



Tufts Accessioning Program
For Electronic Records
**Applications for
Records Management**

**Society of
American
Archivist 2011**

Veronica Martzahl
Records Archivist

Tufts
UNIVERSITY

Digital Collections
and Archives

August 27, 2011

Hyatt Regency Chicago
Chicago, IL

Introduction

Digital Collections and Archives (DCA)

- Records Management Program
- University Archives
- Fedora Commons Repository managed with Educational & Scholarly Technology Services



TAPER

Tufts Accessioning Program for Electronic Records

- Funded by the National Historical Publications & Records Commission starting January, 2008
- Two main components
 - Records Context Records (RCRs) utilizing Encoded Archival Context (EAC)
 - Submission Agreement Builder Tool



EAC and RCR

Encoded Archival Context and Record Context Records

- Encoded Archival Context - Corporate Bodies, Persons, and Families (EAC-CPF)
- Structure Standard
 - Not a content standard
 - XML schema

EAC and RCR

Encoded Archival Context and Record Context Records

- Early mock-ups available for review in the Tufts Digital Library - dl.tufts.edu
- Currently reworking our content model for RCRs

```
□ <eac-cpf>
  <control> ... </control>
  <cpfDescription>
    <identity> ... </identity>
    <description> ... </description>
    <relations> ... </relations>
  </cpfDescription>
</eac-cpf>
```



SABT

Submission Agreement Builder Tool

- Original focus on the transfer and accessioning of electronic records
- Generalized to all accessions, regardless of format

SABT

Submission Agreement Builder Tool

- Creation of Standing Submission Agreements
 - Templates for the terms and conditions of all future transfers
- Creation of Regular Submission Agreements
 - Document for each individual transfer, based on the terms and conditions present in the Standing Submission Agreement

Standing Submission Agreements

Setting the terms and conditions of transfer

Define the Record Creator



The screenshot shows the TAPER web application interface. At the top left is the Tufts University logo. To its right is the text "Digital Collections & Archives". A search bar is located in the top right corner with a "GO >" button and radio buttons for "this site", "tufts.edu", and "people". Below the header is a navigation bar with "TAPER Home". The main content area is divided into a left sidebar and a main panel. The sidebar contains a welcome message "Welcome, vmartz01.", a "Log out of Form" button, and a "Submission Tools" section with links for "Homepage", "Transfer Agreement Form", and "DCA administrative tools". The main panel features a header image of three men in suits at a table. Below the image is the section "Manage Offices and Units" with the text "From this screen, you can either add a new office or unit or edit an existing one." Underneath is the "Add a new office or unit" section, which includes a "Name" label and a text input field containing "Hirsh Health Sciences Library", followed by an "Update office" button. The "Edit an office or unit" section follows, with the text "Click the name of an office or unit below to edit or delete it." and a list of links: American Antiquarian Society, Center for Campus Life, Center for Interdisciplinary Studies, Committee on Student Life, Cummings School of Veterinary Medicine, and Department of Art and Art History.

