TAPER
TUFTS ACCESSIONING PROGRAM FOR ELECTRONIC RECORDS

First Interim Narrative Report
Project Activities January 1, 2008 – June 30, 2008

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INTRODUCTION

The Digital Collections and Archives (DCA) at Tufts University is undertaking a National Historical Publications and Records Commission (NHPRC) Program Expansion Grant project to design, develop, and implement machine-readable submission agreements and records creator records. Work for this project started on January 1, 2008.

Submission agreements and records creator records are essential for archives to systematically accession, arrange, describe, and preserve electronic records. A submission agreement documents the scope and terms of transfer between a records creator and an archives. Archives could use a machine-readable submission agreement to validate the records it accessions and prescribe many of the preservation and management activities it needs to undertake for the records it accessions. Records creator records will document records creators that transfer records to an archives. The creator records will emphasize creators' functions, activities, and recordkeeping systems and enable an archives to *predict* and *plan* for the records it will accession.

The DCA originally intended to hire a project developer to work with project staff (Eliot Wilczek, University Records Manager and Deborah Kaplan, Digital Resources Archivist) to produce an XML schema, web-based builder tool, and Fedora content model for submission agreements. The project developer job was an 18-month term position that was going to start on July 1, 2008. However, the search to fill this position did not yield satisfactory results. The project staff concluded that filling the position would not be the most efficient way to produce the project deliverables. The DCA reconsidered its staffing strategy and is working on hiring a consultant to create the XML schema, builder tool, and content model. Using a consultant instead of a project developer will enable the DCA to complete its original set of deliverables and expand the project's scope of work to include the development and implementation of an XML schema, builder tool, and Fedora content model for records creator records. This approach will also allow the DCA to hire a project archivist during the second half of the grant to produce submission agreements and records creator records at a production level. This new course of action required a revised plan of work, which the DCA sent to the NHPRC on August 12, 2008.

PLAN OF WORK REVISION

The key revisions to the plan of work are:

- Contract with a vendor to complete the XML submission agreement work instead of hiring a project developer.

- Develop or adapt an XML schema, builder tool, and Fedora content model for records creator records, in addition to the original deliverables for submission agreements.

- Hire a project archivist to populate records creator records and submission agreements.

The revised plan of work now has three core tasks: develop submission agreements, develop records creator records, and integrate the submission agreements and records creator records into the work of the DCA. Each task has a set of sub-tasks. The tasks and subtasks are outlined below:

Task One *Submission Agreements*
Task 1-1 Develop Submission Agreement Elements and Use Cases
Task 1-2 Develop Submission Agreement Schema
Task 1-3 Develop Submission Agreement Builder Tool
Task 1-4 Develop Submission Agreement Content Model

Task Two *Records Creator Records*
Task 2-1 Develop Records Creator Records Elements and Use Cases
Task 2-2 Develop Records Creator Records Schema
Task 2-3 Develop Records Creator Records Builder Tool
Task 2-4 Develop Records Creator Records Content Model

Task Three *Deployment*
Task 3-1 Implement Submission Agreements
Task 3-2 Implement Records Creator Records
Task 3-3 Populate Submission Agreements and Record Creator Records

The project now has the following deliverables:

1. Submission agreement XML schema

2. Submission agreement builder tool

3. Submission agreement content model

4. Records creator record XML schema

5. Records creator record builder tool

6. Records creator record content model

7. Accessioning and description procedures that incorporate submission agreements and records creator records

8. Training materials on managing records (including electronic) that include information on transferring records to the DCA using submission agreements and contributing to records creator records.

The project now has the following performance objectives to achieve by the conclusion of the three-year grant period:

- The DCA will document all of its accessions of electronic and paper records with submission agreements.

- The DCA will have 50 Tufts offices documented in records creator records.

- The DCA will preserve its submission agreements and records creator records in its preservation repository and manage a permanent connection between the submission agreements, the records they describe, and the entities that create the records.

- The DCA will double its current average annual accession of records to 80 accessions per year. Half of those accessions (40 accessions per year) will include electronic records.

- The DCA will produce a submission agreement XML schema, a tool for generating submission agreements, and a submission agreement content model.

- The DCA will produce a records creator record XML schema, a tool for generating records creator records, and a records creator record content model.

SUBMISSION AGREEMENT ELEMENTS AND USE CASES DEVELOPMENT

The DCA has undertaken some preliminary work on defining submission agreement elements and writing use cases. This worked was delayed by the DCA's need to adjust its project staffing strategies and revise its plan of work. The DCA expects to make significant progress on producing the use cases and element requirements in August and September 2008.

PROJECT DISSEMINATION

The DCA has a created a website for project at http://dca.tufts.edu/?pid=49. The site goes live on August 15, 2008. The DCA will use the website to disseminate project information, announcements, and deliverables.