



**Tufts**  
UNIVERSITY

**Digital Collections and Archives**

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

**Final Narrative Report**

Project Activities January 1, 2011 – June 30, 2011

*Submitted*

October 12, 2011

**NHPRC Grant Number**

RE10005-08

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Project Director  
University Records Manager



## **Introduction**

The Digital Collections and Archives (DCA) at Tufts University has completed a National Historical Publications and Records Commission (NHPRC) Program Expansion Grant project to design, develop, and implement machine-readable submission agreements and records context records. Work for this project started on January 1, 2008 and ended on June 30, 2011. The DCA has fully implemented the machine-readable submission agreements to document accessions and is producing records context records encoded in EAC-CPF as part of its part of its normal descriptive practices.

## **Submission Agreement Schema and Builder Tool**

During the TAPER Project the DCA created an XML schema for submission agreements and a Submission Agreement Builder Tool.

### ***XML Schema***

The DCA developed two types of submission agreements that work together to generate machine-readable documentation of archival transfers. A standing submission agreement defines the terms and conditions of a specific records creator transferring a specific type of records to an archives. A regular submission agreement documents the specific transfer instance, inheriting the terms and conditions of the corresponding standing submission agreement and adding details specific to a particular transfer, such as the date of transfer and the extent of materials. For example, a standing submission agreement documents that the Department of Widgets can transfer reports to the archives. An associated regular submission agreement would document the Department of Widgets transferred a set of 10 reports to the archives on July 1, 2011.

The DCA created three XML files for the XML schemas of the standing and regular submission agreements:

- **rsa.xsd** Regular submission agreement
- **ssa.xsd** Standing submission agreement
- **sa\_common.xsd** Common elements of regular and standing submission agreements

The three schema files are available at <http://dca.lib.tufts.edu/schema/er/>.

### ***Submission Agreement Builder Tool***

The DCA also developed the Submission Agreement Builder Tool (SABT), which serves as the tool to create standing and regular submission agreements. The SABT serves as a tool for archivists to set up standing submission agreements, administer regular submission agreements, and manage important



components of accessioning. The SABB also serves as a tool for records creators or producers to enter information about archival transfers.

The SABB code is available at <https://github.com/dcatufts/sabb>. The user interface of the SABB is at <https://dca.lib.tufts.edu/taper/auth/login>. One cannot use this interface without a Tufts UTLN account.

The DCA created three pairs of instructional videos and guides that walk through the steps of using the SABB:

- For Tufts employees: Using the Tufts University Transfer Agreement Form  
Video [http://www.youtube.com/watch?v=jolH27Pcl\\_4](http://www.youtube.com/watch?v=jolH27Pcl_4)  
PDF [https://dca.lib.tufts.edu/taper-docs/taf\\_user-guide.pdf](https://dca.lib.tufts.edu/taper-docs/taf_user-guide.pdf)
- For archivists: Setting up Tufts University Transfer Agreement Forms  
Video <http://www.youtube.com/watch?v=lfeT6eyslel>  
PDF [https://dca.lib.tufts.edu/taper-docs/setup-taf\\_archivists-guide.pdf](https://dca.lib.tufts.edu/taper-docs/setup-taf_archivists-guide.pdf)
- For archivists: Finalizing the Tufts University Transfer Agreement Form  
Video <http://www.youtube.com/watch?v=ecZZr2PwaOY>  
PDF [https://dca.lib.tufts.edu/taper-docs/finalize-taf\\_archivists-guide.pdf](https://dca.lib.tufts.edu/taper-docs/finalize-taf_archivists-guide.pdf)

The training materials refer to transfer agreement forms, rather than the SABB or submission agreements. The DCA decided that the “transfer agreement form” was a more user-friendly and intuitive term of art for Tufts records creators than the “submission agreement builder tool” or “submission agreements.”

### ***Implementation***

The DCA uses the submission agreements and the SABB as regular production-level tools. Both tools are at the center of the DCA’s accessioning workflow. Together, the tools encourage the submission of inventoried accessions by prompting records creators to enter or attach inventories to their transfer documentation. The tools also streamline the transfer of electronic records by integrating a dropbox tool in Xyθος, a document management system, with the DCA’s accessioning process. In general, the SABB and submission agreements provide the DCA with the most benefit for managing regular accessions from Tufts offices. The SABB does not work as well for one-off accessions, such as an alumni giving the DCA assorted Tufts memorabilia, because the overhead of creating a standing and regular submission agreement comes close to outweighing the benefit of carefully documenting a non-recurring accession.