Standing Submission Agreements

Setting the terms and conditions of transfer

Define the Record Producer



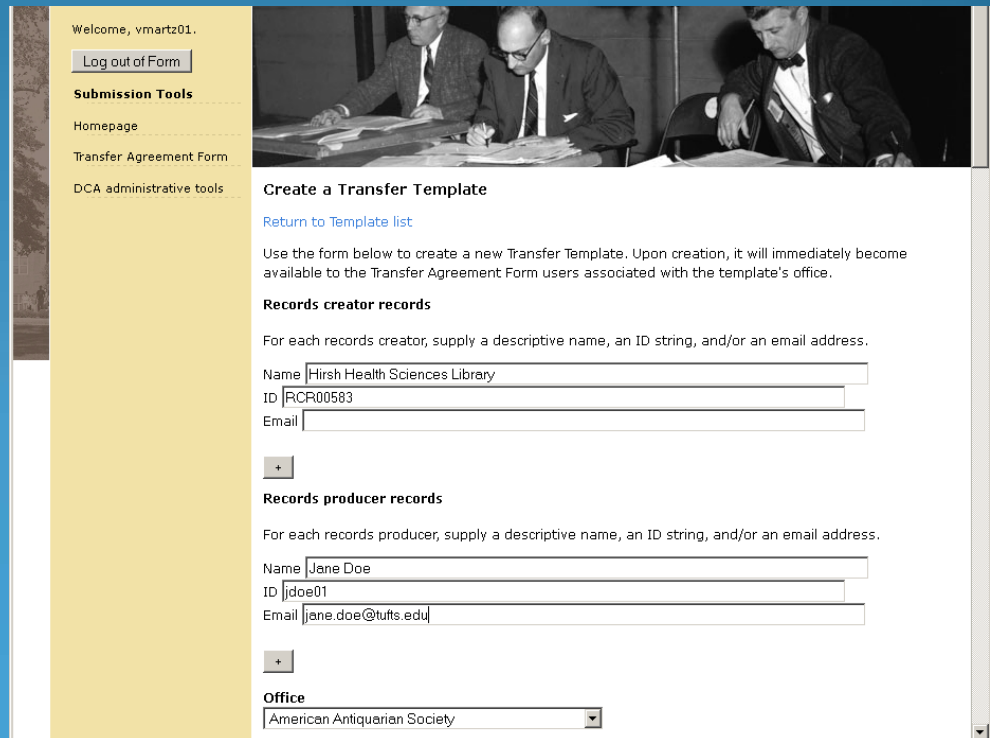
The screenshot shows the TAPER web application interface. At the top left is the Tufts University logo. To its right is the text "Digital Collections & Archives". A search bar is located in the top right corner with the text "Search" and "GO >". Below the search bar are radio buttons for "this site", "tufts.edu", and "people". A navigation bar below the header contains the text "TAPER Home". The main content area is divided into two columns. The left column is a yellow sidebar with the following items: "Welcome, vmartz01.", a "Log out of Form" button, "Submission Tools", "Homepage", "Transfer Agreement Form", and "DCA administrative tools". The right column features a black and white photograph of three men in suits looking at documents. Below the photo is the "Manage Users" section, which includes the text "From this screen, you can either add a new user or edit an existing user." and two sub-sections: "Add a new user" with a link "Click here to add a new user." and "Edit a user" with a list of users: "Betsey Anderson, bander01" (Finance Division, active), "Neil Aronson, narons01" (Peace and Justice Studies Program, active), and "Lawrence Bacow, lbacow01".

Standing Submission Agreements

Setting the terms and conditions of transfer

Set up the template

- Associate template with the creator
- Indicate producers



Welcome, vmartz01.

[Log out of Form](#)

Submission Tools

- Homepage
- Transfer Agreement Form
- DCA administrative tools

Create a Transfer Template

[Return to Template list](#)

Use the form below to create a new Transfer Template. Upon creation, it will immediately become available to the Transfer Agreement Form users associated with the template's office.

Records creator records

For each records creator, supply a descriptive name, an ID string, and/or an email address.

Name

ID

Email

Records producer records

For each records producer, supply a descriptive name, an ID string, and/or an email address.

