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INGEST GUIDE: OVERVIEW

One of the key challenges to preserving electronic records in a meaningful way is preserving the authenticity and integrity of records during their movement from a recordkeeping system to a preservation system. This Ingest Guide describes the actions needed for a trustworthy ingest process. This process enables an Archive and Producer to move records from a recordkeeping system to a preservation system in a manner that allows a presumption of authenticity.

This Ingest Guide refers to ingest broadly, defining it as the entire process involved in moving records from a recordkeeping system to a preservation system. This process consists of the Producer and Archive agreeing to and defining what records will be transferred and the manner of the transfer, validation, and transformation. Following the Guide should help an Archive and Producer ensure the functional and not just byte-stream preservation of records. Not only does the guide articulate steps for ensuring that records are properly tracked and have maintained their structural integrity during ingest, it also provides a way for records to remain renderable, functional, and meaningful. Following the Guide should enable an Archive to have a trustworthy ingest process, which would allow a reasonable person to presume that a record has maintained its level of authenticity during ingest.

This guide does not describe the functional or technical requirements for building either a recordkeeping or preservation system. Instead, this guide presents a detailed description of the complex ingest workflow step by step. For more on authenticity, trustworthy systems, and recordkeeping systems see “Requirements of a Trustworthy Electronic Recordkeeping System in a College or University Setting.”¹ For more on preservation systems see “Requirements of a Trustworthy Electronic Preservation System in a College or University Setting.”²

The Ingest Guide contains two main sections. Section A, Negotiate Submission Agreement, deals with the Producer and the Archive creating and agreeing to a Submission Agreement that defines the terms and conditions of the transfer of records from a Producer to an Archive, detailing the scope of the records along with the nature of their validation and transformation. Section B, Transfer and Validation, deals with the actual transfer, validation, and transformation of records. Section A contains ten parts and

¹ Fedora and the Preservation of University Records (NHPRC 2004-083), “Requirements of a Trustworthy Electronic Recordkeeping System in a College or University Setting,”
<http://dca.tufts.edu/features/nhprc/reports/1_1_draftpublic.pdf>.

² Fedora and the Preservation of University Records (NHPRC 2004-083), “Requirements of a Trustworthy Electronic Preservation System in a College or University Setting,”
<http://dca.tufts.edu/features/nhprc/reports/2_1_draftpublic.pdf>.

Section B has six parts. Each part in Section A and B is composed of a various number of steps.

Each part includes a narrative summary, a flowchart illustrating all of its steps and a description of each step. Each description includes an overview, a list of Components, Resources, Products, and Documentation each step utilizes and/or produces, and crosswalks to the *Producer-Archive Interface Methodology Abstract Standard*.³

The Ingest Guide also includes a separate section on Components, Resources, Products, and Documentation that describes each of their roles in the ingest process and refers to the steps that use and produce them. The Ingest Guide also has a Submission Agreement section that explains the Agreement in further detail.

Although the Ingest Guide is a prescriptive guide for a trustworthy ingest process, it is not a detailed procedure manual. The implementation of the Guide can produce a wide variety of procedures and policies from Archive to Archive. The Guide describes the actions that must be undertaken to have a trustworthy ingest process and prescribes how to undertake these steps at a high level, but it does not prescribe how to do all of these actions in full detail. For example, Step A5.5 calls for the Archive to choose a preservation format for records it chooses to transform. It does not dictate what preservation formats an Archive should have. An Archive following the Ingest Guide will still have to determine what preservation formats best serve its needs. The Guide points out many tasks that Archives must undertake to have a trustworthy ingest processes without discussing those tasks in detail. The most prominent of these tasks include the details of the appraisal process in Part A3, the creation of Submission Information Packages in Part B1, and the creation of Resources. For more on the implementation of the Ingest Guide, see Appendix A: Implementing the Ingest Guide.

The Guide uses the *Reference Model for an Open Archival Information System (OAIS)* definition of Archive: “An organization that intends to preserve information for access and use.”⁴ Therefore, while an Archive may be an archives in the archival community sense of the word, it does not necessarily have to be an archives.⁵ In the context of the Ingest Guide, an Archive is any type of office or juridical body that has the responsibility of providing long-term preservation and access to records. Like *OAIS*, the Guide refers to a single ingest or a single set of recurring ingests as an Ingest Project.

³ Consultative Committee for Space Data Systems, *Producer-Archive Interface Methodology Abstract Standard*, CCSDS 651.0-B-1, Blue Book, May 2004.
<<http://www.ccsds.org/CCSDS/documents/651x0b1.pdf>>.

⁴ Consultative Committee for Space Data Systems, *Reference Model for an Open Archival Information System (OAIS)*, CCSDS 650.0-B-1, Blue Book, January 2002, p. 1-8.

⁵ For the “archival community” definition of the term archives see Richard Pearce-Moses, *A Glossary of Archival and Records Terminology* (Archival Fundamentals Series II) Chicago: Society of American Archivists, 2005. <http://www.archivists.org/glossary/term_details.asp?DefinitionKey=156>.

The Ingest Guide also uses the *OAIS* definition of Producer: “The role played by those persons, or client systems, who provide the information to be preserved. This can include other *OAIS*s or internal *OAIS* persons or systems.”⁶ This means that Producer will normally be the custodian of the records—or an entity the Producer has authorized to act on its behalf—that has the authority to transfer the records to the Archive. The Producer may or may not be the individual, group, or organization that is responsible for the creation, production, accumulation, or formation of the records it transfers to the Archive.

The Ingest Guide is based upon the work of the Consultative Committee for Space Data Systems and builds upon its *OAIS* framework. In particular, Section A of the Ingest Guide is based on the Preliminary and Formal phases of CCSDS’s *Producer-Archive Interface Methodology Abstract Standard*, which is composed of four phases: Preliminary, Formal, Transfer, and Validation. The *Producer-Archive Interface* is a follow-up document to *OAIS*. The Preliminary and Formal phases greatly expand on the Negotiate Submission Agreement function in the Administration section of *OAIS*. The Transfer and Validation phases reiterate the Receive Submission and Quality Assurance steps respectively, both of which are in the Ingest section of *OAIS*.

As a product of the Fedora and the Preservation of University Records grant project (NHPRC 2004-083), the Ingest Guide is designed primarily for a university setting. However, its general nature may also make it applicable in other industry environments. The university orientation of the Ingest Guide is most notable in the difference of its approach from the *Producer-Archive Interface*’s method to creating a Submission Agreement. The *Producer-Archive Interface* treats the creation of a Submission Agreement in a very formal manner, accomplished over two distinctly different phases (the Preliminary and Formal phases). This level of formality is unnecessary and unrealistic for implementation in a university setting, so the Ingest Guide does not have separate preliminary and formal phases for creating a Submission Agreement.

The Ingest Guide is based on the records life-cycle model, presuming that records will be ingested from a Recordkeeping System that a Producer manages to a Preservation System that an Archive manages. However the Guide can be used in a records continuum model if the Producer, who also acts as the Archive, maintains separate Recordkeeping and Preservation Systems.

The Ingest Guide assumes that a Producer is submitting managed records to an Archive. Traditionally, an archives might accept boxes of unorganized paper records from a faculty member with the idea that the archives could add these records to its processing backlog and later impose some sort of order, or arrangement, long after the transfer. It is the assumption of this Guide, and the corresponding preservation requirements, that such delayed arrangement of electronic records is neither scalable nor sustainable and in most

⁶ *OAIS*, p. 1-12.

cases cannot be done in a manner that sustains the authenticity of those records. The example of this might be a box of unlabeled disks sent from a faculty member.

The Ingest Guide places the activity of imposing an order on electronic records conceptually outside of the ingest and preservation activities. The work of preparing organized and managed records for transfer to the Archive is the Producer's responsibility and, in the case of the box of unlabeled diskettes, the Archive is doing the Producer's job, imposing order on the records after the fact. In a situation like this, during part A of the Ingest Guide, the Archive would either require the Producer to organize before the transfer takes place, or artificially organize the records itself after accepting the records from the Producer but still before the transfer to the preservation repository. Conceptually by imposing this artificial arrangement the Archive has become a Producer and thus plays both roles in the Ingest process.

INGEST GUIDE:

SECTION A: NEGOTIATE SUBMISSION AGREEMENT

Overview

The Negotiate Submission Agreement Section of the Ingest Guide describes the actions needed for an Archive and a Producer to produce a Submission Agreement. These agreements define the nature and scope of the records to transfer to the Preservation System and the how the Archive will execute transfer, validation, and transformation of these records. All of the work in Section A is undertaken for the production of a Submission Agreement. Actual transfer, validation, and transformation work only occurs in Section B of the Ingest Guide.

This section is composed of ten parts. During first three parts, Establish Relationships, Define Project, and Records Survey the Archive essentially conducts an intellectual appraisal of the records under consideration and determines if it should accession them into the Preservation System. During these three parts the Archive also gathers a variety of information about the records it should accession. This information includes the creator, record type, format, date, and extent of the records and any identifiers associated with them. During the next six parts, Record Type Appraisal, Format Appraisal, Identifier Rules, Use Rights, Privacy and Confidentiality Appraisal, and Feasibility Assessment, the Archive determines if its existing resources for preservation formats, record types, identifier rules, creator records, security procedures, and system capabilities—referred to as Resources and described in the Components, Resources, Products, and Documentation section of this guide—meets the needs of the records identified in Part A3. The resulting feasibility report should present a gap analysis if the Resources do not meet the needs of any records assessed in A3 to have continuing value. The Archive must then determine if it should modify or add to its Resources to meet those needs or if it should reject or modify the scope of the records involved in the Ingest Project. In Part A10, Finalize Submission Agreement, the Archive and the Producer finalize and agree to a Submission Agreement that is based on the scope of the records defined in Parts A1 through A3 and the decisions made in Parts A4 through A9.

For more information on Submission Agreements, see the Submission Agreement section of this Guide.

INGEST GUIDE:

SECTION A: NEGOTIATE SUBMISSION AGREEMENT

PART A1: ESTABLISH RELATIONSHIP

Overview

During this Part, either the Archive or the Producer will initiate contact with the other. If the Archive does not already have a relationship with the Producer, the Archive will define its administrative, legal, and/or collecting relationship with the Producer and generate metadata about the Producer.

A1.1

Description Either the Archive or the Producer will initiate contact with the other. This is the first step of an Ingest Project. Generally this contact is made informally, although it can be made formally if necessary. This contact may be between people and people, people and computers, or computers and computers.

Uses None

Produces/Modifies None

Producer-Archive Interface Methodology Abstract Standard (PAIMAS) Crosswalk
P1

A1.2

Description The Archive determines who the Producer is, in particular determining who he/she/it is as a juridical body.

Uses Institutional Identity Management System

Produces/Modifies None

PAIMAS Crosswalk P1

A1.3

Description Based on identifying who or what the Producer is in Step A1.2, the Archive determines if it has already established a Producer-Archive relationship with the Producer in which it can serve as the Archive for at least some of the Producer's records. If this is the case, the Archive records whom the Producer is in the Submission Agreement and goes on to Part A2 of the Ingest Guide. The Archive makes this determination by reviewing Producer Records, which describe Producers and their relationships to Archives; Accession Logs; or Activity Logs that document its past interactions with Producers.

Uses Accession Log, Activity Log, Producer Record

Produces/Modifies Producer Entry

PAIMAS Crosswalk None

A1.4

Description If the Archive has not already established a relationship with the Producer as the Archive for at least some of its records, the Archive needs to determine if in fact it has the authority to serve as the Archive to at least some of the Producer's records.

Uses Records Authority Statement, Collection Policy

Produces/Modifies None

PAIMAS Crosswalk None

A1.5

Description If the Archive does not have the authority to serve as the Archive for at least some of the Producer's records, it should recommend the Producer to an appropriate Archive. The Ingest Project terminates.

Uses None

Produces/Modifies Ingest Project Termination Notice

PAIMAS Crosswalk None

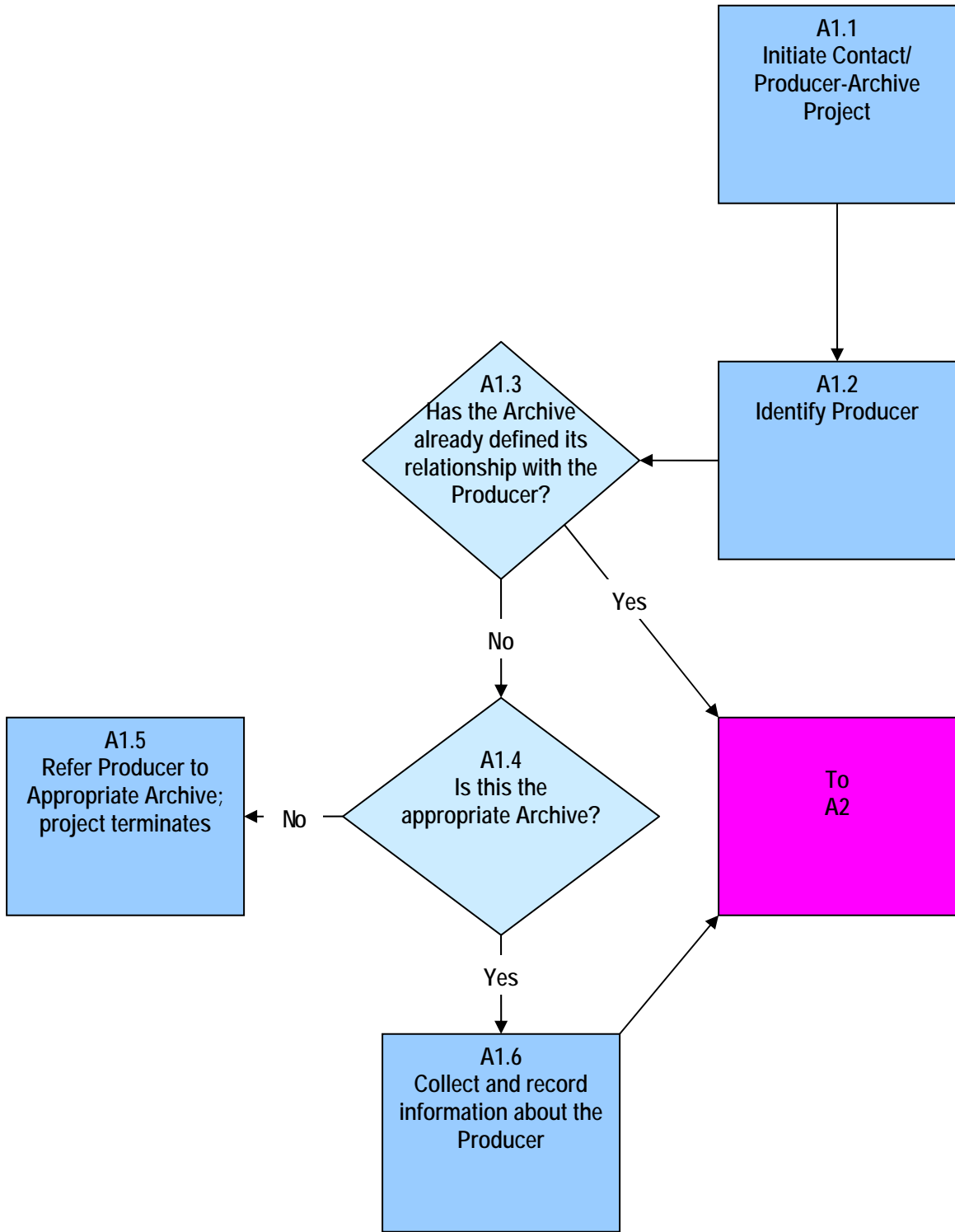
A1.6

Description If the Archive does have the authority to serve as the Archive for at least some of the Producer's records, it needs to collect information about the Producer and create a Producer Record and document who the Producer is in the Submission Agreement.

Uses Institutional Identity Management System

Produces/Modifies Producer Record, Producer Entry

PAIMAS Crosswalk None



INGEST GUIDE:

SECTION A: NEGOTIATE SUBMISSION AGREEMENT

PART A2: DEFINE PROJECT

Overview

During this Part, the Archive and the Producer come to an agreement on which records the Archive will consider to accession. The Archive then ensures that the Producer has proper custody of the records under consideration.