The SABB has also proven to be an adaptable set of code. The DCA used the SABB code as the basis for developing a submission form for faculty and student scholarly work. The form is in production use at <https://dca.lib.tufts.edu/submissions/auth/login/>.



## Record Context Records

The DCA created 51 full record context records (RCRs), all of which describe Tufts departments, offices, and libraries. The RCRs are available at

[http://dl.tufts.edu/view\\_collection.jsp?pid=tufts:UA069.006.DO.RCR](http://dl.tufts.edu/view_collection.jsp?pid=tufts:UA069.006.DO.RCR). The DCA delivers these RCRs through its Fedora Commons-based digital library. The RCRs are encoded in EAC-CFP. The DCA manages its RCR data in its collections management database.

The DCA drafted approximately 700 minimum-levels RCRs. These RCRs serve as an internal tool that help DCA staff identify the Tufts entities that should be documented and described. These RCRs are not robust enough for public display.

Three procedures govern the creation of RCRs at the DCA:

- DAT-040 DCA Best Practices for EAC  
<http://sites.tufts.edu/dca/files/2011/03/DAT-040DCABestPracticesforEAC.pdf>  
This is the DCA's core procedure for encoding RCRs in EAC-CPF. These are local procedures that meet the particular needs of the DCA. While this procedure may be a useful illustration of how one archives implements EAC, these procedures are *not* designed to serve as a de-facto set of EAC best practices for the archival community.
- PRO-001 Writing an authoritative history of Tufts Units  
<http://sites.tufts.edu/dca/files/2011/03/PRO-001WritinganauthoritativehistoryofTuftsUnits.pdf>  
This procedure distills key DACS rules into local guidelines for writing corporate body histories at the DCA.
- PRO-002 Writing an authoritative biography  
<http://sites.tufts.edu/dca/files/2011/03/PRO-002Writinganauthoritativebiography1.pdf>  
This procedure distills key DACS rules into local guidelines for writing person histories at the DCA.

## *Change in Collections Management Tool*

The DCA is in the process of moving from its current commercial collections management tool to an internally designed open-source solution. After implementing the new collections management tool, the DCA will work to link archival description and RCRs (stored in the collections management tool) with submission agreement data (stored in the SABB). The DCA will incorporate features into the new collections management tool that will enable it to manage these links much more strongly and flexibly than the DCA's current collections management tool. This will help the DCA fully integrate submission agreement data into its management of its archival collections. The DCA will make the code of the collection management tool freely available to the public.



## **Project Staff**

### ***Digital Collections and Archives***

Eliot Wilczek, Project Director and University Records Manager

Krista Ferrante, Project Archivist

Deborah Kaplan, Digital Resources Archivist

Veronica Martzahl, Records Archivist

Lukasz (Luke) Pomorski, Graduate Student Assistant

Stacie Williams, Graduate Student Assistant

Betsy Sherman, Graduate Student Assistant

### ***Consultant***

Appleseed Software Consulting

## **Communication & Outreach**

### ***Website***

The TAPER Project website is available at <http://bit.ly/mUak55>. The website includes, project documentation, deliverables, presentations, and a list of project personnel.

### ***Training Material***

Instructional videos and guidelines for using the SABT:

- For Tufts employees: Using the Tufts University Transfer Agreement Form  
Video [http://www.youtube.com/watch?v=jolH27Pcl\\_4](http://www.youtube.com/watch?v=jolH27Pcl_4)  
PDF [https://dca.lib.tufts.edu/taper-docs/taf\\_user-guide.pdf](https://dca.lib.tufts.edu/taper-docs/taf_user-guide.pdf)
- For archivists: Setting up Tufts University Transfer Agreement Forms  
Video <http://www.youtube.com/watch?v=lfeT6eyslel>  
PDF [https://dca.lib.tufts.edu/taper-docs/setup-taf\\_archivists-guide.pdf](https://dca.lib.tufts.edu/taper-docs/setup-taf_archivists-guide.pdf)
- For archivists: Finalizing the Tufts University Transfer Agreement Form  
Video <http://www.youtube.com/watch?v=ecZZr2PwaOY>  
PDF [https://dca.lib.tufts.edu/taper-docs/finalize-taf\\_archivists-guide.pdf](https://dca.lib.tufts.edu/taper-docs/finalize-taf_archivists-guide.pdf)