Name

ID

Email

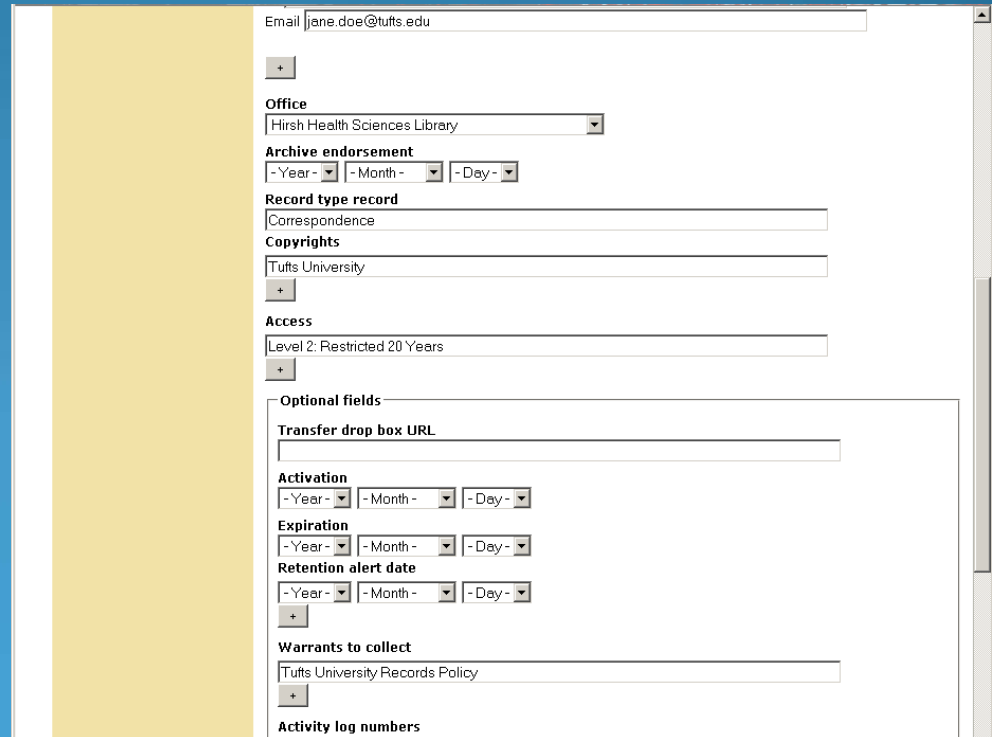
Office

Standing Submission Agreements

Setting the terms and conditions of transfer

Set up the template

- Endorsement date to finalize agreement between archives and producer
- Record type
- Copyrights
- Access



The screenshot shows a web form for setting up a template. The form includes the following fields and sections:

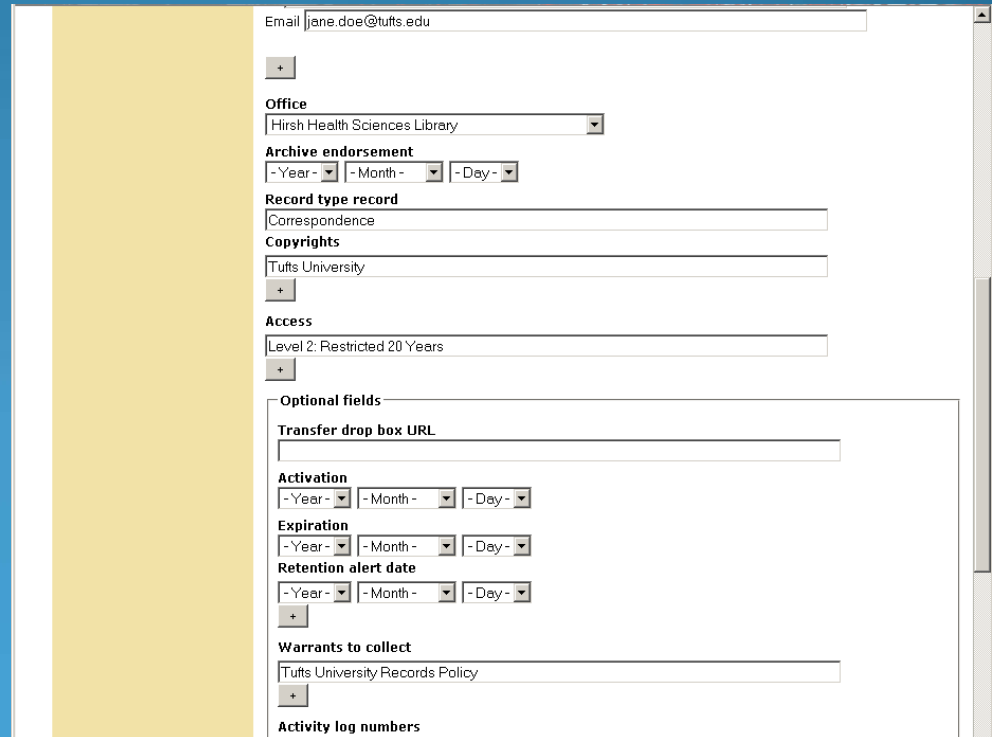
- Email:** jane.doe@tufts.edu
- Office:** Hirsh Health Sciences Library
- Archive endorsement:** Three date pickers for Year, Month, and Day.
- Record type record:** Correspondence
- Copyrights:** Tufts University
- Access:** Level 2: Restricted 20 Years
- Optional fields:**
 - Transfer drop box URL:** (empty text field)
 - Activation:** Three date pickers for Year, Month, and Day.
 - Expiration:** Three date pickers for Year, Month, and Day.
 - Retention alert date:** Three date pickers for Year, Month, and Day.
- Warrants to collect:** Tufts University Records Policy
- Activity log numbers:** (empty text field)