A2.1

Description The Archive and the Producer agree upon the scope of the records that the Archive will survey.

Uses None

Produces/Modifies None

Producer-Archive Interface Methodology Abstract Standard (PAIMAS) Crosswalk P2, P3

A2.2

Description The Archive determines if the Producer actually has custody or authority over the records the Archive agreed to survey in Step A2.1.

Uses Producer Records

Produces/Modifies None

PAIMAS Crosswalk None

A2.3

Description If the Producer that approached the Archive in Step A1.1 does not have custody or authority over the records, the Archive determines what Producer has proper authority or custody over the records and then contacts that Producer.

Uses Institutional Identity Management System, Producer Records, Activity Logs

Produces/Modifies None

PAIMAS Crosswalk None

A2.4

Description The Producer that is the proper custodian or authority of the records determines if it wants the Ingest Project to continue.

Uses None

Produces/Modifies None

PAIMAS Crosswalk None

A2.5

Description If the proper custodian or authority of the records does not want the Ingest Project to continue, the Ingest Project terminates.

Uses None

Produces/Modifies Ingest Project Termination Notice

PAIMAS Crosswalk None

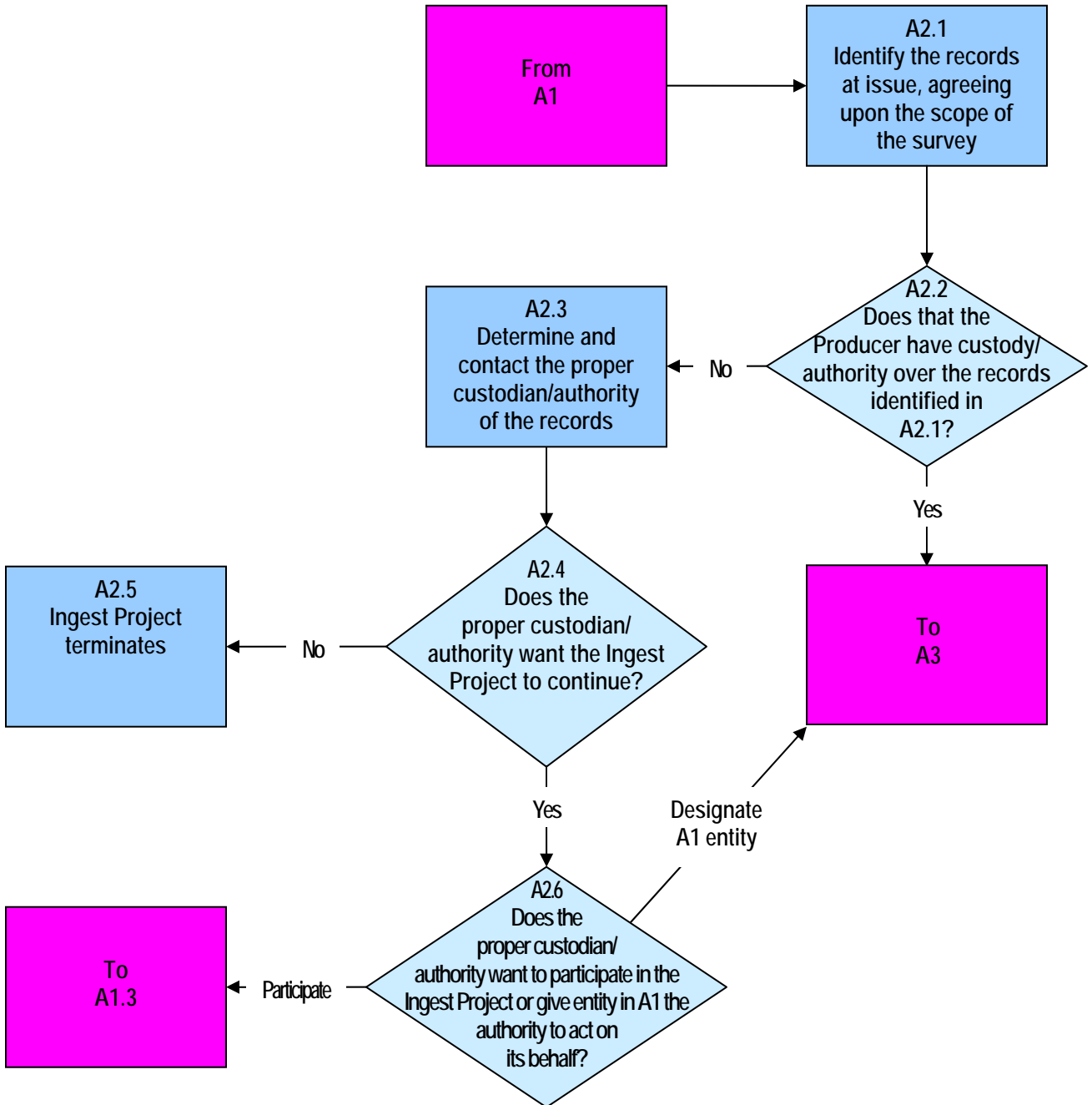
A2.6

Description The Producer that is the proper custodian or authority of the records determines if it wants to participate in the Ingest Project or designate the Entity from Step A1.1 as the Producer to continue the Ingest Project. If the Producer who is the proper custodian or authority of the records wants to participate in the Ingest Project, the Archive should return to Step A1.3 to determine if it has already established a Producer-Archive relationship with the Producer.

Uses None

Produces/Modifies None

PAIMAS Crosswalk None



INGEST GUIDE:

SECTION A: NEGOTIATE SUBMISSION AGREEMENT

PART A3: RECORDS SURVEY

Overview

Once the Archive has confirmed it is working with the proper custodian, it will collect and analyze information about the records in order to assess their continuing value and authenticity. This assessment will be combined with an assessment of the feasibility of preservation (Parts A4 through A9) in making a final appraisal decision. The appraisal work in this Part focuses on whether the records intellectually belong in the Archive, asking if it *should* accession the records.

A3.1

Description An Archive conducts a survey of the records identified in Step A2.1. During the survey, the Archive identifies the Record Type of the records involved in the Survey. The Archive will also note the function the records play for the Producer, their format types, file size, Producer-created identifiers, confidentiality requirements, and copyright status in the Survey Report. The Survey Report should capture all of the information the Archive will need to complete Parts A4 through A9.

Uses None

Produces/Modifies Survey Report

PAIMAS Crosswalk P2, P9, P12, P16, P23, P24, P29, P30

A3.2

Description An Archive determines the authenticity of the records identified in Step A2.1.

Uses None

Producers/Modifies Survey Report

PAIMAS Crosswalk None

A3.3

Description An Archive determines if it should accession at least some of the records it surveyed. In this Step, this determination is based entirely on policy considerations with no regard to an Archive's capacity or technical considerations, which will come later during the Ingest Project. An Archive makes this appraisal decision by assessing the combination of who is the Producer, the record type of the records, the function the records play for the Producer, and the records' authenticity against the Archive's Collection Policy and Records Retention Schedule.

Uses Survey Report, Collection Policy, Records Retention Policy

Produces/Modifies Survey Report

PAIMAS Crosswalk P3

A3.4

Description An Archive determines the essential elements of the records—documentary components, elements of form, and digital or physical components—it needs to preserve in order to preserve the recordness and authenticity of the records. An Archive makes this appraisal decision by assessing the combination of who is the Producer, the record type of the records, the function the records play for the Producer, and the records’ authenticity against the Archive’s Collection Policy and Records Retention Schedule.

This Step will guide the Archive’s later decisions concerning format transformation.

Uses Survey Report, Collection Policy, Records Retention Policy

Produces/Modifies Survey Report

PAIMAS Crosswalk None

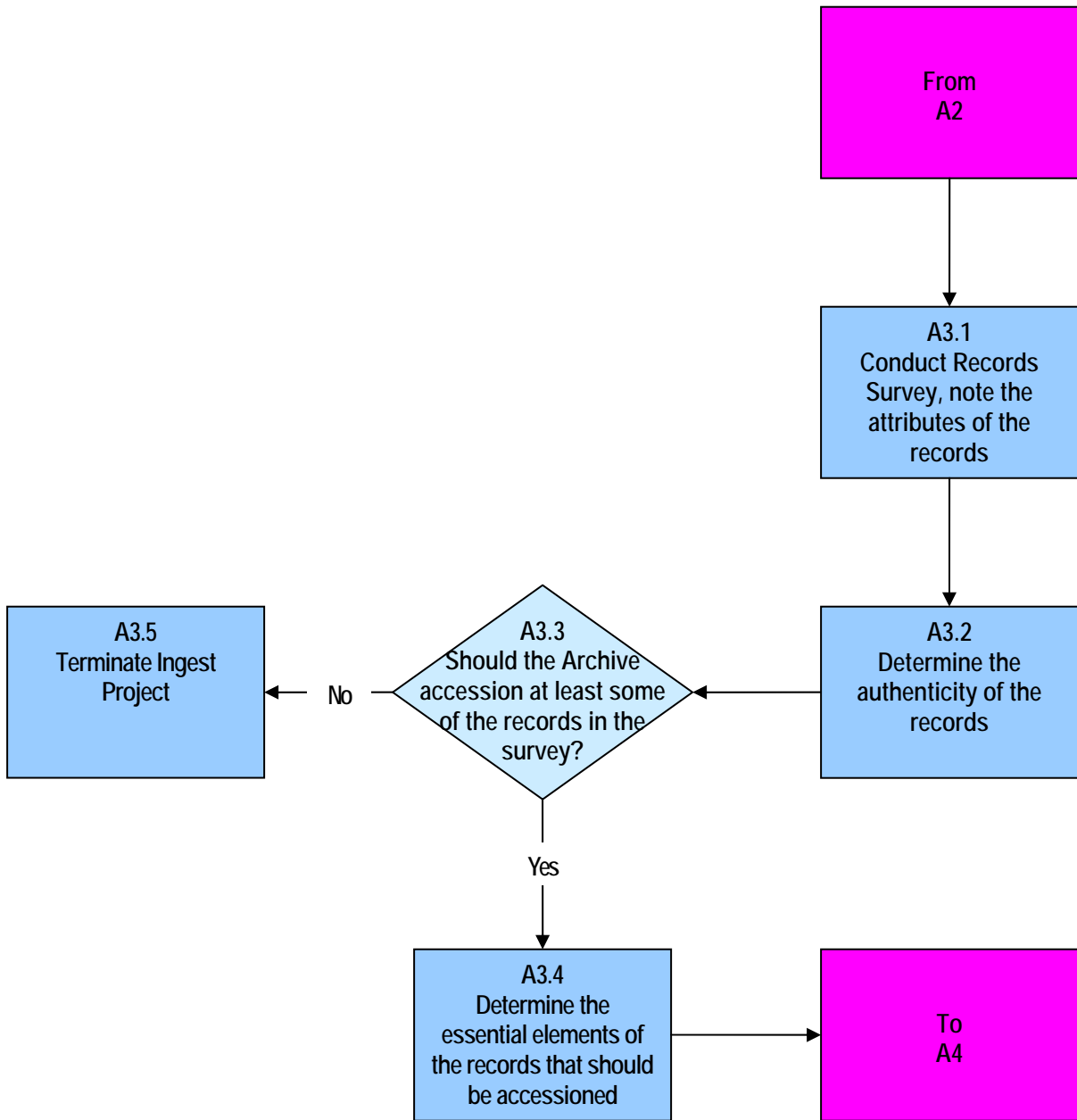
A3.5

Description If an Archive decides that it should not accession of the records identified in Step A2.1, the Ingest Project terminates.

Uses None

Produces/Modifies Ingest Project Termination Notice

PAIMAS Crosswalk None



INGEST GUIDE:

SECTION A: NEGOTIATE SUBMISSION AGREEMENT

PART A4: RECORD TYPE APPRAISAL

Overview

In this part an Archive determines if any of the records that should be accessioned are record types that it has not previously defined or dealt with. If that is the case, the Archive will define the new record type. Record types define the nature of a class of records. They usually define retention and disposition of records and sometimes confidentiality status. Definitions of record types usually guide an Archive's appraisal and transformation decisions.

A4.1

Description Based on the information gathered in the records survey, an Archive determines if any of the records it should accession are record types that are not one of its established record types.

Uses Survey Report, Record Type Records

Produces/Modifies Record Type List

Producer-Archive Interface Methodology Abstract Standard (PAIMAS) Crosswalk
None

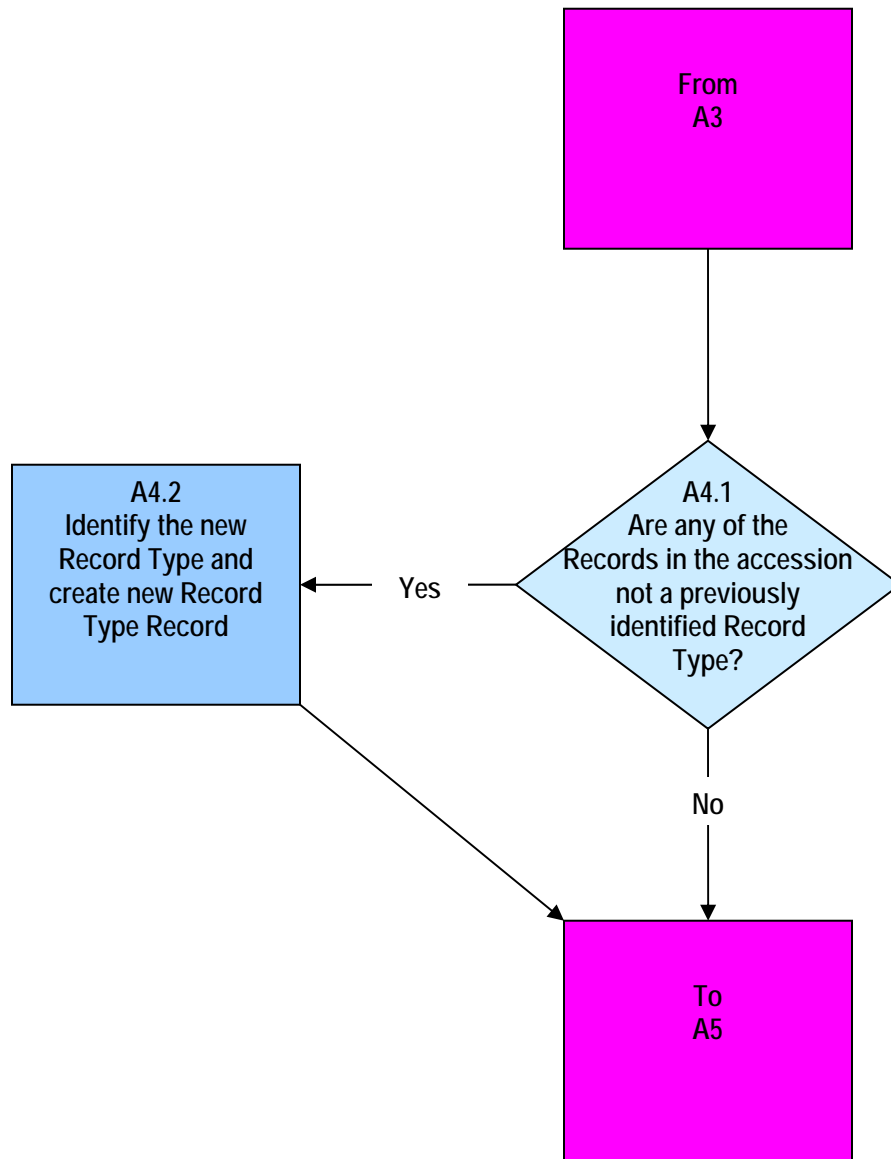
A4.2

Description If there are records in an Ingest Project that are a record type that is not one of an Archive's established record types, then it identifies this new record type and creates a new Record Type Record.