Procedures for DCA staff to create RCRs:

- DAT-040 DCA Best Practices for EAC  
<http://sites.tufts.edu/dca/files/2011/03/DAT-040DCABestPracticesforEAC.pdf>
- PRO-001 Writing an authoritative history of Tufts Units  
<http://sites.tufts.edu/dca/files/2011/03/PRO-001WritinganauthoritativehistoryofTuftsUnits.pdf>
- PRO-002 Writing an authoritative biography  
<http://sites.tufts.edu/dca/files/2011/03/PRO-002Writinganauthoritativebiography1.pdf>

### ***Presentations***

- Krista Ferrante, “TAPER: Tufts Accessioning Program for Electronic Records.” Society of American Archivists annual conference. August 2010. Washington D.C.  
[http://sites.tufts.edu/dca/files/2011/03/saa\\_2011-08-27.pdf](http://sites.tufts.edu/dca/files/2011/03/saa_2011-08-27.pdf)



- Krista Ferrante, “Creating Local Context using EAC.” New England Archivist meeting. April 2011. Brown University.  
[http://sites.tufts.edu/dca/files/2011/03/nea\\_2011-04-01.pdf](http://sites.tufts.edu/dca/files/2011/03/nea_2011-04-01.pdf)
- Veronica Martzahl, “Tufts Accessioning Program for Electronic Records: Applications for Records Management.” Society of American Archivists annual conference. August 2011. Chicago.  
[http://sites.tufts.edu/dca/files/2011/03/saa\\_2010-08-15.pdf](http://sites.tufts.edu/dca/files/2011/03/saa_2010-08-15.pdf)
- Veronica Martzahl, “A Tufts TAPER Project Tool: The Transfer Agreement Form.” Best Practices Exchange, October 2011. Lexington, Kentucky.

### Articles

DCA staff are writing an article about its implementation of EAC to create record context records with the aim of publishing it as a case study in *The American Archivist*. DCA staff are also writing an article about its development and use of the SABT with the aim of publishing it in *D-Lib*.

### Project Deliverables

*From Revised Plan of Work August 12, 2008*

| Deliverable   | Status   |
|---|--|
| 1. Submission agreement XML schema  | The DCA created the schemas for the regular and standing submission agreements and a schema containing common elements for both submission agreements. All three schemas are accessible at <a href="http://dca.lib.tufts.edu/schema/er/">http://dca.lib.tufts.edu/schema/er/</a> .   |
| 2. Submission agreement builder tool  | The DCA created the submission agreement builder tool. The SABT code is available at <a href="https://github.com/dcatufts/sabt">https://github.com/dcatufts/sabt</a> .   |
| 3. Submission agreement content model   | The DCA created a Fedora Commons content model for submission agreements. The content model code is available at <a href="https://github.com/dcatufts/content-models/tree/master/fedora_sans_hydra">https://github.com/dcatufts/content-models/tree/master/fedora_sans_hydra</a> . The DCA does not use this content model as a production tool because it will be managing submission agreements in its collections management system rather than its Fedora Commons-based repository as originally planned.  |
| 4. Records context record XML schema  | The DCA adopted EAC-CPF for its RCR XML schema.  |
| 5. Records context record builder tool  | The DCA uses its collections management database to create RCRs.   |
| 6. Records context record content model   | The DCA created a Fedora Commons content model for submission agreements. The content model code is available at <a href="https://github.com/dcatufts/content-models/tree/master/fedora_sans_hydra">https://github.com/dcatufts/content-models/tree/master/fedora_sans_hydra</a> .   |
| 7. Accessioning and description procedures that incorporate submission agreements and records context records | The DCA created procedures for using the SABT and creating and managing submission agreements and for creating and encoding RCRs.<br><br><i>Submission Agreement/SABT procedures</i> <ul style="list-style-type: none"> <li>• For Tufts employees: Using the Tufts University Transfer Agreement Form<br/>Video <a href="http://www.youtube.com/watch?v=jolH27Pcl_4">http://www.youtube.com/watch?v=jolH27Pcl_4</a><br/>PDF <a href="https://dca.lib.tufts.edu/taper-docs/taf_user-guide.pdf">https://dca.lib.tufts.edu/taper-docs/taf_user-guide.pdf</a></li> </ul> |