Standing Submission Agreements

Setting the terms and conditions of transfer

Set up the template

- Connection to an electronic dropbox to deposit files
- Activation date
- Expiration date
- Retention alert date
- Warrant to collect



The screenshot shows a web form for setting up a Standing Submission Agreement template. The form is titled "Standing Submission Agreements" and is part of the TAPER application. The form is divided into several sections, each with a plus sign icon to expand or collapse it. The sections are:

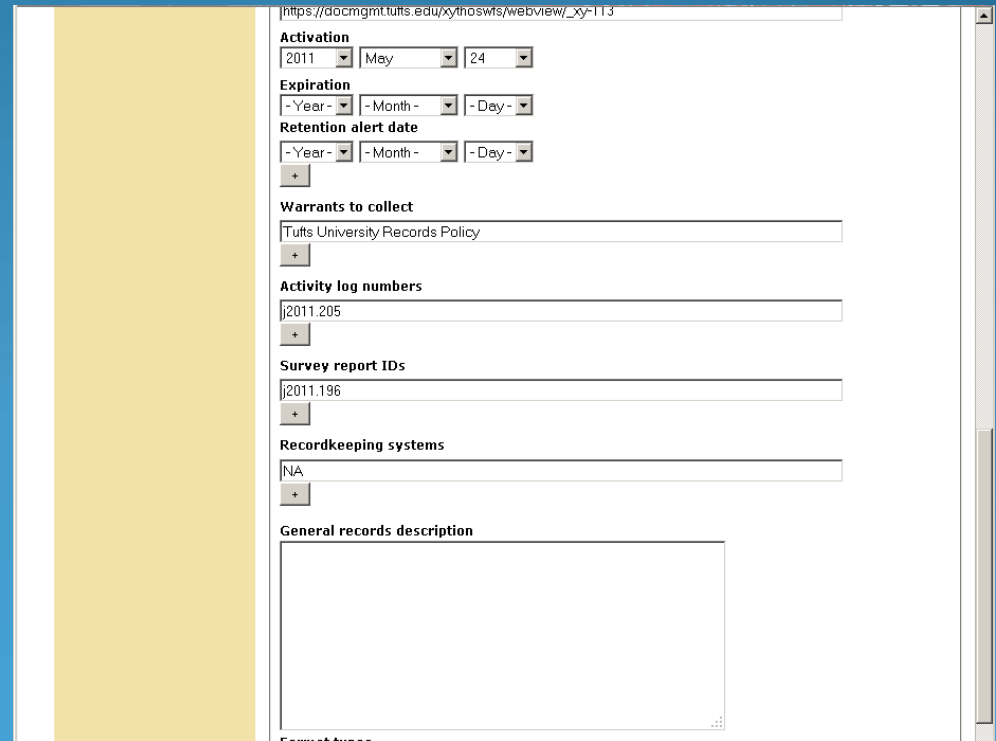
- Email:** jane.doe@tufts.edu
- Office:** Hirsh Health Sciences Library
- Archive endorsement:** -Year- -Month- -Day-
- Record type record:** Correspondence
- Copyrights:** Tufts University
- Access:** Level 2: Restricted 20 Years
- Optional fields:**
 - Transfer drop box URL:** (empty text field)
 - Activation:** -Year- -Month- -Day-
 - Expiration:** -Year- -Month- -Day-
 - Retention alert date:** -Year- -Month- -Day-
- Warrants to collect:** Tufts University Records Policy
- Activity log numbers:** (empty text field)

Standing Submission Agreements

Setting the terms and conditions of transfer

Set up the template

- Internal Tracking number
- Recordkeeping System
- Records Description



The screenshot shows a web browser window with the URL https://docmgmt.tufts.edu/xythoswfs/webview/_xy-113. The form contains the following sections:

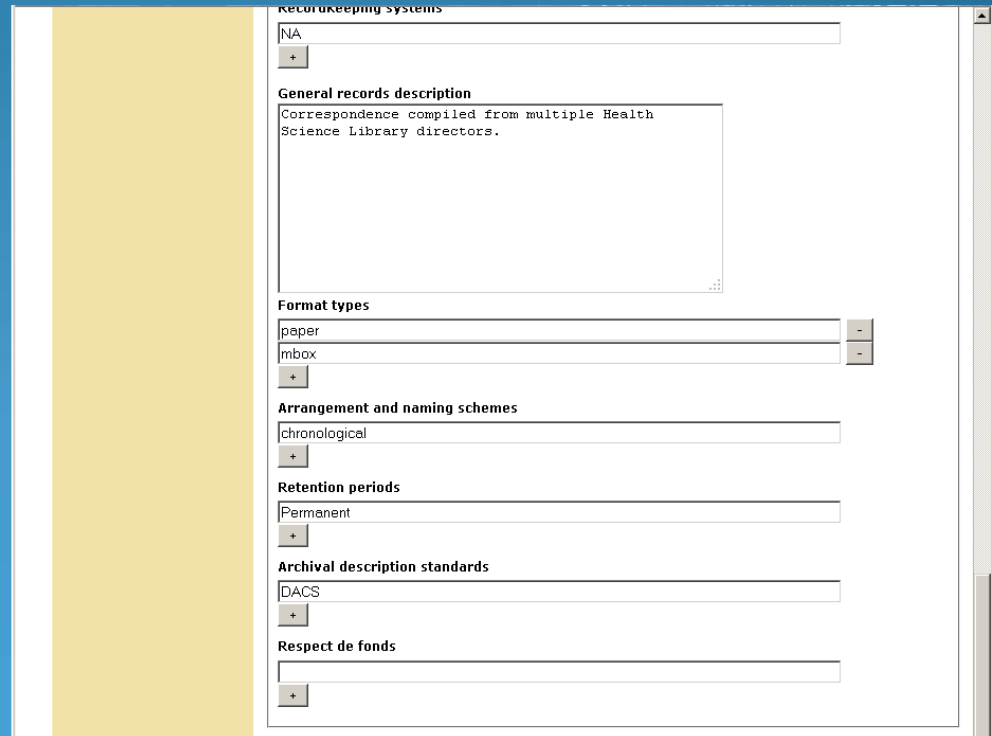
- Activation:** Year: 2011, Month: May, Day: 24.
- Expiration:** -Year-, -Month-, -Day-.
- Retention alert date:** -Year-, -Month-, -Day-.
- Warrants to collect:** Tufts University Records Policy.
- Activity log numbers:** j2011.205.
- Survey report IDs:** j2011.196.
- Recordkeeping systems:** NA.
- General records description:** A large text area for entering the description.

Standing Submission Agreements

Setting the terms and conditions of transfer

Set up the template

- Format
- Arrangement and naming
- Retention
- Description Standards
- Collection



The screenshot shows a web-based interface for configuring a Standing Submission Agreement template. The interface is titled "Recordkeeping Systems" and features several sections for defining the template's parameters:

- Recordkeeping Systems:** A dropdown menu currently set to "NA".
- General records description:** A text area containing the description: "Correspondence compiled from multiple Health Science Library directors."
- Format types:** A list of format types including "paper" and "mbox".
- Arrangement and naming schemes:** A dropdown menu currently set to "chronological".
- Retention periods:** A dropdown menu currently set to "Permanent".
- Archival description standards:** A dropdown menu currently set to "DACS".
- Respect de fonds:** A dropdown menu currently set to an empty value.

Each section includes a "+" button to add or modify items, and some sections have "-" buttons to remove items. The interface is presented in a windowed format with a scrollable content area.