Uses Survey Report

Produces/Modifies Record Type Records

PAIMAS Crosswalk None



INGEST GUIDE:

SECTION A: NEGOTIATE SUBMISSION AGREEMENT

PART A5: FORMAT APPRAISAL

Overview

In this Part the Archives appraises the formats of the records that it should accession into the Preservation System and determines if any of these records are in formats that are not one of the formats that the Preservation System supports. The Archives must determine if will: 1) transform the records into one of the existing preservation formats, 2) transform the records into a new preservation format, 3) keep the records in their existing formats and make that format a new preservation format. In order to create a new preservation format, the Archive will have to select a variety of rules and standards that apply to the format and identify the Representation Information that is needed for the new format.

A5.1

Description Based on the information gathered in the Survey Report, an Archive determines if any of the digital components of records earmarked for preservation are in formats that meet the Archive's Format Standards Policy. If all of the digital components comply with the Format Standards Policy, the Archive proceeds to Part A5.

Uses Survey Report, Format Standards Policy, Format Representation Information System

Produces/Modifies Format Transformation Plan

Producer-Archive Interface Methodology Abstract Standard (PAIMAS) Crosswalk P10

A5.2

Description If there are records in an Ingest Project that are not compliant with the Archive's Format Standards Policy the Archive must then decide on the proper preservation strategy for these formats of digital components. The Archive may decide to transform the records into one of its preservation formats, manage the formats natively, or preserve both the native format and some preservation format. Although there are technical considerations to this determination, this is largely an appraisal decision. An Archive must determine how crucial the format is to the structure and ultimately the essential recordness of the record.

Uses Survey Report, Format Representation Information System, Preservation System Capabilities Report

Produces/Modifies None

PAIMAS Crosswalk P9, P10

A5.3

Description If an Archive determines that it should preserve the records in the Preservation System in their existing native format, then it needs to establish this format in the Format Representation Information System and formats Standards Policy.

Uses Designated Community Description

Produces/Modifies Format Representation Information System, Representation Information, Formats Standards Policy

PAIMAS Crosswalk P4, P5

A5.4

Description In addition to the Representation Information, an Archive also needs to establish its rules and select appropriate standards for the new preservation format so it can manage and preserve records in that format successfully.

Uses None

Produces/Modifies Format Standards Policy, Format Transformation Plan

PAIMAS Crosswalk P10, P12, P14

A5.5

Description If an Archive decides to transform the records, it must determine what preservation format(s) to transform the records into. See Step A4.2 for comments about the appraisal considerations involved in this step. If an Archive is dealing with a new combination of record type and format type, it will probably have to add to or modify its Transformation Policy.

Uses Survey Report, Transformation Policy

Produces/Modifies Transformation Policy, Format Transformation Plan

PAIMAS Crosswalk P10, P12, P14

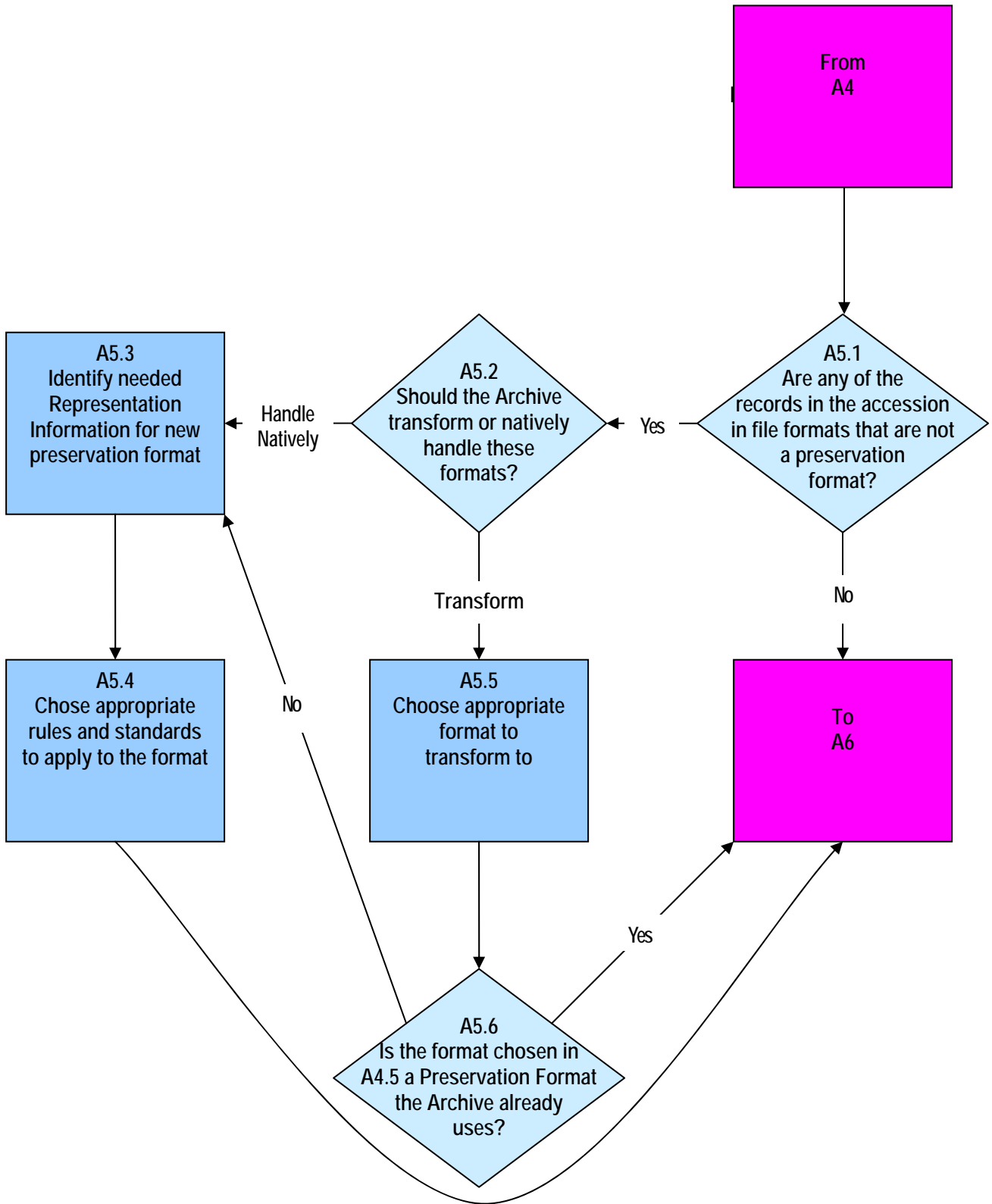
A5.6

Description The preservation format an Archive chooses to transform a record into can either be an existing preservation format or a new preservation format. If it is a new preservation format, the Archive goes to Step A5.3.

Uses None

Produces/Modifies None

PAIMAS Crosswalk None



INGEST GUIDE:

SECTION A: NEGOTIATE SUBMISSION AGREEMENT

PART A6: IDENTIFIER RULES

Overview

In this Part an Archive determines if it needs to preserve a Producer identification scheme with the records it should accession. For example, if a Producer's website is involved in a Ingest Project, an Archive may determine to preserve the file and path names of the html files to preserve the internal linking integrity of the website. If an Archive does need to preserve such a scheme then an Archive must determine if it already manages the scheme in the Preservation System. If it does not, then it needs to create new rules to accommodate the new scheme.

A6.1

Description Based on the information gathered in the records survey, an Archive determines if any of the records it should accession need to remain tied to a Producer's naming or identification scheme in the Preservation System.

Uses Survey Report, Producer Naming/Identification Scheme

Produces/Modifies None

Producer-Archive Interface Methodology Abstract Standard (PAIMAS) Crosswalk
P16

A6.2

Description An Archive determines if it has already adapted that Producer Naming/Identification Scheme as an Archive Naming/Identification Scheme.

Uses Archive Naming/Identification Scheme, Producer Naming/Identification Scheme

Produces/Modifies None

PAIMAS Crosswalk P17

A6.3

Description If an Archive has not adapted the Producer Naming/Identification Scheme as an Archive Naming/Identification Scheme, it will do so.

Uses Producer Naming/Identification Scheme

Produces/Modifies Archive Naming/Identification Scheme

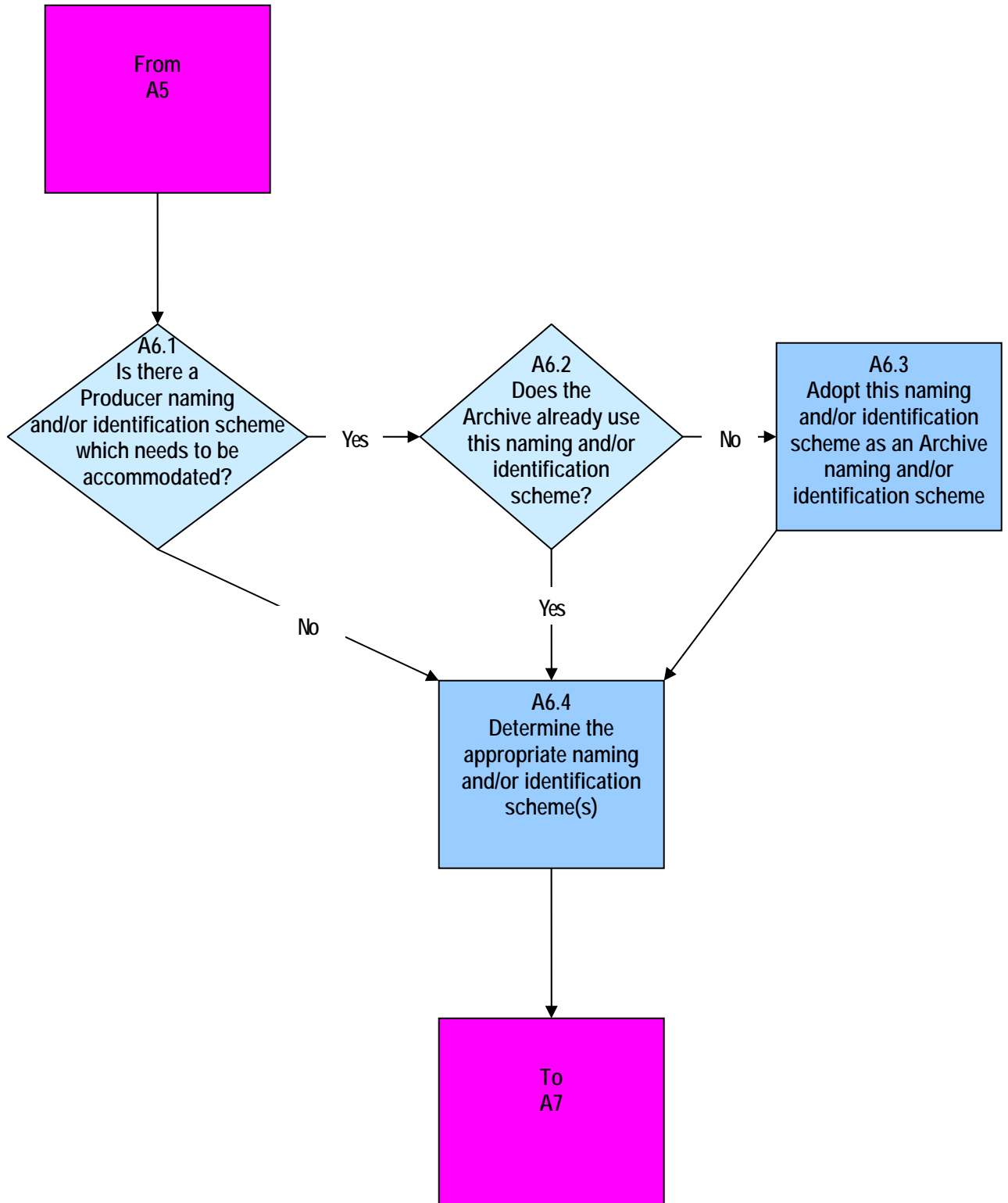
PAIMAS Crosswalk P17

A6.4

Description An Archive determines which of its Naming/Identification Schemes it should use to name or identify the records in an Ingest Project. In many cases an Archive does not really have a choice to make because it only supports one scheme.

Uses Archive Naming/Identification Scheme, Survey Report

Produces/Modifies Archive Naming/Identification Scheme Decision
PAIMAS Crosswalk P17



INGEST GUIDE:

SECTION A: NEGOTIATE SUBMISSION AGREEMENT

PART A7: USE RIGHTS

Overview

In this Part the Archive determines the copyright status of the records that it should accession. In particular, the Archive determines if it already has the copyright of the records, or needs to obtain the copyrights or a licensing agreement for the records in an Ingest Project.

A7.1

Description Based on the information gathered in the Survey Report, an Archive determines the copyright status of the records it should accession.

Uses Survey Report

Produces/Modifies Copyright Status

Producer-Archive Interface Methodology Abstract Standard (PAIMAS) Crosswalk
P29

A7.2

Description Based on its finding in Step A7.1, an Archive should determine if needs to acquire the copyright of the records or acquire a license for their use.

Uses Copyright Policy, Copyright Status

Produces/Modifies None

PAIMAS Crosswalk P29

A7.3

Description If an Archive does wish to acquire the copyright or licensing rights to at least some of the records in an Ingest Project, the Archive should investigate the negotiation process with the rights holder, which may or may not be the Producer. The Archive should use its Copyright Policy as its guide in these negotiations.

Uses Copyright Policy

Produces/Modifies None

PAIMAS Crosswalk P29

A7.4

Description An Archive determines if it can negotiate a rights transfer or licensing agreement with the rights holder that it finds reasonable and is capable of complying with the agreement. Clearing and/or obtaining rights is likely to be resource intensive and difficult. The Archive should make this determination based on its Copyright Policy.

Uses Copyright Policy

Produces/Modifies None

PAIMAS Crosswalk P29

A7.5

Description If the Archive determines it cannot negotiate a reasonable rights transfer or licensing agreement, it must renegotiate with the Producer to define a different scope to the Ingest Project that excludes the affected records. The Archive should modify the Survey Report accordingly.

Uses None

Produces/Modifies Survey Report

PAIMAS Crosswalk P29

A7.6

Description If no records remain in its Ingest Project, an Archive terminates the Project.

