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**Final Narrative Report  
NHPRC Grant #NAR15-RG-50006-15  
July 1, 2015 – June 30, 2017**

The Missouri State Archives (MSA) was awarded NHPRC Grant #NAR15-RG-50006-15 to establish processes and procedures for ingesting electronic records from Missouri State Government. Built on the intellectual foundation developed during two earlier NHPRC Grants #NAR2003-13, which funded the *Missouri Electronic Records Education and Training Initiative* (MERETI) and #NAR-13-RE-10053-13, the *State of Missouri Records Services Division: Electronic Records Initiative*, the original grant proposal required few changes to the original submitted application plan.

This grant is Phase 2 of a two-stage effort to plan, test and implement an electronic records preservation program. Building on the consultant report from #NAR-13-RE-10053-13, the present grant funded the upgrade and testing of the State of Missouri Agency Records Tracking (SMART) System as a viable ingest mechanism for electronic records. In addition, policies and procedures, drafted during the earlier grant, were tested against real world practice and revised accordingly. These policies included metadata standards, identifying necessary administrative reports to manage the program, determining network transfer limits and developing procedures for the transfer of records that exceed those transfer limitations.

Due to the two-year time frame for this grant, there were multiple interim reports. All were submitted by the required deadlines (Performance Objective 1). The support of the NHPRC was acknowledged in a press release ([www.sos.mo.gov/default.aspx?PageID=5658](http://www.sos.mo.gov/default.aspx?PageID=5658)) and

on the grant webpage ([www.sos.mo.gov/records/electronicrecordsgrant](http://www.sos.mo.gov/records/electronicrecordsgrant)) (Performance Objective 2) Also, the final financial report details that cost share exceeded the amount approved by the NHPRC (Performance Objective 3).

During the initial reporting period, July-December 2015, MSA issued a press release announcing the grant and began the process of upgrading the SMART System. The bulk of the grant funds were earmarked to add an electronic records tab to the existing content management system. This approach allows Missouri State Government Agencies to transfer electronic records to MSA following the same processes and procedures that have long been in place to transfer paper records. By enabling the transfer process to occur through existing workflows, and eliminating the need for extraordinary efforts on the part of stakeholders, ingesting electronic records will become routine. The thought behind this approach is that all records, regardless of format, should be treated the same; there is little, or no, need to create parallel systems for paper and electronic records.

Meetings were held with internal stakeholders to review proposed metadata standards, developed during the previous planning grant. Once all data fields were agreed to and mapped, grant staff held a series of conference calls with the vendor and met with internal IT staff about upgrading SMART. Due to several technical delays in the upgrade, no external records were ingested during the first six months of the grant. Internal records were tested and training manuals were updated during this period. However, external agencies were contacted regarding the project. Meetings were held with the Missouri Supreme Court and the Missouri State Auditor. These agencies were identified as potential candidates to test the system because of the high percentage of permanent records they generate and the manageable volume.

An unexpected, but welcome, opportunity arose during this initial reporting period. MSA and the other recipients of State Electronic Records grants agreed to submit a session proposal to the Society of American Archivists 2016 Annual Meeting. This submission was accepted and the grant projects were discussed. In addition, the information on the grant was presented at a joint meeting of the Missouri Library Association and the Kansas Library Association.

During the second reporting period, January-June 2016, MSA began to actively ingest electronic records. By the end of the reporting period, MSA met the goal of 1GB of electronic records submitted and processed. In addition, interest in the grant project grew beyond expectations. While the needs of the State Courts exceeded the testing capability of the grant, several other agencies and statewide officials contacted MSA about participation, including the Department of Social Services, the Public Service Commission, the Ethics Commission, the Administrative Hearing Commission and the Governor's Office. When asked about the submission experience, all responses were positive. The first successful submission came from the State Auditor's Office and their response was, "[v]ery easy system to use."

Once external records submissions began, MSA staff began reviewing policies and procedures and updating workflows, from draft-stage to the real world versions. Because the agencies are responsible for submitting the records through the existing content management system, most of the metadata is creator generated greatly reducing the amount of processing by MSA. As the grant work products were revised, a draft case study started, and a webpage for the grant was created ([www.sos.mo.gov/records/electronicrecordsgrant](http://www.sos.mo.gov/records/electronicrecordsgrant)) to host published materials.

The third reporting period, July-December 2016, proved to be a very good test of the grant premise. Seven additional outside agencies submitted records via SMART. Participants included of the Offices of the Governor, Lt. Governor, Auditor, the Missouri General Assembly,



Department of Corrections, Department of Transportation, Department of Social Services and MSA. The total volume of records increased from 1GB to 143GB. It was reported that the total number of records exceeded 44,000; however, it was discovered that this figure included duplicate and partial uploads. The official bandwidth limit on transmitting records through SMART was determined to be 2GB per submission, however some agencies had the system time-out during upload. The solution for this and for larger submissions is to upload the metadata via SMART and send the files on external media. This remains within normal workflows as the Records Management Division does daily record pick-ups and returns to state agencies.

Policies and procedures were updated and finalized and a case study was drafted for submission to a journal. A Data Ripstation—to recover records from CD/DVD was ordered, but had not arrived by the time of the report submission.

During the final months of the grant, January-June 2017, MSA received final submissions from external agencies. The Data Ripstation was also received and installed. In the final tally, during the grant, MSA:

- Ingested 150 GB of electronic records
- Trained 21 internal/external staff to submit records through SMART (However, any SMART user, with appropriate permissions, is able to submit electronic records and there are over 1,500 trained SMART users across Missouri State Government)
- Ingested records from 11 state agencies
- Ingested 40,239 records.

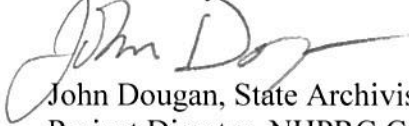
These figures exceed the Performance Objectives for this grant.

- Submit complete reports by the deadlines—accomplished
- Acknowledge NHPRC in print and electronic publications—accomplished
- Amount of cost share meets or exceeds approved amount—accomplished

- Develop final policies and procedures/metadata standards/reports/determine transfer limits/develop procedures for ingestion of records that exceed limits—accomplished
- Work with at least 3 state agencies (worked with 11)—accomplished
- Process and preserve at least 1GB of electronic records (preserved 150GB)—accomplished
- Provide access via reference room to at least 2,500 unrestricted records (13,567 of 40,239 records submitted are available via the reference room)—accomplished
- Train at least 12 internal and external staff to transfer electronic records (trained 21)—accomplished
- Submit a case study to a peer-reviewed journal (study drafted but not submitted)—partial
- Publish materials related to grant on MSA grant webpage and CoSA web portal (PERTTS)—accomplished

On a final note, posting grant materials on the Council of State Archivists (CoSA) web portal, Program for Electronic Records Training, Tools and Standards (PERTTS) Portal continues to be problematic. Lack of instruction on posting material to the site made sharing grant materials difficult.

Submitted by



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