Regular Submission Agreements

Documenting each transfer

What the producer fills in

- SIP creation
- How much and what
- Format
- Date range



The screenshot shows the TAPER web application interface. At the top left is the Tufts University logo. The main header reads "Digital Collections & Archives". A search bar is located at the top right. Below the header, the page is titled "TAPER Home". A welcome message "Welcome, vmartz01." is displayed, along with a "Log out of Form" button. A "Submission Tools" section contains links for "Homepage", "Transfer Agreement Form", and "DCA administrative tools". The main content area is titled "Transfer Agreement Form" and contains several sections for data entry:

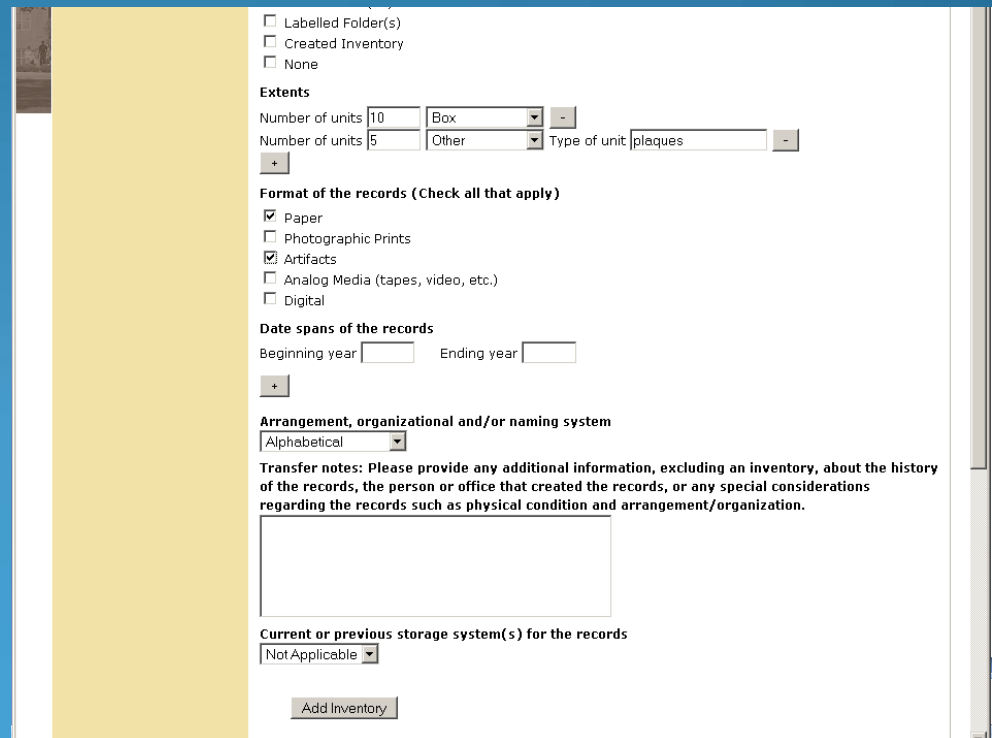
- How have the records been prepared for transfer? (Check all that apply)**
 - Labelled Box(es)
 - Labelled Folder(s)
 - Created Inventory
 - None
- Extents**
 - Number of units: - Type of unit:
 -
- Format of the records (Check all that apply)**
 - Paper
 - Photographic Prints
 - Artifacts
 - Analog Media (tapes, video, etc.)
 - Digital
- Date spans of the records**
 - Beginning year: Ending year:

Regular Submission Agreements

Documenting each transfer

What the producer fills in

- Arrangement and naming
- Transfer notes
- Storage System
- Add inventory



Labelled Folder(s)
 Created Inventory
 None

Extents
Number of units -
Number of units Type of unit -

Format of the records (Check all that apply)
 Paper
 Photographic Prints
 Artifacts
 Analog Media (tapes, video, etc.)
 Digital

Date spans of the records
Beginning year Ending year

Arrangement, organizational and/or naming system

Transfer notes: Please provide any additional information, excluding an inventory, about the history of the records, the person or office that created the records, or any special considerations regarding the records such as physical condition and arrangement/organization.

Current or previous storage system(s) for the records

Regular Submission Agreements

YouTube Instructional Video

http://youtu.be/jolH27Pcl_4

Or search for Transfer
Agreement Form



Applications for Record Management

Established terms of submission

Defined records series

Strong mandate and compliance



TAPER

Applications for Records Management

Veronica Martzahl
Records Archivist
veronica.martzahl@tufts.edu

Tufts
UNIVERSITY

Digital Collections
and Archives

Title Computerized research at Tufts'
Eliot-Pearson Child study center, 1975.

Publisher Digital Collections and
Archives, Tufts University

Identifier DGB:MS171.069

Photographer Spencer Grant

**Society of American
Archivists, 2011
Chicago, IL**