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|   | <ul style="list-style-type: none"><li>• For archivists: Setting up Tufts University Transfer Agreement Forms<br/><i>Video</i> <a href="http://www.youtube.com/watch?v=lfeT6eysleI">http://www.youtube.com/watch?v=lfeT6eysleI</a><br/><i>PDF</i> <a href="https://dca.lib.tufts.edu/taper-docs/setup-taf_archivists-guide.pdf">https://dca.lib.tufts.edu/taper-docs/setup-taf_archivists-guide.pdf</a></li><li>• For archivists: Finalizing the Tufts University Transfer Agreement Form<br/><i>Video</i> <a href="http://www.youtube.com/watch?v=ecZZr2PwaOY">http://www.youtube.com/watch?v=ecZZr2PwaOY</a><br/><i>PDF</i> <a href="https://dca.lib.tufts.edu/taper-docs/finalize-taf_archivists-guide.pdf">https://dca.lib.tufts.edu/taper-docs/finalize-taf_archivists-guide.pdf</a></li></ul> <p><i>RCR procedures</i></p> <ul style="list-style-type: none"><li>• DAT-040 DCA Best Practices for EAC<br/><a href="http://sites.tufts.edu/dca/files/2011/03/DAT-040DCABestPracticesforEAC.pdf">http://sites.tufts.edu/dca/files/2011/03/DAT-040DCABestPracticesforEAC.pdf</a></li><li>• PRO-001 Writing an authoritative history of Tufts Units<br/><a href="http://sites.tufts.edu/dca/files/2011/03/PRO-001WritinganauthoritativehistoryofTuftsUnits.pdf">http://sites.tufts.edu/dca/files/2011/03/PRO-001WritinganauthoritativehistoryofTuftsUnits.pdf</a></li><li>• PRO-002 Writing an authoritative biography<br/><a href="http://sites.tufts.edu/dca/files/2011/03/PRO-002Writinganauthoritativebiography1.pdf">http://sites.tufts.edu/dca/files/2011/03/PRO-002Writinganauthoritativebiography1.pdf</a></li></ul> |
| 8. Training materials on managing records (including electronic) that include information on transferring records | See Deliverable 7.  |



**Performance Objectives**

*From Revised Plan of Work for No-cost Extension December 16, 2010*

| <b>Performance Objectives</b><br>August 12, 2008 revised plan of work  | <b>Status</b><br>December 31, 2010  | <b>Completed Work</b><br>June 30, 2011   |
|--|---|--|
| The DCA will document all of its accessions of electronic and paper records with submission agreements.  | <ul style="list-style-type: none"> <li>The DCA documents all of its accessions with submission agreements except small one-time accessions, particularly from alumni or non-Tufts donors</li> </ul>   | <ul style="list-style-type: none"> <li>The DCA documents all of its accessions with submission agreements.</li> </ul>  |
| The DCA will have 50 Tufts offices documented in records context records (RCRs).   | <ul style="list-style-type: none"> <li>The DCA has produced 705 minimum-level RCRs.</li> <li>The DCA has produced 11 full-level RCRs.</li> </ul>  | <ul style="list-style-type: none"> <li>The DCA created 51 RCRs of Tufts entities. The RCRs are available at <a href="http://dl.tufts.edu/view_collection.jsp?pid=tufts:UA069.006.DO.RCR">http://dl.tufts.edu/view_collection.jsp?pid=tufts:UA069.006.DO.RCR</a></li> <li>The DCA drafted approximately 700 minimum-levels RCRs. The DCA uses these RCRs as an internal tool and does not display them to the public.</li> </ul>  |
| The DCA will preserve its submission agreements and records context 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. | <ul style="list-style-type: none"> <li>The DCA preserves its submission agreements in its submission agreement builder tool (SABT).</li> <li>The DCA connects the submission agreements with appropriate RCRs and descriptions of archival records, which are stored in the DCA's collections management database. These links have limited functionality.</li> </ul> | <ul style="list-style-type: none"> <li>After implementing its new collections management database later in 2011, the DCA plans to connect the submission agreements with RCRs and its description of archival records in the new collections management database. These enduring links will be robust and have improved functionality, allowing people to discover related RCRs, archival description, and submission agreement from a variety of entry points.</li> </ul> |
| 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.  | <ul style="list-style-type: none"> <li>During FY2010 (July 1, 2009 to June 30, 2010) the DCA had 99 accessions, with 20 of the accessions including electronic records.</li> </ul>  | <ul style="list-style-type: none"> <li>During FY2011 (July 1, 2010 to June 30, 2011) the DCA had 136 accessions, with 43 of the accession including electronic records.</li> </ul>   |
| The DCA will produce a submission agreement XML schema, a tool for generating  | <ul style="list-style-type: none"> <li>The DCA has produced a submission agreement XML schema,</li> </ul>   | <ul style="list-style-type: none"> <li>The DCA created XML schemas for standing and regular submission agreements and a schema for the common elements of both</li> </ul>  |