Uses None

Produces/Modifies Ingest Project Termination Notice

PAIMAS Crosswalk None

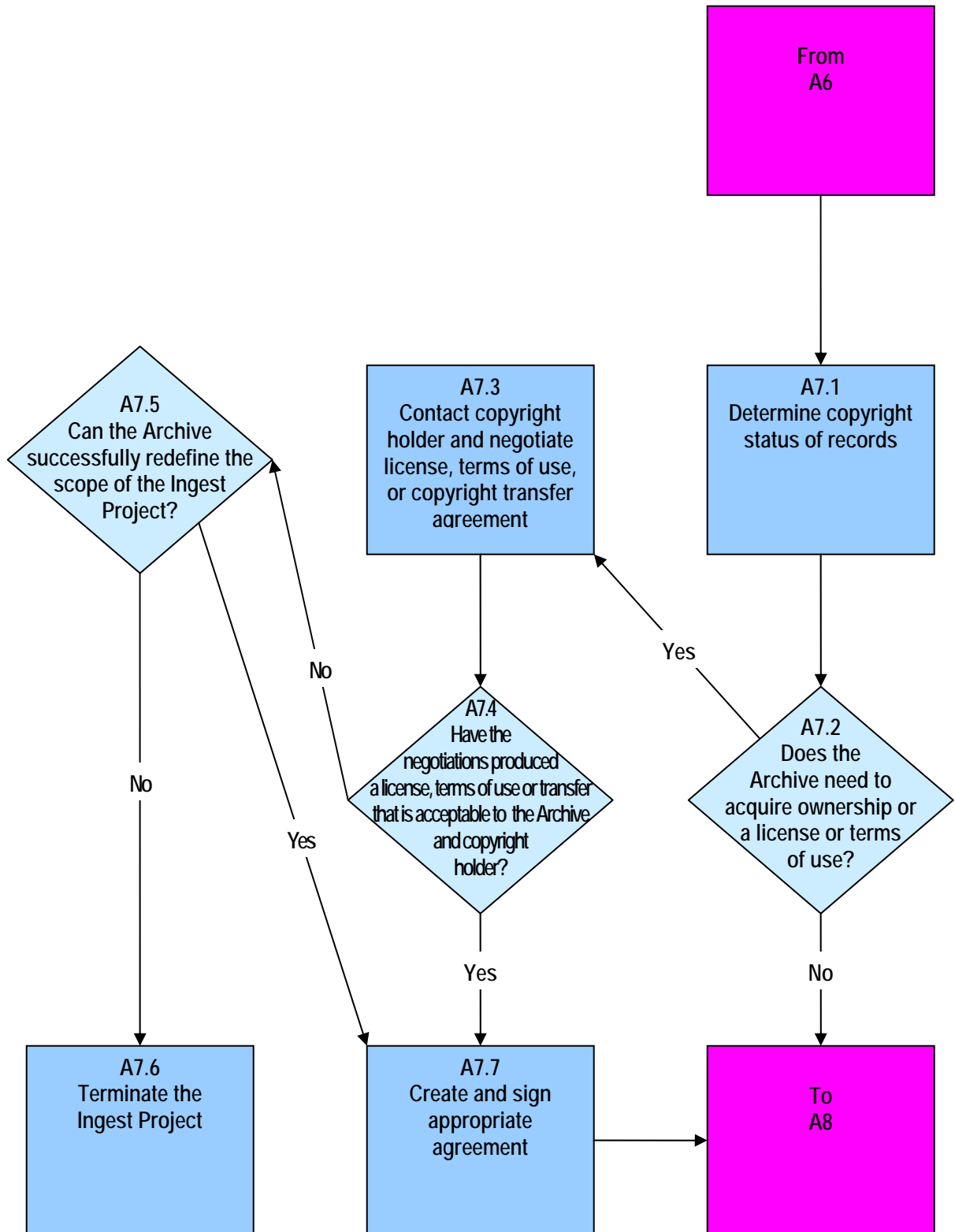
A7.7

Description If an Archive determines it can negotiate a reasonable copyright transfer or licensing agreement, it creates and signs the agreement it has negotiated with the copyright holder.

Uses None

Produces/Modifies Copyright Transfer/License

PAIMAS Crosswalk F13



INGEST GUIDE:

SECTION A: NEGOTIATE SUBMISSION AGREEMENT

PART A8: PRIVACY AND CONFIDENTIALITY APPRAISAL

Overview

In this part, the Archive determines the confidentiality status of these records. The Archive then determines if the security system for the Preservation System meets the access restriction needs of the records earmarked for preservation. If the security system does not meet those needs, the Archive determines if it is feasible to upgrade the security system to meet those needs. If it is feasible, the Archive will upgrade the system; if it is not feasible, the Archive will not transfer the records that require that level of security into the Preservation System.

A8.1

Description Based on the information gathered in the records survey, along with its own confidentiality rules, an Archive determines the confidentiality status of the records in an Ingest Project.

Uses Survey Report, Record Security Profile

Produces/Modifies Record Security Profile Decision

PAIMAS Crosswalk P23, P24, P25, P30

A8.2

Description Based on the confidentiality and copyright status of the records in an Ingest Project, an Archive determines the user access requirements for those records. User access requirements encompass security requirements.

Uses Access Controls Policy, Record Security Profile

Produces/Modifies Access Controls Requirements

PAIMAS Crosswalk P23, P24, P25, P30

A8.3

Description An Archive determines if its current security system meets the user access requirements of the records in an Ingest Project.

Uses Access Controls Policy, Access Controls Requirements, Preservation System Capabilities Report

Produces/Modifies None

PAIMAS Crosswalk P42

A8.4

Description If an Archive's security system does not meet the user access requirements of the records in an Ingest Project, the Archive will conduct a gap analysis of security

system and the user access requirements to determine what improvements its security system would need to close the gap.

Uses Access Controls Policy, Access Controls Requirements, Preservation System Capabilities Report

Produces/Modifies Access Controls Gap Analysis

PAIMAS Crosswalk P42

A8.5

Description An Archive will determine if it is feasible to take the steps necessary to close the security gap as defined by the findings of A8.4

Uses Access Controls Gap Analysis

Produces/Modifies Access Controls Gap Analysis Feasibility Statement

PAIMAS Crosswalk P42

A8.6

Description: If the Archive determines that it is not feasible to close the security gap, then the Archive must renegotiate with the Producer to define a different set of user access requirements, or to define a different scope to the Ingest project that excludes the affected records.

Uses Access Controls Gap Analysis, Survey Report

Produces/Modifies Survey Report, Access Controls Requirements

PAIMAS Crosswalk None

A8.7

Description If the Producer and Archive are not able to satisfactorily renegotiate, the Archive terminates the Project.

Uses None

Produces/Modifies Ingest Project Termination Notice

PAIMAS Crosswalk None

A8.8

Description If an Archive determines that it is feasible to take the steps necessary to close the security gap, then the Archive will define those steps.

Uses Access Controls Gap Analysis, Access Controls Gap Analysis Feasibility Statement, Access Controls Policy

Produces/Modifies Access Controls Policy

PAIMAS Crosswalk TBD

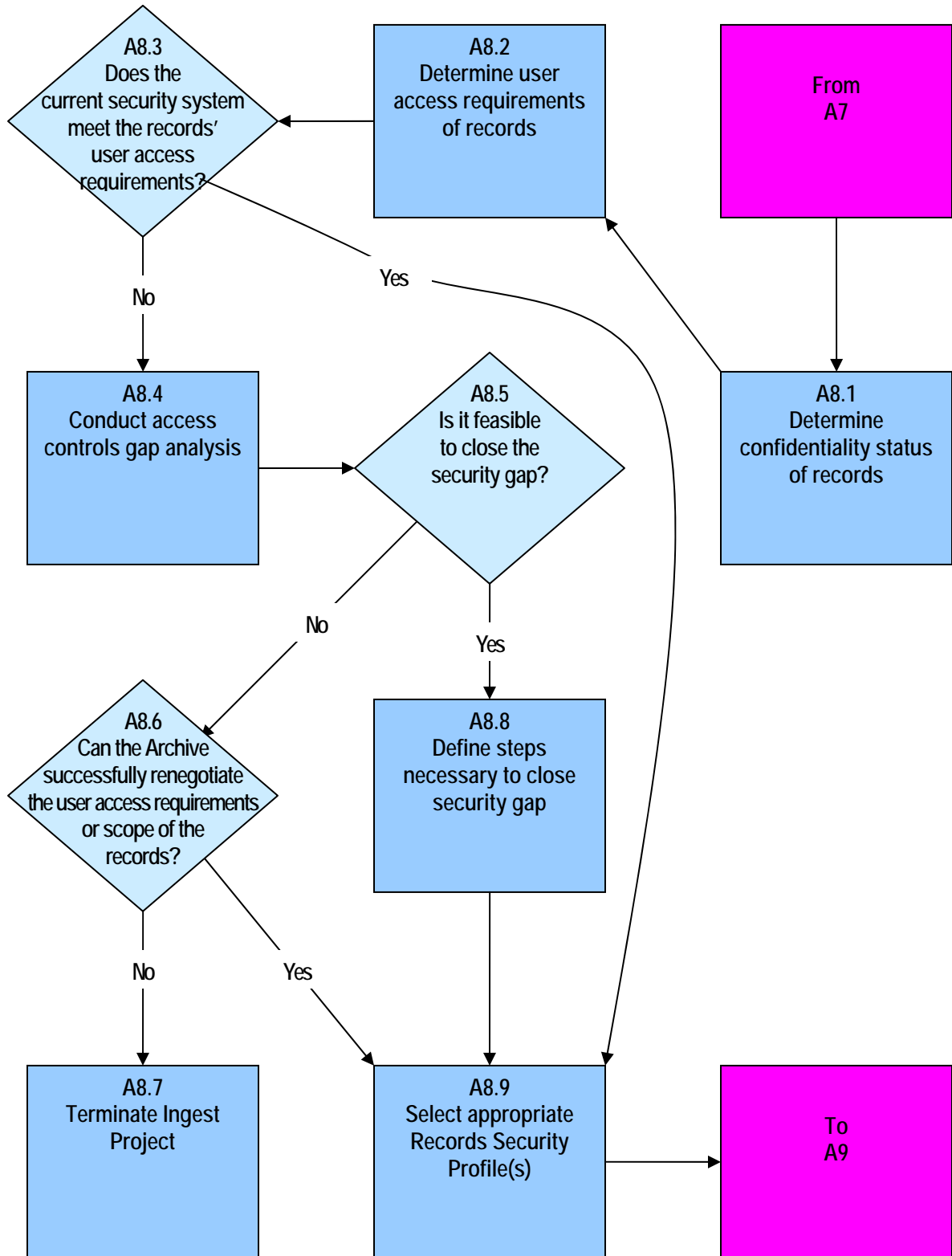
A8.9

Description An Archive will select the appropriate Record Security Profile(s) for the records it should accession.

Uses Record Security Profile

Produces/Modifies Record Security Profile Decision

PAIMAS Crosswalk P6



INGEST GUIDE:

SECTION A: NEGOTIATE SUBMISSION AGREEMENT

PART A9: FEASIBILITY ASSESSMENT

Overview

During this Part, an Archive assesses whether it can accession, manage, and preserve the records it should accession in its Preservation System, either on its own, or with help from the Producer.

A9.1

Description An Archive assesses whether it has the technical and staffing capacity to manage the records earmarked for preservation.

Uses Survey Report, Preservation System Capabilities Report

Produces/Modifies Preservation System Availability Statement

Producer-Archive Interface Methodology Abstract Standard (PAIMAS) Crosswalk P8, P15, P18, P22, P27, P33, P36, P40, P42, P43

A9.2

Description If an Archive assesses that it cannot manage at least some of the records it should accession it asks the Producer if it can help the Archive make the management of these records feasible. If the Producer can help, the Archive amends the System Availability Report to describe the help that the Producer agreed to provide.

Uses Survey Report, Preservation System Capability Report

Produces/Modifies Preservation System Availability Statement

PAIMAS Crosswalk P43

A9.3

Description If a Producer cannot or is unwilling to help an Archive, then the Archive will exclude the records it cannot manage from the Ingest Project, adjusting its Preservation System Availability Statement and Survey Report accordingly.

Uses Survey Report

Produces/Modifies Preservation System Availability Statement, Survey Report

PAIMAS Crosswalk None

A9.4

Description Based on its actions in Step A3.4, an Archive determines if any records remain in its Ingest Project.

Uses Survey Report

Produces/Modifies None

PAIMAS Crosswalk None

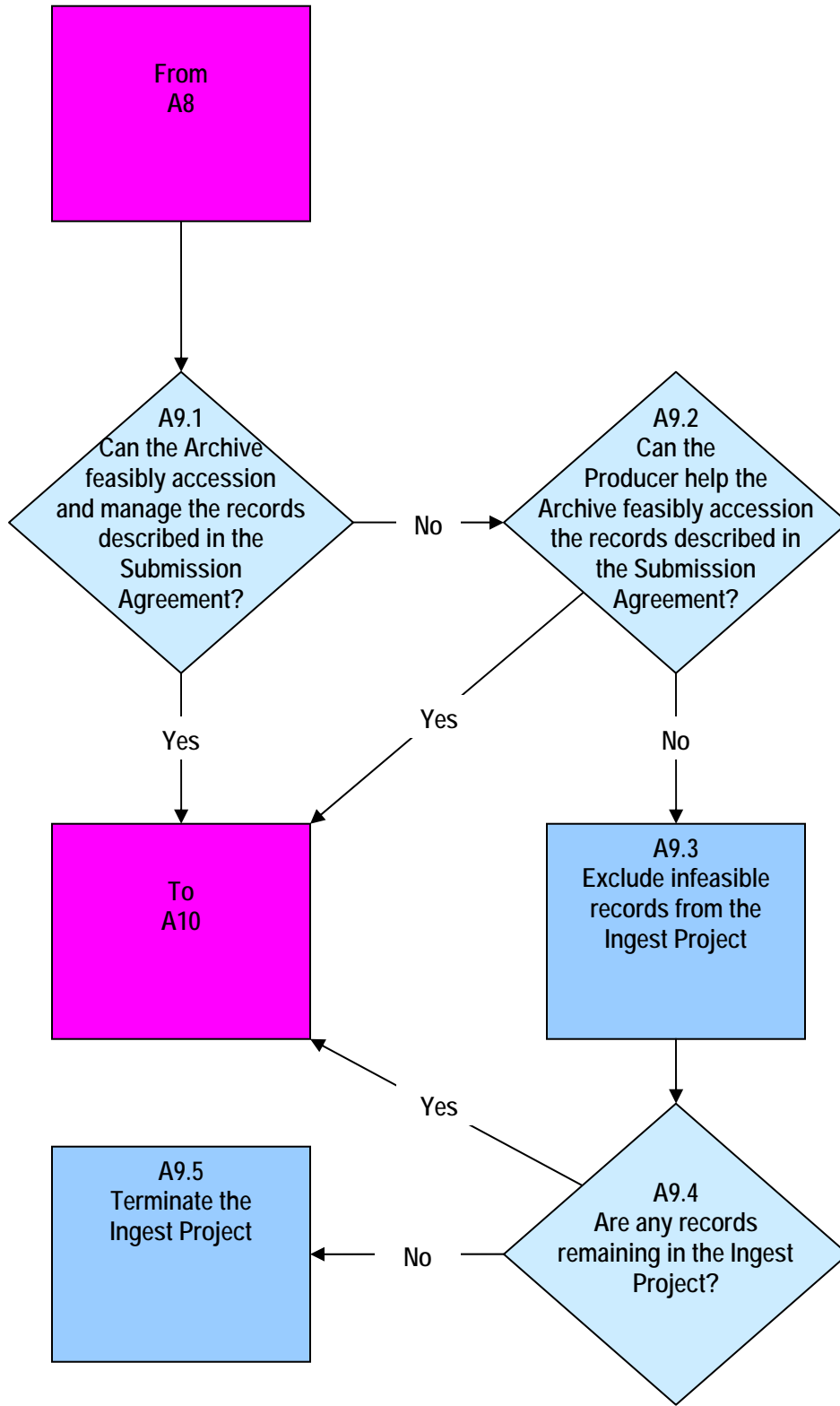
A9.5

Description If no records remain in its Ingest Project, an Archive terminates the Project.

Uses None

Produces/Modifies Ingest Project Termination Notice

PAIMAS Crosswalk None



INGEST GUIDE:

SECTION A: NEGOTIATE SUBMISSION AGREEMENT

PART A10: FINALIZE SUBMISSION AGREEMENT

Overview

During this Part, an Archive adds description of metadata encoding rules, transfer procedures and schedules, and validation procedures to the Submission Agreement. Then the Archive and Producer work on finalizing the Submission Agreement until they both agree to sign it.

A10.1

Description An Archive attaches a description of its Metadata Encoding Rules to the Submission Agreement.

Uses Metadata Encoding Rules

Produces/Modifies Metadata Encoding Rules Decision

Producer-Archive Interface Methodology Abstract Standard (PAIMAS) Crosswalk
F4

A10.2

Description An Archive attaches a description of its Transfer Procedures rules to the Submission Agreement.

Uses Transfer Procedures

Produces/Modifies Transfer Procedures Decision

PAIMAS Crosswalk F14, F15, F16, F17, F18, F19

A10.3

Description An Archive attaches a description of its Validation Procedures to the Submission Agreement.

Uses Validation Procedures

Produces/Modifies Validation Procedures Decision

PAIMAS Crosswalk F20, F21, F22, F23, F24, F25

A10.4

Description An Archive determines a schedule for transferring the records in an Ingest Project to the Archive.

Uses Transfer Procedures

Produces/Modifies Transfer Schedule

PAIMAS Crosswalk F16, F26

A10.5

Description An Archive attaches a description of its Submission Information Package (SIP) Creation Procedures to the Submission Agreement.

