and file names, format and version, size (in bytes), and an individual list of files within compressed/archived files.
WYSIWYG?
Nancy -- Alan Mitsman will help with printing the coreboards for June 17. Let's talk next week about what we want on them. DHS
Internet Header Metadata
Changes to Original & Metadata
Different Creation Dates
Conversion to .pdf
Verification Process
WOODROW WILSON FELLOWSHIP PROGRAM QUESTIONNAIRE

DATE: 12 December 1949

NAME: Robert A.

PRESENT POST OFFICE ADDRESS: Dept. of Art & Archaeology
McCormick Hall, Princeton, N.J.

PERMANENT HOME ADDRESS: 300 North 4th Rd, South Miami, Florida

PLACE OF GRADUATE STUDY: Univ. of North Carolina
Princeton University

DEGREES RECEIVED: MA U.N.C. 1942
MFA Princeton 1948

PRESENT POSITION: Instructor, Dept. of Art & Archaeology, Princeton University

FUTURE PLANS: Teaching

ESTIMATE OF INFLUENCE THE AWARD OF THE WILSON FELLOWSHIP HAD UPON YOUR CAREER:

I must honestly state that I had planned an academic career as far back as I can remember, a direct result of having been reared in a professional home. The Wilson Fellowship was nonetheless a tremendous boost financially for the further pursuit of this aim, and the honor of the award undoubtedly served as a stimulant to better and more purposefully directed work.
Adobe search for handwritten word
ISSUES

- Unknown formats
- Deteriorating media
- Data on portable devices
- Native format vs. converting
- Upgraded hardware/old media
- Obsolete or unsupported software
- Duplicates, personal, junk mingled
- Information quantity & rate increase
- Traditional archival concepts/new era
Riccardo Ferrante

CERP Project Manager

Information Technology Archivist

Smithsonian Institution Archives

Capital Gallery Building, MRC 507
600 Maryland Avenue, SW, Suite 3000
Washington, D.C. 20024–2520
202–633–5906
FerranteR@si.edu
Technical Considerations
Open Archive Information System

Submission Information Packet (SIP)

Archival Information Packet (AIP)

Dissemination Information Packet (DIP)
Open Archive Information System

What is transferred

Submission Information Packet (SIP)

What is accessed

Archival Information Packet (AIP)

Dissemination Information Packet (DIP)

What is archived
Open Archive Information System

Archival Information Packet (AIP)

What is archived
- Original source records – data format(s)
- Documentation - metadata
- Archival storage – physical media
Digital Obsolescence

• Danger from three different directions
  – Format (data file)
  – Media (physical storage media)
  – Technical environment (hardware & software)

• Monitoring risk factors
Conservation?

- Good housekeeping
- Determining strategies
  - Timing
    - Capture
    - Conservation
  - Object complexity
    - Multiple formats?
    - Authenticity principles
  - More than one viable method?
Open Archive Information System

Archival Information Packet (AIP)

What is archived
- Original source records – data format(s)
- Documentation - metadata
- Archival storage – physical media

After preservation/conservation measures
- Original source records – data format(s)
- Conserved records (full set)
- Documentation - metadata
- Archival storage – physical media
The final archival package

- Original
- Preserved/conserved form
- Documentation

- How long does the final package last?
Storage

- Economics
- Life
- Frequency of use
Toward a workable solution

- Do something now
- Education/change management – a must
- Good tools
- Good documentation
- Vigilance
For More Information

CERP website
http://siarchives.si.edu/cerp/cerpindex.htm

Smithsonian Institution Archives website
http://siarchives.si.edu/

Rockefeller Archive Center website
http://archive.rockefeller.edu/

Nancy Adgent
nadgent@mail.rockefeller.edu

Lynda Schmitz Fuhrig
schmitzfuhrigl@si.edu