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# Progress Report: September 1, 2007- October 31, 2007

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NHPRC EMCAP Tool

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Kelly Eubank

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## NORTH CAROLINA DEPARTMENT OF CULTURAL RESOURCES

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SUBJECT: North Carolina, Kentucky, and Pennsylvania's Electronic Mail Preservation  
Collaboration Initiative, Grant Number NAR RE-05701-07

### **Progress Report: September-October 2007**

The Electronic Mail Preservation Collaboration Initiative aims to build a prototype tool for the collection and preservation of archival electronic mail. Staff from the states of North Carolina, Kentucky, and Pennsylvania have teamed together to leverage their knowledge and skill sets to help design and test a tool that will collect electronic mail, maintain a copy of the original email and the attachment, as well as transform the email itself from its native format to an XML format based on an XML schema. The team is also developing on-line training materials. In addition, once the tool has been designed and tested, we will deploy this tool to participating pilot partners for phase two testing and feedback. The project team includes: Kelly Eubank (NC), project director, Druscilla Simpson (NC), head, IT Branch; David Minor (NC), programmer; Chris Black (NC), archivist; Ed Southern (NC), head, Government Records Branch; Mark Myers (KY), electronic records archivist; Glen McAninch (KY), head Technology Analysis and Support Branch; Linda Avetta (PA), information technology generalist administrator; Cynthia Bendroth (PA), head Division of Records Administration and Imaging Services.

The months of September and October have been challenging months for this project for a number of reasons. While progress has been made in some areas, the states continue to experience difficulties regarding centralization of Information Technology in the state (PA and KY) and initiatives to centralize Information Technology Resources within the state (NC). In NC, the Chief Information Officer for the Department of Cultural Resources has decided to consolidate information technology staff currently dedicated to each section of DCR. Under the new organization, all staff classified as information technology will report through the DCR IT section and support the other sections in DCR. As a result, as of November 1, 2007, David Minor, the programmer working on this project, will report through DCR IT rather than through Druscie Simpson.

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The centralization of technologies has presented both challenges and opportunities. New people have been brought to the project who are just getting up to speed on the project but who bring experience and knowledge to the team.

### **Objective 1: Information Technology Environments**

1. Continue the development of the e-mail collection and preservation software to convert e-mail from its native format into the more stable XML format and complete written documentation for the program.

#### **Information Technology Environments:**

In NC, the Information Technology Services office (ITS) reports directly to the governor and serves all agencies within state government. However, ITS has the biggest impact on the executive cabinet agencies. Because NC was unsuccessful in employing a programmer on a full time status for a year, we decided to hire a programmer on a short term status for the originally budgeted amount in the grant. NC had two options for hiring someone. We could either pursue what is known as an “Invitation for Bid”, IFB, or go through Information Technology Services Supplemental staffing service. NC decided to pursue the IFB which would have returned completed bids to us with the total cost of the project and the projected time it would take to complete. In order to keep the project in the 6 month time window, David Minor, the programmer on staff in NC, created a detailed design document that contains much of the design work for the tool and submitted that document to ITS. When NC submitted this in September, we were contacted immediately from ITS. ITS had a number of security concerns regarding the document in that anyone who read the document would know exactly the IT architecture of the program. In addition, they were concerned that the bids would all be similar because we had given them the architecture.

The document also had to be reviewed for approval by the Statewide Technical Architecture group and the product manager for NC Mail. ITS current email tool is an IMAP tool. However, ITS is in the process of launching Microsoft’s integrated Exchange email and calendar tools and plans to launch it in November 2007. Additionally, ITS has been contemplating offering an email archiving service. As a result, ITS has been contemplating offering an email system based on the Microsoft Exchange platform. Because of these impending changes, the Deputy CIO did not want our prototype to conflict with their tools. Also, the Deputy Chief Information Officer was also extremely interested in this project. He was concerned about the design (requiring two password logins) and the possibility that the State Archives might go into production with this tool without further conversations with ITS.

The staff in NC met with the senior enterprise architect and the product manager for NC Mail to explain the project and the interest generated in it from the federal government as well as other states, and to stress that this is simply a pilot project. Should the North Carolina State Archives ever seek to go into production, we will work very closely with ITS. The department’s Deputy CIO gave the group clearance to proceed. In addition, ITS agreed to possibly lend some support to a more integrated tool, a piece of high interest to both Pennsylvania and Kentucky.

## **Programmer Update**

With clearance to proceed from ITS, the staff in NC decided not to pursue the IFB. Instead, we elected to use the supplemental staffing service offered by ITS. This service registers vendors to work on a short term basis. We submitted a “project” through supplemental staffing in October and received twenty one submissions. We interviewed four very qualified programmers and extended an offer to one. However, while waiting for the requisition request to be approved, the programmer was contacted by his previous employer and offered a permanent position. He accepted that offer. The group decided to return to the previous applicant pool and review them before deciding whether or not to re-open the bid.