Uses Submission Information Package Creation Procedures
Produces/Modifies Submission Information Package Creation Procedures Decisions
PAIMAS Crosswalk F15

A10.6

Description An Archive takes any final actions needed to finalize the Submission Agreement. These should be minor actions and nothing that substantially changes any decisions made earlier in Section A. An Archive essentially constructs an actual draft Submission Agreement, often using preset language.

Uses None

Produces/Modifies Draft Submission Agreement

PAIMAS Crosswalk F36

A10.7

Description The Archive and the Producer review the drafted Submission Agreement and determine if they are willing to endorse the Submission Agreement. If both are willing, the Archive and Producer endorse the Submission Agreement. This completes Section A: Negotiate Submission Agreement of the Ingest Guide. Proceed to Section B: Transfer and Validation to complete the Ingest Project.

Uses Draft Submission Agreement

Produces/Modifies Finalized and Endorsed Submission Agreement

PAIMAS Crosswalk None

A10.8

Description If either the Archive or the Producer is unwilling to endorse the Submission Agreement as it is drafted, the Archive, usually in conjunction with the Producer, will revise the Submission Agreement to address the Archive's or Producer's concerns.

Uses Draft Submission Agreement

Produces/Modifies Draft Submission Agreement

PAIMAS Crosswalk F36

A10.9

Description A Producer and Archive determine if they are willing to endorse the Submission Agreement with the revisions made in Step A10.7. If they are willing to endorse the Submission Agreement, they will go ahead with endorsing it. This completes Section A: Negotiate Submission Agreement of the Ingest Guide. Proceed to Section B: Transfer and Validation to complete the Ingest Project.

Uses Draft Submission Agreement

Produces/Modifies Finalized and Endorsed Submission Agreement

PAIMAS Crosswalk F36

A10.10

Description If either a Producer or Archive is still not willing to sign the revised submission agreement in Step A10.8, return to Step A10.7 to revise the Agreement again.

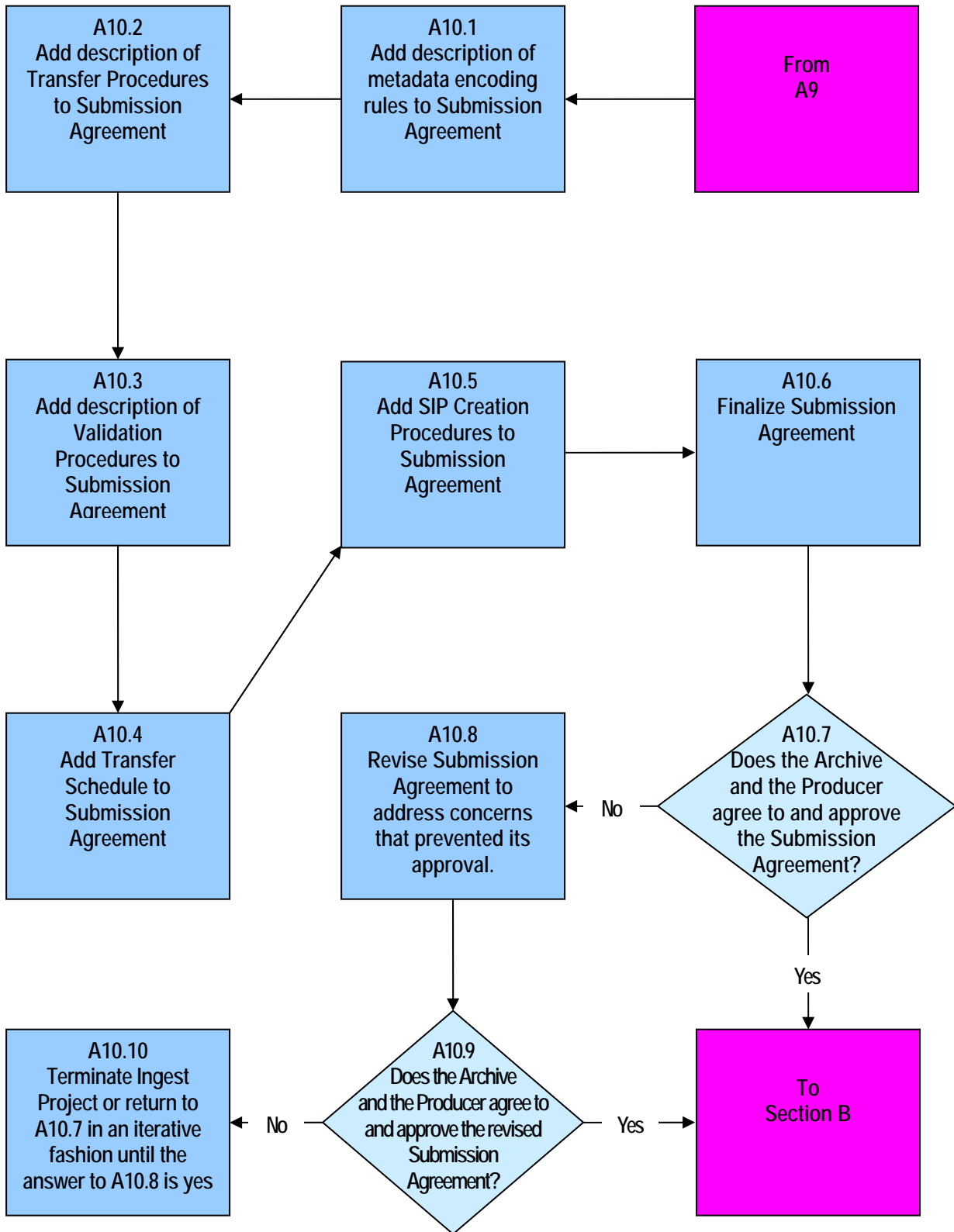
Repeat this process until the Producer and the Archive agree to sign the Submission Agreement. If the Producer and the Archive cannot agree on a finalized version of a Submission Agreement, the Archive will stop the ingest project.

Uses Draft Submission Agreement

Produces/Modifies Finalized and Signed Submission Agreement, Ingest Project

Termination Notice

PAIMAS Crosswalk F36



INGEST GUIDE:

SECTION B: TRANSFER AND VALIDATION

Overview

The Transfer and Validation section of the Ingest Guide describes the actions needed for an Archive and a Producer to successfully transfer and validate records into a preservation system. This portion of the Ingest Guide describes the actual transfer, validation, and transformation work of an ingest project. The steps for transfer, validation, and transformation are defined by Submission Agreements created in Step A.

This section is composed of six parts. During Part B1 the Producer packages the appropriate records in a Submission Information Package (SIP) with the proper metadata as it agreed to do in the Submission Agreement. Once the Archive has received the SIP during Part B2, Automated Validation, it must verify the integrity, completeness, and correctness of the transfer and validate that the transferred records conform to the requirements of the Submission Agreement and to technical file format standards. This includes validating the SIP against the requirements of the Submission Agreement. Then in Part B3, Transform and Attach Metadata, the Archive transforms the records and attaches any needed metadata as prescribed by the Submission Agreement. In Part B4, AIP Formation, the Archive assembles the records involved in the Ingest Project into Archival Information Packages (AIPs). Then in Part B5, Final Appraisal, the Archive makes a final check of the records and the metadata in the AIP to ensure that they conform to the rules of the Archive and are indeed the records described in the Submission Agreement. Finally in Part B6, Formal Accession, the Archive formally accessions the records into the Preservation System and notifies the Producer of this formal accession.

Part B6 is the final step of the Ingest Guide and is the last step of an Ingest Project.

The Ingest Guide uses the *OAIS* definition of SIP: “An Information Package that is delivered by the Producer to the *OAIS* for use in the construction of one or more AIPs.”⁷ It also uses the *OAIS* definition of AIP: “An Information Package, consisting of the Content Information and the associated Preservation Description Information (PDI), which is preserved within an *OAIS*.”

⁷ Consultative Committee for Space Data Systems, *Reference Model for an Open Archival Information system (OAIS)*, CCSDS 650.0-B-1, Blue Book, January 2002.

INGEST GUIDE:

SECTION B: TRANSFER AND VALIDATION

PART B1: SIP CREATION AND TRANSFER

Overview

During this Part a Producer creates a Submission Information Package (SIP) of the records an Archive will accession according to the terms of a Submission Agreement. A Producer will then transfer the SIP to an Archive.

B1.1

Description A Producer prepares the records that it has agreed to transfer in the Submission Agreement by packaging them in a Submission Information Package (SIP) according to the SIP Creation Procedures articulated in the Submission Agreement. The SIP includes any necessary metadata, digital signatures, or Producer-side transformations that the Submission Agreement called for. Creation of the SIP may be technically complex, depending on the number of digital components and the number and complexity of file formats of those components. The Producer may or may not be able to accomplish this task on its own and may require technical assistance from the Archive. The Archive may wish to build a tool set to enable Producers to produce SIPs.

Uses SIP Creation Procedures Decision, SIP Creation Procedure

Produces/Modifies SIP

Producer-Archive Interface Methodology Abstract Standard (PAIMAS) Crosswalk
T2

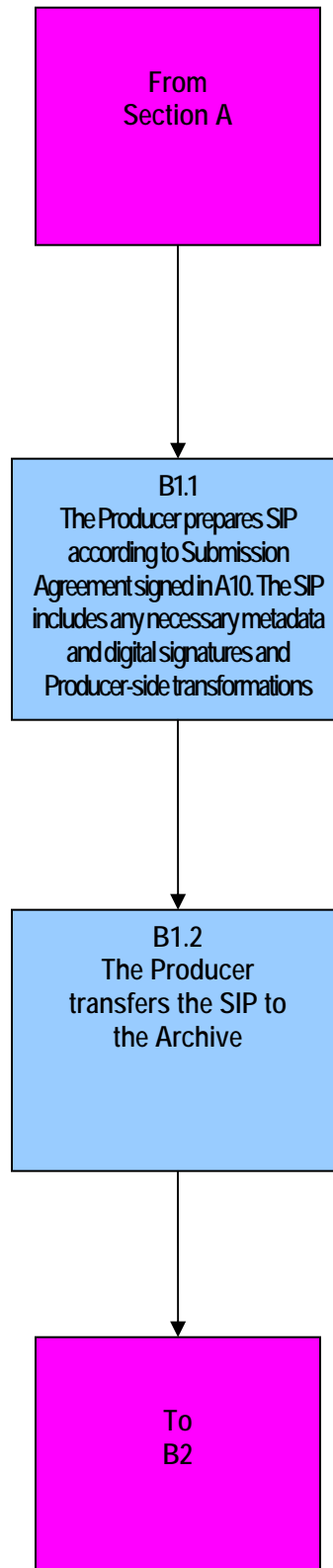
B1.2

Description A Producer transfers the SIP to an Archive. This step represents the actual transfer moment in the ingest process. The transfer may be a physical exchange of storage media containing electronic records, or a transfer undertaken over a computer network. None of the steps involved in completing either of these processes are described here.

Uses Transfer Schedule

Produces/Modifies None

PAIMAS Crosswalk T2



INGEST GUIDE:

SECTION B: TRANSFER AND VALIDATION

PART B2: VALIDATION

Overview

During this Part, an Archive validates the SIP and its included record components it received from a Producer. It checks if the SIP and its components are well-formed and if they contain viruses. It also validates that the Producer was authorized to transfer the SIP and that the SIP conforms to the requirements of the Submission Agreement. If the SIP fails any of these validations the Archive rejects the SIP and notifies the Producer to generate another SIP. An Archive can carry out all of the steps in this Part in an automated manner. While an Archive does not have to automate these Steps, automation would greatly enhance its productivity.

B2.1

Description An Archive actually receives the SIP from a Producer. An Archive can notify a Producer that it has received the SIP as long as the Archive makes it clear that its receipt of SIP does not automatically mean it will accept it.

Uses Institutional Identity Management System, Producer Record

Produces/Modifies Documentation of Receipt

Producer-Archive Interface Methodology Abstract Standard (PAIMAS) Crosswalk T2

B2.2

Description This is the first of five validation steps that an Archive performs on a SIP. In this step, an Archive performs a format check on the SIP package.

Uses SIP Creation Procedures

Produces/Modifies SIP Validity Statement

PAIMAS Crosswalk V2

B2.3

Description An Archive checks if a SIP contains any malicious code (viruses). Because of the age of the digital components contained in the SIP, the Archive must ensure that malicious code check can recognize very old malicious code.

Uses SIP Creation Procedures, Virus Definition Files

Produces/Modifies SIP Validity Statement

PAIMAS Crosswalk V2

B2.4

Description An Archive checks if the submitter of a SIP is authorized to send the SIP to the Archive.

Uses Producer Entry

Produces/Modifies SIP Validity Statement
PAIMAS Crosswalk V2

B2.5

Description An Archive checks if a SIP contains all of the necessary records components as required by a Submission Agreement.

Uses Format Transformation Plan, Record Type Record

Produces/Modifies SIP Validity Statement
PAIMAS Crosswalk V2

B2.6

Description An Archive validates that the file formats of the records components contained within a SIP conform to technical file format standards.

Uses Format Transformation Plan, Record Type Record, Format Representation Information System

Produces/Modifies SIP Validity Statement
PAIMAS Crosswalk V2

B2.7

Description If an Archive finds any problems with a SIP or its components in Steps B2.2 through B2.6, the Archive will reject all of the records in the SIP affected by the validation failure.

Uses None

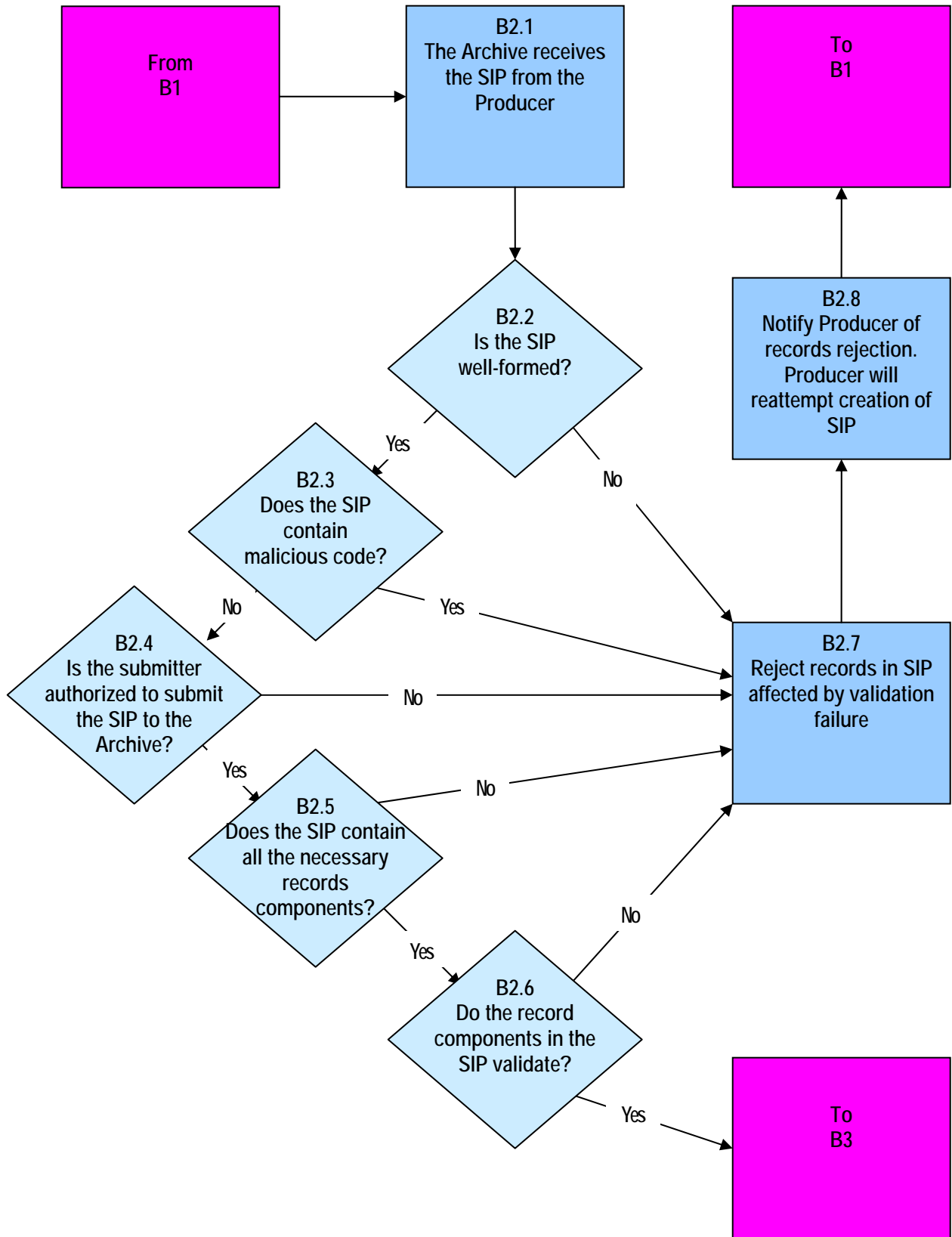
Produces/Modifies None
PAIMAS Crosswalk V3

B2.8

Description An Archive notifies a Producer that it has rejected at least some records in a SIP. The Producer will correct the error and repeat Step B1.1, creating another SIP of those records for resubmission.