|   |   |   |
|---|---|---|
| <p>submission agreements, and a submission agreement content model.</p>   | <p>a tool for generating submission agreements (the SABT), and a submission agreement content model.</p>  | <p>submission agreements. All three schemas are accessible at <a href="http://dca.lib.tufts.edu/schema/er/">http://dca.lib.tufts.edu/schema/er/</a>.</p> <ul style="list-style-type: none"><li>• The DCA created the following training materials for using the SABT and submission agreements:<ul style="list-style-type: none"><li>○ For Tufts employees: Using the Tufts University Transfer Agreement Form<br/><i>Video</i> <a href="http://www.youtube.com/watch?v=jolH27Pcl_4">http://www.youtube.com/watch?v=jolH27Pcl_4</a><br/><i>PDF</i> <a href="https://dca.lib.tufts.edu/taper-docs/taf_user-guide.pdf">https://dca.lib.tufts.edu/taper-docs/taf_user-guide.pdf</a></li><li>○ For archivists: Setting up Tufts University Transfer Agreement Forms<br/><i>Video</i> <a href="http://www.youtube.com/watch?v=lfeT6eyslel">http://www.youtube.com/watch?v=lfeT6eyslel</a><br/><i>PDF</i> <a href="https://dca.lib.tufts.edu/taper-docs/setup-taf_archivists-guide.pdf">https://dca.lib.tufts.edu/taper-docs/setup-taf_archivists-guide.pdf</a></li><li>○ For archivists: Finalizing the Tufts University Transfer Agreement Form<br/><i>Video</i> <a href="http://www.youtube.com/watch?v=ecZZr2PwaOY">http://www.youtube.com/watch?v=ecZZr2PwaOY</a><br/><i>PDF</i> <a href="https://dca.lib.tufts.edu/taper-docs/finalize-taf_archivists-guide.pdf">https://dca.lib.tufts.edu/taper-docs/finalize-taf_archivists-guide.pdf</a></li></ul></li></ul> |
| <p>The DCA will produce a records context record XML schema, a tool for generating records context records, and a records context record content model.</p> | <ul style="list-style-type: none"><li>• The DCA has adopted EAC for its RCR XML schema. It has adapted its current collection management tool to generate RCRs. It has created a RCR content model.</li></ul> | <ul style="list-style-type: none"><li>• The DCA has adopted EAC for its RCR XML schema. Local DCA guidelines for encoding RCRs in EAC are available at <a href="http://sites.tufts.edu/dca/files/2011/03/DAT-040DCABestPracticesforEAC.pdf">http://sites.tufts.edu/dca/files/2011/03/DAT-040DCABestPracticesforEAC.pdf</a>.</li><li>• The DCA uses its collections management database as the environment to create RCRs.</li><li>• The DCA exports RCR data from the collections management database through a template to produce EAC records.</li><li>• The DCA ingests its EAC records into its Fedora Commons-based repository and uses its RCR content model to display its RCRs through the Tufts Digital Library. The content model is available at <a href="https://github.com/dcatufts/content-models/tree/master/fedora_sans_hydra">https://github.com/dcatufts/content-models/tree/master/fedora_sans_hydra</a>.</li></ul>  |