



**Digital Collections and Archives**

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# **TAPER TUFTS ACCESSIONING PROGRAM FOR ELECTRONIC RECORDS**

**Second Interim Narrative Report**  
Project Activities July 1, 2008 – December 31, 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 and is scheduled to end on December 31, 2010.

## STAFFING AND CONTRACTING

In December 2008 Tufts University endorsed a contract with Appleseed Software Consulting of Somerville, Massachusetts to complete most of the technical work for the TAPER Project. Appleseed will produce the following deliverables for Tufts:

1. Submission agreement XML schema
2. Submission agreement builder tool
3. Submission agreement builder tool integration with Tufts' LDAP
4. Submission agreement Fedora content model
5. Submission agreement Fedora disseminator
6. Records creator XML schema
7. Records creator record builder tool
8. Records creator record Fedora content model

The DCA tapped Appleseed for this project after undergoing a vigorous consultant selection process that followed Tufts' consultant policies.

The DCA originally intended to hire a project developer to work with project staff to develop the deliverables listed above. 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 altered the project to hire an XML consultant and project archivist rather than hire a project developer. The DCA documented this change in its August 12, 2008 revised plan of work.<sup>1</sup>

## ESTABLISHING COLLABORATIVE WORK ENVIRONMENT

Project staff met with Appleseed on December 15, 2008 to map out a strategy for collaboratively developing the project deliverables, particularly the submission agreement XML schema. In addition, project staff gave Appleseed access to the project wiki space, turning the wiki into TAPER's collaborative

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<sup>1</sup> "Revised Plan of Work" August 12, 2008, [http://dca.tufts.edu/downloads/plan-of-work\\_revised\\_tufts.edu](http://dca.tufts.edu/downloads/plan-of-work_revised_tufts.edu). Document listed at <http://dca.tufts.edu/?pid=136>.



work environment. The DCA also worked with Appleseed to establish the consultant's own Fedora 3 instance to support its work for the TAPER Project.

## SUBMISSION AGREEMENT XML SCHEMA

The DCA drafted the following documents to guide Appleseed's development of the submission agreement schema:<sup>2</sup>

1. Submission Agreements: Overview  
Provides a brief summary of submission agreements, referencing the "Ingest Guide," which describes the need for submission agreements. The Ingest Guide is a deliverable of the Fedora and Preservation of University Records project undertaken by Tufts University and Yale University and funded by the NHPRC (2004-083).<sup>3</sup>
2. Submission Agreements: Glossary of Terms  
A glossary of seven terms related to submission agreements. Explicitly documenting definitions should help the DCA and Appleseed avoid misunderstandings. Most of the terms come from either the "Ingest Guide" or the Reference Model for an Open Archival Information System (OAIS).<sup>4</sup> The DCA expects this glossary to grow over the course of the project.
3. Submission Agreements: Element Set  
This is a description of the elements that form the basis of the submission agreement XML schema. The set includes 23 elements organized into seven categories:

Element Category	Element
Submission Agreement Management	Submission Agreement ID
	Endorsement Date
Archive	Archive ID
	Warrant to Collect
Ingest Project Management	Accession Number
	Activity Log Number
	Survey Report ID
Producer	Records Creator Records
	Recordkeeping System
Records	General Records Description
	Record Type Record
	Format Type
	Date Span
	Extent
	Copyright
	Access
	Arrangement and Naming Scheme
Producer to Archive	Retention Period
	SIP Creation and Transfer
	Transfer Date

<sup>2</sup> All five documents are listed and available at <http://dca.tufts.edu/?pid=136>.

<sup>3</sup> Fedora and the Preservation of University Records, <http://dca.lib.tufts.edu/features/nhprc/index.html>. Ingest Guide, <http://dca.lib.tufts.edu/features/nhprc/reports/ingest/index.html> and <http://repository01.lib.tufts.edu:8080/fedora/get/tufts:UA069.004.001.00006/bdef:TuftsPDF/getPDF>.

<sup>4</sup> Reference Model for an Open Archival Information System (OAIS), <http://public.ccsds.org/publications/archive/650x0b1.pdf>.



Element Category (continued)	Element Category (continued)
Archival Management	SIP to AIP
	Archival Description Standard
	Respect de Fonds

For each element this document lists:

- Element category
- Description and purpose
- Data properties
- Examples and notes on how the element could be used.

4. Submission Agreements: Standing vs. Regular Agreement

This provides a description of the difference between standing and regular submission agreements. A regular agreement covers a single accession of records from a producer to an archive. A standing agreement covers a serial ingest project—an agreement between a producer and an archives to transfer records on a recurring basis. This would typically include regularly produced records, such as annual reports, publications, or meeting minutes.

5. Submission Agreements: Case Study One

This case study illustrates the heterogeneous nature of ingest projects. It demonstrates how a single ingest project can have multiple series that have different attributes.

These are all currently draft documents that will like change over the course of the DCA and Appleseed's iterative development of the submission agreement schema.

## WEB SITE

The DCA posted the following items to the TAPER Project website, which is at

<http://dca.tufts.edu/?pid=49>:

- Project Documentation <http://dca.tufts.edu/?pid=136>  
This includes project application materials, the first interim report to the NHPRC, and the working documents listed above.
- Deliverables <http://dca.tufts.edu/?pid=137>  
Project staff will post deliverables on this page.
- Announcements, Presentations, Articles <http://dca.tufts.edu/?pid=138>  
Project staff will post project announcements, presentations, and articles on this page.
- Project Personnel <http://dca.tufts.edu/?pid=135>.