Uses None

Produces/Modifies SIP Rejection Notification
PAIMAS Crosswalk V3



INGEST GUIDE:

SECTION B: TRANSFER AND VALIDATION

PART B3: TRANSFORM AND ATTACH METADATA

Overview

During this Part, an Archive transforms any records in an Ingest Project that require transformation. An Archive also attaches metadata it can automatically infer from the Submission Agreement and its associated documentation to the records involved in an Ingest Project. This metadata usually includes unique identifiers, the Producer, Record Types, formats, time of transfer, and Records Security Profiles. This metadata should allow an Archive to gain administrative control over the records. An Archive can add descriptive metadata to records after it has completed the Ingest Project.

B3.1

Description An Archive determines if any of the records in an Ingest Project require transformation. An Archive makes this determination based on the findings it made in Part A4.

Uses Format Normalization Plan

Produces/Modifies None

Producer-Archive Interface Methodology Abstract Standard (PAIMAS) Crosswalk None

B3.2

Description If an Archive needs to transform any of the records in an Ingest Project it will transform the records as determined in Part A4.

Uses Format Transformation Plan

Produces/Modifies Records Transformed

PAIMAS Crosswalk None

B3.3

Description An Archive will attach metadata it can infer from the Submission Agreement to the records in the Ingest Project. This is an automated application of the metadata whose encoding rules are articulated in Step A10.1.

Uses Metadata Encoding Rules

Produces/Modifies Records with Attached Metadata

PAIMAS Crosswalk None

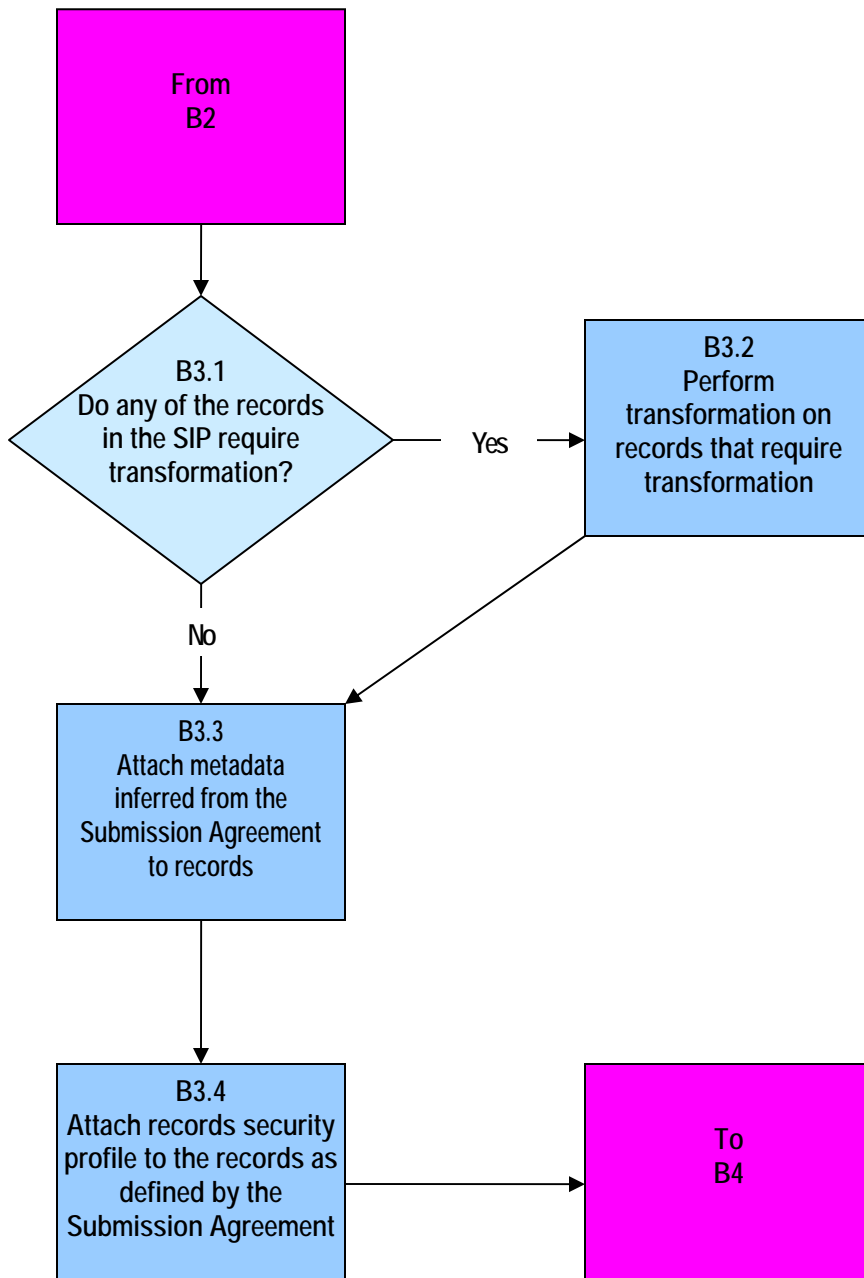
B3.4

Description An Archive will attach the proper records security profile to the records in a SIP as defined in Part A8.

Uses Records Security Profile

Produces/Modifies Records with Security Profile

PAIMAS Crosswalk None



INGEST GUIDE:

SECTION B: TRANSFER AND VALIDATION

PART B4: AIP FORMATION

Overview

During this Part, the Archive formulates the records involved in an Ingest Project into Archival Information Packages (AIP) according to the rules and procedures of the Archive's repository.

B4.1

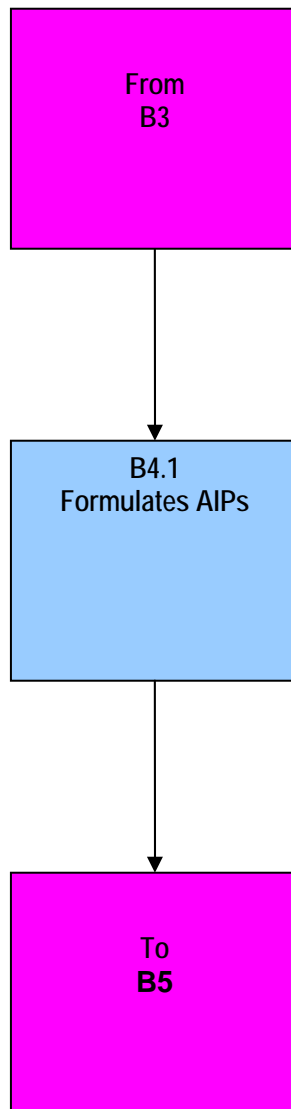
Description An Archive turns the records involved in an Ingest Project into AIPs.

Uses AIP Configuration Rules

Produces/Modifies AIP

Producer-Archive Interface Methodology Abstract Standard (PAIMAS) Crosswalk

None



INGEST GUIDE:

SECTION B: TRANSFER AND VALIDATION

PART B5: FINAL APPRAISAL

Overview

During this Part, an Archive conducts a final appraisal of the records involved in an Ingest Project. It ensures that the records in the newly formed AIPs are the records described in a Submission Agreement and that they have the proper metadata associated with them. If the AIP does not contain the correct records the Archive rejects the records and notifies the Producer to generate a new SIP for the affected records. If the records in the AIP do not have the proper metadata, the Archive determines if it can be added with a reasonable amount of effort. If this effort is too great the Archive rejects the affected records. Usually, an Archive will check a sample of records involved in an Ingest Project. The appropriate rate of sampling will depend on the circumstances of the Archive and individual Ingest Projects.

B5.1

Description An Archive manually checks the records in an AIP to determine if they are in fact the records described in the Submission Agreement.

Uses Survey Report

Produces/Modifies AIP Validity Statement

Producer-Archive Interface Methodology Abstract Standard (PAIMAS) Crosswalk V2

B5.2

Description If the records in an AIP do not match the records listed or described in a Submission Agreement, an Archive will reject the affected records in the AIP.

Uses None

Produces/Modifies None

PAIMAS Crosswalk V3

B5.3

Description An Archive notifies a Producer that it has rejected records in an AIP. The Producer will correct the error and repeat Step B1.1, creating a new SIP for the affected records.

Uses None

Produces/Modifies AIP Rejection Notification

PAIMAS Crosswalk T3

B5.4

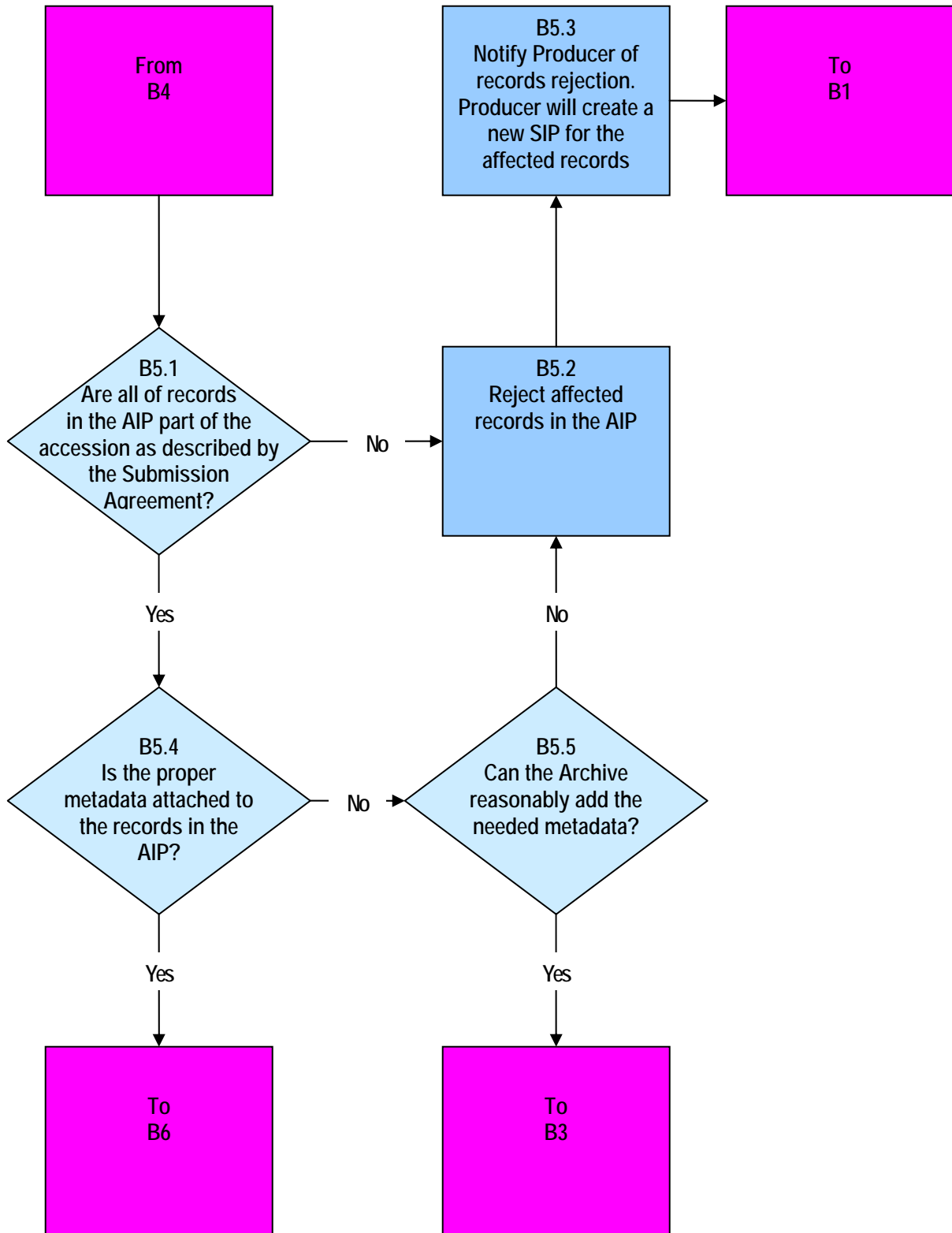
Description An Archive manually checks the records in an AIP to determine if they have the proper metadata.

Uses Metadata Encoding Rules
Produces/Modifies AIP Validity Statement
PAIMAS Crosswalk V2

B5.5

Description If at least some of the records in an AIP do not have the proper metadata attached, an Archive will determine if it can reasonably attach the proper metadata. If it can, it goes back to Step B3.3 to attach the proper metadata. If it cannot reasonably attach the proper metadata to the records in the AIP, the Archive will move to Step B5.2 and reject the affected records.

Uses Metadata Encoding Rules
Produces/Modifies None
PAIMAS Crosswalk None



INGEST GUIDE:

SECTION B: TRANSFER AND VALIDATION

PART B6: FORMAL ACCESSION

Overview

During this part, an Archive formally notifies a Producer that it has accepted and accessioned a SIP. This is the moment of formal transfer from a Producer to an Archive.

B6.1

Description An Archive submits the AIP(s) to its Preservation Repository according to its Repository rules.

Uses None

Produces/Modifies None

Producer-Archive Interface Methodology Abstract Standard (PAIMAS) Crosswalk
T2

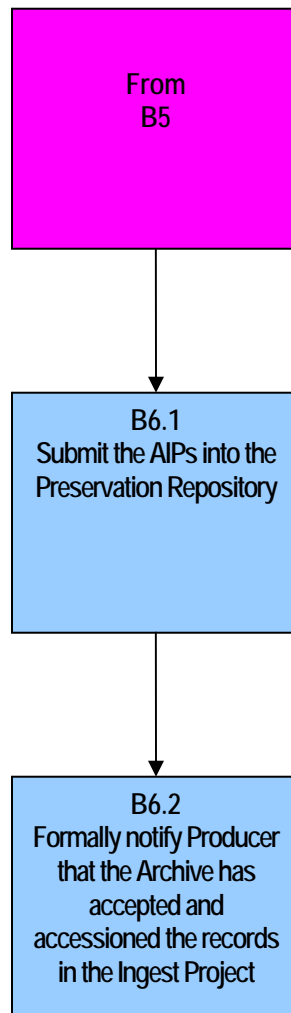
B6.2

Description An Archive formally acknowledges that it has accepted and accessioned the records involved in the Ingest Project. This is the moment of formal transfer of the records in a SIP from a Producer to an Archive.

Uses None

Produces/Modifies Transfer Notice, Accession Log

Producer-Archive Interface Methodology Abstract Standard (PAIMAS) Crosswalk
T2



INGEST GUIDE: SUBMISSION AGREEMENT

Overview

A Submission Agreement defines the nature and scope of the records involved in an Ingest Project and delineates the manner in which the Archive and Producer will execute the transfer, validation, and transformation of these records. In addition to guiding the work of the Producer and Archive for transfer and transformation and serving as the metric for validation, its also provides both entities a document describing the terms of an Ingest Project that they can sign and agree to. A Submission Agreement can cover a single Ingest Project or a series of recurring Projects.