### **Pennsylvania and Kentucky:**

In this project, Pennsylvania has agreed to produce the training component of this grant. However, because of their centralized environment, they do not yet have permission to install their hmail server for testing. In a September phone conference, Kentucky invited Skip Hunt, head of IT, to participate on the call. Because of the situation in Pennsylvania, it is impossible for Pennsylvania to begin testing and creating training materials for EMCAP without access to how it works. Glen McAninch reported that hmail had been set up on their sever using an SQL server database. Skip Hunt, during that phone conference, offered to create a terminal service in which NC and PA could enter their network remotely as a full client in KY and have access to their hmail server as well as Outlook accounts. This would allow the staff in PA to begin working with the software in order to create the training materials.<sup>1</sup>

As of this writing, each of the team members can use the remote desktop feature to access Kentucky’s virtual desktop. Each team member has been given an account in KY as well as an EMCAP account to begin populating. Also during this time, the State of Pennsylvania re-released the Management Directive on electronic mail. As such, the staff in PA is heavily involved in developing the web-based training for E-mail for Supervisors. Kentucky and Pennsylvania have agreed to create slides and materials for the training component.

Pennsylvania also established a file transfer protocol site for partners to place large files including installation instructions and training materials since many of us face restrictions on the size of email attachments that we can send through the system.

## **Objective 2: Potential Partners**

2. Test the software to determine its scalability, efficiency, and employee compliance, using records retention schedules.

### **Potential Partners**

#### **Pennsylvania:**

Pennsylvania would very much like to work with two entities for project—the Governor’s Office / Office of Correspondence and the Pennsylvania Historical and Museum Commission (PHMC) Executive Office, of which Barbara Franco is the executive director. The internal executives of PMHC have agreed to participate. At this time, the question still outstanding is the issue of using

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<sup>1</sup> In NC, we could use the remote desktop tool in Windows for a couple of weeks. We had to have the firewall opened to allow us to use this and each computer had to have an individual IP address. This request had to go through Information Technology Services.

beta software in a production environment. Pennsylvania's Office for Information Technology (OIT) requires a completed Technical Architecture Review (TAR) document for approval of the beta project; the TAR will be submitted in November.

### **Kentucky:**

The staff in Kentucky has the email from the outgoing commissioner of the Kentucky Department of Libraries and Archives (KDLA) as well as the agreement of the current commissioner of the KDLA to participate. An election has been held and a new administration will be taking office in December 2007. The outgoing Secretary of the Education Cabinet determined that the e-mail of the previous Cabinet Secretary contained no archival records. The Archives plan to work with the new administration to establish archiving procedure for e-mail with Cabinet Secretaries and perhaps the new Governor's constituent e-mail.

### **North Carolina:**

In September, the staff in North Carolina met with Steve Sloan, of State Emergency Management Group. The analyst assigned to this group, Pamela Ingle, has been working with them to get their retention schedules updated over the past year. As a result of this scheduling, we learned that this office uses Lotus Notes as its email software. We approached them about the possibility of their participation in this pilot. During the course of this meeting, we learned that Emergency Management will be migrating to the Microsoft Exchange Platform for their email. Because we are still in active hurricane season, they have elected to wait until November to make this change so as to have a lesser impact on business continuity. Steve Sloan indicated that the Director was meeting with his deputy directors on Monday, September 24, 2007 and he would raise this topic at that meeting. Peter Farmer, head of IT, agreed to assist in any way possible.

We also mentioned the project to Claire Ennis, of the Governor's Office of Community and Citizen Services. We left materials for her to review and told her we would follow up with her about possibly meeting with her about their possible participation.

### **Outreach**

Ricc Ferrante of the Smithsonian Institution Archives approached Kelly about the possibility of submitting a program proposal for the Midwest Archives Conference about the methodologies being employed at different institutions. The program is in Lexington, Kentucky in April 2008. The session was accepted.

Also, during this time, the team put together a session proposal that included Kelly Eubank, Glen McAninch and Riccardo Ferrante for the 2008 Society of American Archivists' annual conference in San Francisco, CA. The proposal was submitted to both the Government Records Section and the Electronic Records Section for consideration of endorsement. Kelly Eubank, the newly elected vice chair of the Government Records Section, recused herself from voting. Mark Myers, the newly elected Vice Chair/Chair Elect of the Electronic Records Section also recused himself from voting. We received notice in October that both sections agreed to endorse the proposal.

**Other News:**

In September, Chris Black, an archivist in the Electronic Records Unit in NC took a new position in the Fiscal Research Division of the NC General Assembly as Digital Information Manager.

During this time, Mark Myers of Kentucky Division for Library and Archives was promoted to Technology Consultant/Electronic Records Archivist.

During this time, Cindy Bendroth of the Pennsylvania State archives was promoted to the position of Division Chief for the Division of Records Administration and Image Services.