A Submission Agreement records the information needed to establish the terms of the scope, transfer, validation, and transformation of an Ingest Project. The Archive documents this as Components in the Submission Agreement. Most of these Components—and the decisions they represent—are tied to standing Resources. For example one of the elements of a Submission Agreement identifies the format types of the records in an Ingest Project. This Component in the Submission Agreement references a Formal Representation Information System on the format types the Archive employs as preservation formats in its Preservation System. Resources are usually policies, procedures, metadata records, or logs of action. While these Resources have an impact on nearly all of an Archive's Ingest Projects, they are not specific to any single Ingest Project.

Ideally, an Archive creates machine-readable and human-readable versions of its Submission Agreements. A human-readable version gives a Producer and Archive a document both can agree to and sign. A machine-readable version enables a degree of automated validation and transformation, usually coordinating calls to sets of other machine-readable code that dictate validation and transformation activities. This automation should help an Archive make the size and number of its Ingest Projects scalable. The degree of automation depends on largely on the amount of detail an Archive's Resources have. For example, if an Archive's Format Representation Information System contains detailed, machine-readable, technical and administrative metadata about each Format, it can use that metadata to automatically validate and transform the formats of records during Ingest. If an Archive's Format Representation Information System is just a simple paper list and brief narrative description of formats, the Policy will not help the Archive automatically validate or normalize any records.

Some Ingest Projects—usually those with new types of records, formats, creators, or special circumstances—will prompt an Archive to create a new version or add to one or more of its Resources. For example, if an Archive decides to preserve a record in a format that is not one of its existing preservation formats, it will have to add that format

to its Format Representation Information System, producing technical and administrative metadata about the new format. Although this Resource development demands time and effort, it will allow the Archive to automate a greater variety of Ingest Projects in the future. As an Archive adds detail and breadth to their Resources, it will be able to automate a greater portion of its Ingest Process for a broader range of records.

The Survey Report, created in Part A3, is a critical part of the Ingest process that inventories the records that the Archive should accession in a particular Ingest Project. A Survey Report can exist as a separate entity that a Submission Agreement references or it can be embedded into a Submission Agreement.

See Appendix B for an example of a Submission Agreement.

INGEST GUIDE: COMPONENTS, RESOURCES, PRODUCTS, AND DOCUMENTATION

Overview

Below are descriptions of the Components, Resources, Products, and Documentation that Archives use to undertake Ingest Projects and create Submission Agreements. Each Component, Resource, Product, and Documentation includes a description, an explanation of its role in the Ingest process, and a listing of all the steps that use and produce it. They are listed alphabetically.

How these Resources and Components manifest themselves will vary from Archive to Archive. Therefore, this section of the Ingest Guides describes each Resource and Component generally but does not prescribe their composition in detail. This section essentially highlights the need for an Archive to have these Resources and Components in some form, but does not extensively describe the manner of their existence.

Components

Expressions or selections of Resources an Archive records in a Submission Agreement. The Components record decisions an Archive makes for the scope, transfer, validation, and transformation of records in an Ingest Project.

Resources

An Archive's standing policies, procedures, metadata records, or logs of action. Resources dictate the actions an Archive undertakes during its Ingest Projects. Resources are not specific to any single Ingest Project. A Submission Agreement references Resources through Components.

Products

Objects created or modified as a result of the work an Archive and Producer undertake during an Ingest Project.

Documentation

Expressions of decisions an Archive makes during an Ingest Project that the Archive does not need in its Submission Agreement to undertake transfer, validation, and transformation but does need to document all of its Ingest decisions.

Access Controls Gap Analysis

Description An analysis of the security capabilities of the Preservation System in comparison to the access control needs of the records in an Ingest Project. If the security capabilities fall short of the records' access control needs, the Archive measures this gap and describes it in the Gap Analysis.

Ingest Project Role Documentation

Steps that Use A8.5, A8.6, A8.8

Steps that Produce/Modify A8.4

Access Controls Gap Analysis Feasibility Statement

Description A statement that declares if the preservation system is or is not capable of meeting the access control needs of the records in the Ingest Project.

Ingest Project Role Documentation

Steps that Use A8.8

Steps that Produce/Modify A8.5

Access Controls Policy

Description An articulation of an Archive's policy on access to records in the Preservation System. This includes security measures an Archive takes to prevent unauthorized access to records. This also usually includes access restriction profiles—like “open access,” “restricted, administrative records,” and “restricted, personal records”—that declare who can gain access to the records under what circumstances and when.

Ingest Project Role Resource

Steps that Use A8.2, A8.3, A8.4, A8.8

Steps that Produce/Modify A8.8

Access Controls Requirement

Description An articulation of the security requirements and access restriction profile needs of the records in an Ingest Project.

Ingest Project Role Component

Steps that Use A8.4

Steps that Produce/Modify A8.2, A8.3, A8.6

Accession Log

Description A record of the accessions an Archive has made. At a minimum, an accession entry should record a basic description or identification of the accessioned records, the date of transfer, and the Producer that transferred the records to the Archive.

Ingest Project Role Resource

Steps that Use A1.3

Steps that Produce/Modify B5.1

Activity Log

Description A record of the work an Archive has done with or for a Producer. Entries in an Activity Log may include accessions, surveys, consultations, or any other type of activities the Archive may engage in. Because Activity Logs vary so greatly among Archives, an Archive may create an entry at any point during an Ingest Project depending on what activities it wants to document. The Archive should only keep an Activity Log to the extent that it wants to document its activities in this form.

Ingest Project Role Resource

Steps that Use A1.3, A2.3

Steps that Produce/Modify Varies

Archival Information Package

Description An Archival Information Package, commonly referred to as an “AIP,” is the form a record takes when it is managed in a preservation repository. *OAIS* defines an AIP as “An Information Package, consisting of the Content Information and the associated Preservation Description Information (PDI), which is preserved within an OAIS.” (*OAIS* pg 1-7)

Ingest Project Role Product

Steps that Use None

Steps that Produce/Modify B4.1

Archival Information Package Configuration Rules

Description These rules articulate how an Archive needs to assemble its Archival Information Packages (AIPs) so it can successfully submit them to its preservation repository and manage and preserve them over time.

Ingest Project Role Resource

Steps that Use B6.1

Steps that Produce/Modify None

Archival Information Package Rejection Notice

Description A notification an Archive sends to a Producer that it has rejected an Archival Information Package (AIP). The Notification should describe why and when the Archive terminated the AIP. An Archive will also retain a copy of the Notice for its collection management system.

Ingest Project Role Documentation

Steps that Use None

Steps that Produce/Modify B5.3

Archival Information Package Validity Statement

Description A statement of an Archive makes declaring the validity of an AIP.

Ingest Project Role Documentation

Steps that Use None

Steps that Produce/Modify B5.1, B5.4

Archive Naming/Identification Scheme

Description This scheme defines how an Archive names and/or identifies the records it holds in its Preservation System. An Archive may support multiple Naming/Identification schemes, although many Archives will only support one such scheme. If an Archive decides to use a Producer Naming/Identification Scheme to name or identify records in its Preservation System, the Archive will adapt that Producer scheme as an Archive Naming/Identification Scheme in Step A6.3.

Ingest Project Role Resource

Steps that Use A6.2, A6.4

Steps that Produce/Modify A6.3

Archive Naming/Identification Scheme Decision

Description This records the decision an Archive makes on which naming or identification scheme it will apply to the records involved in an Ingest Project.

Ingest Project Role Component

Steps that Use None

Steps that Produce/Modify A6.4

Collection Policy

Description In addition to defining what type of records an Archive collects, a Collection Policy also identifies the Producers an Archive will collect records from. Usually, this covers Producers not addressed in a Records Authority Statement, although a Statement and a Collection Policy may overlap.

Ingest Project Role Resource

Steps that Use A1.4, A3.3, A3.4

Steps that Produce/Modify None

Copyright Policy

Description An articulation of how an Archive manages the reproduction of records in light of their Copyright Status.

Ingest Project Role Resource

Steps that Use A7.2, A7.3, A7.4

Steps that Produce/Modify None

Copyright Status

Description An indication of the copyright status of the records in an Ingest Project, usually indicating the copyright holder and any applicable licensing agreement the Archive has with the copyright holder.

Ingest Project Role Component

Steps that Use A7.2

Steps that Produce/Modify A7.1

Copyright Transfer/License

Description An agreement between an Archive and a copyright holder—which is not the Producer in an Ingest Project—that either transfers copyright ownership of the records in an Ingest Project from the original copyright holder to the Archive or licenses the Archive the right to reproduce the records under a defined set of conditions.

Ingest Project Role Resource

Steps that Use None

Steps that Produce/Modify A7.7

Designated Community Description

Description A description of “An identified group of potential Consumers who should be able to understand a particular set of information. The Designated Community may be composed of multiple user communities.” (*OAIS* pg 1-10) Usually the description of a community’s ability to understand a set of information focuses on the community’s technical capability to functionally use the formats of a set of records. See the *Reference Model for an Open Archival Information System (OAIS)* for more information on Designated Communities.

Ingest Project Role Resource

Steps that Use A5.3

Steps that Produce/Modify None

Draft Submission Agreement

Description A completed Submission Agreement that neither the Producer nor the Archive have endorsed.

Ingest Project Role Product

Steps that Use A10.7, A10.8, A10.9, A10.10

Steps that Produce/Modify A10.6, A10.8

Finalized and Endorsed Submission Agreement

Description A completed Submission Agreement that both the Producer and the Archive have endorsed.

Ingest Project Role Product

Steps that Use None

Steps that Produce/Modify A10.7, A10.9, A10.10

Format Representation Information System

Description: A repository of information about all formats utilized by the Preserver along with documentation of verification, validation, and rendering tools for each format. The system should be able to associate digital components with corresponding file format specifications and the tools to work with them. These systems may be homegrown, created and maintained externally (PRONOM, Global Digital File Format Registry), or a hybrid of local and external representation information. Some of this information might

be stored in paper documentation, but for the system to be useful it would need to be electronic and integrated into the Ingest process.

Ingest Project Role Resource

Steps the Use A5.1, A5.2, A5.3, B2.6

Steps the Produce/Modify None

Format Standards Policy

Description A Policy that declares the formats an Archive is able to Ingest records in, and the formats the Archive employs in its Preservation System. A preservation format is a format that an Archive is capable of functionally preserving over the long term. Each time an Archive decides to employ a new preservation format, it will need to add that format to its Format Standards Policy.

Ingest Project Role Resource

Steps that Use A5.1

Steps that Produce/Modify A5.3, A5.4

Format Transformation Plan

Description An articulation of how an Archive plans to transform the records involved in an Ingest Project, detailing the process of it accepting format types from the Producer and transforming them into appropriate Preservation Formats.

Ingest Project Role Component

Steps that Use B2.5, B2.6, B3.1

Steps that Produce/Modify A5.1, A5.4, A5.5

Ingest Project Termination Notice

Description A notification an Archive sends to a Producer that it has terminated the Ingest Project. The Notification should describe why and when the Archive terminated the Ingest Project. An Archive will also retain a copy of the Notice for its collection management system.

Ingest Project Role Documentation

Steps that Use None

Steps that Produce/Modify A1.5, A2.5, A3.5, A7.6, A8.7, A9.5, A10.10

Institutional Identity Management System

Description An institution-wide identity management system that the Archive may use to help confirm the identity of a Producer. The system may manifest itself in a variety of ways, from a simple paper directory to an LDAP-based system.

Ingest Project Role Resource

Steps that Use A1.2, A1.6, A2.3, B2.1

Steps that Produce/Modify None

Metadata Encoding Rules

Description An articulation of the schemas for the metadata attached to the records in an Archive's Preservation System.

Ingest Project Role Resource

Steps that Use A10.1, B3.3, B5.4, B5.5

Steps that Produce/Modify None

Metadata Encoding Rules Decision

Description This articulates the metadata schema(s) an Archive decides to use as the encoding standard for the metadata it attaches to the records in an Ingest Project.

Ingest Project Role Component

Steps that Use None

Steps that Produce/Modify A10.1

Preservation System Availability Statement

Description A statement of the institutional, financial, staffing, and technical capabilities of the Preservation System to manage and preserve the records in an Ingest Project.

Ingest Project Role Documentation

Steps that Use None

Steps that Produce/Modify A9.1, A9.2, A9.3

Preservation System Capabilities Report

Description A serial report that states the institutional, financial, staffing, and technical capabilities of the Preservation System.

Ingest Project Role Resource

Steps that Use A5.2, A8.3, A8.4, A9.1, A9.2

Steps that Produce/Modify None

Preservation System-Managed Archival Information Package

Description An Archival Information Package that is stored, maintained, and preserved in a Preservation System.

Ingest Project Role Product

Steps that Use None

Steps that Produce/Modify B6.2

Producer Entry

Description A reference to a specific Producer Record about a particular Producer.

Ingest Project Role Component

Steps that Use B2.4

Steps that Produce/Modify A1.3, A1.6

Producer Naming/Identification Scheme

Description A scheme that defines how the Producer names and/or identifies its records.

Ingest Project Role Documentation

Steps that Use A6.1, A6.2, A6.3

Steps that Produce/Modify None

Producer Record

Description A record that authoritatively identifies and describes Producers. It also describes the relationship of a Producer to an Archive and its relationship with other Producers. Records of producers may describe individuals or departments, offices, or units. An Archive should have a record of every Producer that has transferred records to the Archive. This way, the Archive can associate all of its records in its holdings with a Producer. A Producer Record is usually encoded as machine-readable metadata. For example, a Producer Record may be written to ISAAR(CPF) (International Standard Archival Authority Record for Corporate Bodies, Persons, and Families, 2nd ed.) and encoded in EAC (Encoded Archival Context). The more details a Producer Record has, the more an Archive can utilize that record to automate its management and description of the records in its holdings. An Archive might populate a Producer Record with data from its Institutional Identity Management System.

Ingest Project Role Resource

Steps that Use A1.3, A2.2, A2.3, B2.1

Steps that Produce/Modify A1.6

Record Security Profile

Description A description of a class of security characteristics that an archive assigns to the records in its Preservation System.

Ingest Project Role Resource

Steps that Use A8.1, A8.2, A8.9, B3.4

Steps that Produce/Modify None

Record Security Profile Decision

Description A reference to a particular Records Security Profile.

Ingest Project Role Component

Steps that Use None

Steps that Produce/Modify A8.1, A8.9

Record Type List

Description A listing of the Record Types of the records involved in an Ingest Project.

Ingest Project Role Component

Steps that Use None

Steps that Produce/Modify A4.1

Record Type Record

Description Records that describe the nature of the type of records that an Archive may accession into its Preservation System. A Record Type Record may describe various properties of a record type, including its general composition, function, confidentiality status, its Producers, and any management rules. The more details a Record Type Record has, the more an Archive can utilize it to automate its management and description of the records in its holdings.

Ingest Project Role Resource

Steps that Use A4.1, B2.5, B2.6

Steps that Produce/Modify A4.2

Records Authority Statement

Description A statement that gives an Archive the authority to serve as the Archive for Producers. If applicable, it provides evidence that an Archive has the right to serve as the Archive for the records involved in the Ingest Project.

Ingest Project Role Resource

Steps that Use A1.4

Steps that Produce/Modify None

Records Retention Policy

Description A Policy defines the disposition and period of retention of an institution's records. A Records Retention Policy may declare some records to have a disposition of permanent retention in the Archive.

Ingest Project Role Resource

Steps that Use A3.3, A3.4

Steps that Produce/Modify None

Records Transformed

Description Records that an Archive has normalized into one its Preservation Formats.

Ingest Project Role Product

Steps that Use None

Steps that Produce/Modify B3.2

Records with Attached Metadata

Description Records that an Archive has attached metadata to during Part B3.

Ingest Project Role Product

Steps that Use None

Steps that Produce/Modify B3.3

Records with Security Profile

Description Records that an Archive has attached security profile(s) to in Part B3.

Ingest Project Role Product

Steps that Use None

Steps that Produce/Modify B3.4

Representation Information

Description This is "the information that maps a Data Object into more meaningful concepts." (*PAIMAS* pg 1-7) Generally, it is the technical information needed to fill in the gap between the configuration of a record's format and the knowledge base of a Designated Community. Each time an Archive decides to employ a new preservation

format, it will need to generate Representation Information for that preservation format in Step A4.3.

Ingest Project Role Resource

Steps that Use None

Steps that Produce/Modify A5.3

Submission Information Package

Description A Submission Information Package, commonly referred to as a “SIP,” is created by a Producer for preparing records for transfer to an Archive. *OAIS* defines a SIP as “An Information Package that is delivered by the Producer to the OAIS for use in the construction of one or more AIPs.” (*OAIS* pg 1-13)

Ingest Project Role Product

Steps that Use None

Steps that Produce/Modify B1.1

Submission Information Package Creation Procedures

Description Procedures that describe how a Producer should create a SIP.

Ingest Project Role Resource

Steps that Use A10.5, B1.1, B2.2, B2.3

Steps that Produce/Modify None

Submission Information Package Creation Procedures Decision

Description An articulation of an Archive’s decision to use a set SIP Creation Procedures in an Ingest Project.

Ingest Project Role Component

Steps that Use B1.1

Steps that Produce/Modify A10.5

Submission Information Package Rejection Notification

Description A notification an Archive sends to a Producer that it has rejected the Producer’s SIP. The Notification should describe why and when the Archive rejected the SIP.

Ingest Project Role Documentation

Steps that Use None

Steps that Produce/Modify B2.8

Submission Information Package Validity Statement

Description A statement that an Archive makes that it has validated a SIP.

Ingest Project Role Documentation

Steps that Use None

Steps that Produce/Modify B2.2, B2.3, B2.4, B2.5, B2.6

Survey Report

Description A Report identifies the records that an Archive should accession during the Ingest Project. Survey Reports can vary greatly in detail, from a general description of the records the Archive should accession to an item-level inventory of those records. An Archive may create an early working draft of the Report in Step A2.1 after it and the Producer agree on the scope of the records that will undergo the survey. In Steps A3.1 and A3.2 the Archive will describe in the Survey Report the records it surveyed to the level of detail it requires. In Steps A3.3 and A3.4 the Archive will record in the Report its decision on which, if any, records in the survey it should accession and what essential elements of these record it needs to preserve. To guide the Archive's appraisal decisions in Steps A3.3 and A3.4 and to be useful in Parts A3 through A9, the Survey Report needs to identify the records' Producer, Record Types, format type, file size, confidentiality requirements, copyright status, and any Producer-created identifiers.

Ingest Project Role Documentation

Steps that Use A3.3, A3.4, A4.1, A4.2, A5.1, A5.2, A5.5, A6.1, A6.4, A7.1, A8.1, A8.6, A9.1, A9.2, A9.3

Steps that Produce/Modify A3.1, A3.2, A3.3, A3.4, A7.5, A8.6, A9.3

Transfer Notice

Description A notice an Archive creates and sends to a Producer declaring that it has received and accessioned the records involved in an Ingest Project.

Ingest Project Role Documentation

Steps that Use None

Steps that Produce/Modify B6.1

Transfer Procedures

Description A set of procedures that articulate how a Producer transfer records to an Archive.

Ingest Project Role Resource

Steps that Use A10.2, A10.4

Steps that Produce/Modify None

Transfer Procedures Decision

Description An articulation of an Archive's decision to use a set Transfer Procedures in an Ingest Project.

Ingest Project Role Component

Steps that Use None

Steps that Produce/Modify A10.2

Transfer Schedule

Description A schedule that articulates when a Producer will transfer a SIP or set of SIPs to an Archive during an Ingest Project.

Ingest Project Role Component

Steps that Use B1.2

Steps that Produce/Modify A10.4

Transformation Policy

Description A policy that articulates an Archive's approach to making appraisal decisions concerning its transformation of records. It guides an Archive's decision to transform a record from one format to another. This Policy can exist as very general policy stating broad appraisal principles or it can exist as a very detailed policy mapping the transformation of a specific format to a preservation format for a specific record type. This Policy can exist as information embedded in the Records Retention Policy, Format Standards Policy, Format Representation Information System, and/or Collection Policy. If the Archive is dealing with a new combination of record type and format type in Step A4.5, it will probably have to add to or modify its Normalization Policy.

Ingest Project Role Resource

Steps that Use A5.5

Steps that Produce/Modify A5.5

Validation Procedures

Description A set of procedures that articulate how a Producer validates records to an Archive.

Ingest Project Role Resource

Steps that Use A10.3

Steps that Produce/Modify None

Validation Procedures Decisions

Description An articulation of an Archive's decision to use a set Validation Procedures in an Ingest Project.

Ingest Project Role Component

Steps that Use None

Steps that Produce/Modify A10.3

Virus Definition Files

Description These files define viruses.

Ingest Project Role Component

Steps that Use B2.3

Steps that Produce/Modify None

INGEST GUIDE: APPENDIX A: IMPLEMENTING THE INGEST GUIDE

Overview

The Ingest Guide is a prescriptive guide to the steps archives need to undertake to have a trustworthy ingest process. However, the Guide is not detailed procedure manual, it does not explain how an Archive should precisely execute these steps or construct its Resources. The implementation of the Guide will vary greatly from Archive to Archive depending on their circumstances and needs.

The Ingest Guide, at first reading, may appear to prescribe a daunting process for accessioning records. However, much of what the Guide asks Archives to undertake they already do, often intuitively or informally. Archives already appraise records; determine their appropriate access restrictions; make transformation decisions, like photocopy newspaper clippings; and apply metadata, like finding aids, to records. The Ingest Guide simply calls for Archives to carefully record their decisions and to base them on well-documented procedures, policies, and standards. Because electronic records are less forgiving about preservation than paper records, this documentation is imperative. In addition, traditional archival practices have often produced less than ideal results. What archivist has not been confronted with a collection without a clear understanding of its terms of use or transfer, or of the preservation decisions his or her processor made about the collection?

Although following the Ingest Guide will usually entail more work than most traditional archival accessioning methods, this will more carefully document the accession process as just mentioned. It also regularizes and streamlines many decision-making steps and has the potential to automate a considerable portion of accessioning, preservation, and descriptive work. The Guide is geared towards enabling an Archive to ingest records in a semi-automated and scalable manner. The more an archive articulates its Resources as machine-readable objects, the more it will be able to automate its ingest process. Obviously, expressing Resources as machine-readable objects can take a considerable investment of effort and each Archive will have to determine the degree of automation that is appropriate for its operations. Archives will get the biggest payoff from automating their Ingest process when they have recurring Ingests Projects from the same Producer sending the same type of records. An Archive can rapidly repeat the Ingest decisions they previously made and the more it has automated its SIP creation, transfer, validation, and transformation steps, the more quickly it can turn its SIPs into AIPs and complete its Ingest Projects. This work usually only gets slowed down when an Archive undertakes an Ingest Project with a new producer or record type or format and it has to add to its stable of resources to accommodate this new type of accession.

However, getting to that point of a highly automated, trustworthy Ingest process will require individual Archives or the records and digital preservation communities to undertake a number of tasks that this Guide points out but does not fully address. One of the most significant of these tasks is the development of the Resources described in the Guide. In order for an Archive to have an automated Ingest process it needs to have rules for creating these Resources fully developed and a schema for articulating them in a machine-readable manner. Currently, most of the Resources do not have the needed rules or schemas. Another substantial task that the Guide mentions but does not extensively examine is the creation of SIPs in Part B1. Just creating the Resource “Submission Information Package Creation Procedures” represents a substantial amount of work for an Archive. Not only does a Producer have to configure records into a SIP properly, it has to extract those records from a recordkeeping environment in a trustworthy manner—not a trivial task. A final major issue that the Guide touches upon but does not substantially explore is the appraisal an Archive undertakes in Part A3. An Archive has to use fully developed methodologies for surveying records and for determining a record’s authenticity, disposition, and essential elements. Implementing these methodologies is a major undertaking for any Archive.

**INGEST GUIDE:
APPENDIX B:
EXAMPLE OF A SUBMISSION AGREEMENT**

Overview

Below is a machine-readable and human-readable version of a single Submission Agreement. The two versions are different expressions of the same information. The data in machine-readable Submission Agreement are Components that reference Resources. The Components are expressed as underlined text in the human-readable version.

The Archive uses the human-readable version to document its own and the Producer's endorsements of the Submission Agreement. It uses the machine-readable version to automate its validation and transformation work.

In this example the Archive, the Digital Collections and Archives at Tufts University, accessions the website of the Task Force on the Undergraduate Experience. It has previously collected paper records from the Task Force.

This is a detailed illustration of a Submission Agreement; it is not a guide for constructing them. This is one example of the many ways an Archive can organize its Submission Agreements. A standard syntax for expressing Submission Agreement does not yet exist. In order for Archives to use these Agreements successfully, that syntax will need to be created.

```
<submission-agreement id="SA00023">

  <record-survey id="RS00023" />

  <archive>
    <identifier>US::TUFTSU::Central::0001</identifier>
    <name>Digital Collections and Archives</name>
  </archive>

  <producer>
    <identifier>US::TUFTSU::Taskforce::0001</identifier>
    <name>Task Force on the Undergraduate Experience</name>
  </producer>

  <circumstance>
    This Ingest Project occurs after a previous Ingest Project with the Task
    Force concerning its paper records.
  </circumstance>

  <description>
    The records in this Ingest Project are record on the website
    (http://ugtaskforce.tufts.edu) of the Task Force on the Undergraduate
    Experience (CID US::TUFTSU::Taskforce::0001). These include the President's
    charge, reports generated by the Task Force, and the additional records
    describing the Task Force's activities and findings.
  </description>

  <subscribed-users>
    <user>user1</user>
    <user>user2</user>
  </subscribed-users>

  <workflow>University Records</workflow>

  <sipcreation status="009" elements="ALL" />

  <transfer status="008" elements="ALL" />

  <descriptionstandard status="001" elements="ALL" />

  <copyright status="001" elements="ALL">
    Copyright held by Tufts University.
  </copyright>

  <confidentiality status="001" elements="ALL">
    Open access to the general public.
  </confidentiality>

  <metadata elements="ALL">
    <tag tagNS ="http://purl.org/dc/elements/1.1/"
      tagName="publisher"
      value = "Task Force on the Undergraduate Experience"/>

    <tag tagNS ="http://purl.org/dc/elements/1.1/"
      tagName="rights"
      value = "Copyright Tufts University 2001"/>
  </metadata>
```

```

<relationships>
  <sa-relationship/>

  <relationship urn="tufts:central:dca:UA088:00001"
    relNS="info:fedora/fedora-system:def/relations-external"
    relName="isMemberOf"/>

  <relationship urn="tufts:central:dca:PROD:00001"
    relNS="http://dca.tufts.edu/ns/relations/"
    relName="producedBy"/>
</relationships>

<element id="SA00023:001">
  <description>
    University president's charge to the Task Force.
  </description>

  <urnpool>
    <list>
      <urn>tufts:central:dca:nhprc-erec:UGT:00001</urn>
    </list>
  </urnpool>

  <date range begin="1999" end="1999" />

  <object-profiles>
    <profile name="0011"/>
  </object-profiles>

  <relationships>
    <relationship urn="tufts:central:dca:RTD:00019"
      relNS="http://dca.tufts.edu/ns/relations/"
      relName="hasRecordType"/>
  </relationships>
</element>

<element id="SA00023:002">
  <description>
    Various interim, status, and final reports created by the Task Force.
  </description>

  <urnpool>
    <range>
      <begin>tufts:central:dca:nhprc-erec:UGT:RP001</begin>
      <end>tufts:central:dca:nhprc-erec:UGT:RP999</end>
    </range>
  </urnpool>

  <date range begin="2000" end="2003" />

  <object-profiles>
    <profile name="0011"/>
  </object-profiles>

  <relationships>
    <relationship urn="tufts:central:dca:RTD:00011"
      relNS="http://dca.tufts.edu/ns/relations/"
      relName="hasRecordType"/>
  </relationships>
</element>

```

```

<element id="SA00023:003">
  <description>
    List of outreach activities undertaken by the Task Force
  </description>

  <urnpool>
    <list>
      <urn>tufts:central:dca:nhprc-erec:UGT:00002</urn>
    </list>
  </urnpool>

  <date range begin="2003" end="2003" />

  <object-profiles>
    <profile name="0031"/>
  </object-profiles>

  <relationships>
    <relationship urn="tufts:central:dca:RTD:00021"
      relNS="http://dca.tufts.edu/ns/rerelations/"
      relName="hasRecordType"/>
  </relationships>
</element>

<element id="SA00024:004">
  <description>
    List of links to online news stories concerning the Task Force
  </description>

  <urnpool>
    <list>
      <urn>tufts:central:dca:nhprc-erec:UGT:00003</urn>
    </list>
  </urnpool>

  <date range begin="2003" end="2003" />

  <object-profiles>
    <profile name="0043"/>
  </object-profiles>

  <relationships>
    <relationship urn="tufts:central:dca:RTD:00035"
      relNS="http://dca.tufts.edu/ns/relations/"
      relName="hasRecordType"/>
  </relationships>
</element>

<element id="SA00024:005">
  <description>
    Digitized print news stories concerning the Task Force
  </description>

  <urnpool>
    <range>
      <begin>tufts:central:dca:nhprc-erec:UGT:00100</begin>
      <end>tufts:central:dca:nhprc-erec:UGT:00199</end>
    </range>
  </urnpool>

```



```

<date range begin="2003" end="2003" />

<object-profiles>
  <profile name="0011"/>
</object-profiles>

<relationships>
  <relationship urn="tufts:central:dca:RTD:00035"
    relNS="http://dca.tufts.edu/ns/relations/"
    relName="hasRecordType"/>
</relationships>
</element>

<element id="SA00024:006">
  <description>
    List of Task Force members.
  </description>

  <urnpool>
    <list>
      <urn>tufts:central:dca:nhprc-erec:UGT:00004</urn>
    </list>
  </urnpool>

  <date range begin="2003" end="2003" />

  <object-profiles>
    <profile name="0031"/>
  </object-profiles>

  <relationships>
    <relationship urn="tufts:central:dca:RTD:00015"
      relNS="http://dca.tufts.edu/ns/relations/"
      relName="hasRecordType"/>
  </relationships>
</element>

<element id="SA00024:007">
  <description>
    List of links to studies concerning undergraduates at other institutions
    the Task Force used as benchmarks
  </description>

  <urnpool>
    <list>
      <urn>tufts:central:dca:nhprc-erec:UGT:00005</urn>
    </list>
  </urnpool>

  <date range begin="2003" end="2003" />

  <object-profiles>
    <profile name="0043"/>
  </object-profiles>

  <relationships>
    <relationship urn="tufts:central:dca:RTD:00015"
      relNS="http://dca.tufts.edu/ns/relations/"

```

```
        relName="hasRecordType" />
    </relationships>
</element>

<element id="SA00024:008">
  <description>
    Content of the Task Force website as a whole.
  </description>

  <urnpool>
    <list>
      <urn>tufts:central:dca:nhprc-erec:UGT:00006</urn>
    </list>
  </urnpool>

  <date range begin="ca. 2000" end="2003" />

  <object-profiles>
    <profile name="0064"/>
  </object-profiles>

  <relationships>
    <relationship urn="tufts:central:dca:RTD:00017"
      relNS="http://dca.tufts.edu/ns/relations/"
      relName="hasRecordType" />
  </relationships>
</element>

</submission-agreement>
```

SUBMISSION AGREEMENT

Submission Agreement ID SA00023

This Submission Agreement defines the terms of the transfer of records described in this Agreement and in the Records Survey (RS00023) (hereafter known as “The Records”) from the Task Force on the Undergraduate Experience (US::TUFTSU::Taskforce::0001) to the Digital Collections and Archives (DCA).

By agreeing to this Submission Agreement the DCA (US::TUFTSU::Central::0001) declares that it has the proper authority to transfer the records to the DCA.

Special circumstances of Ingest Project

This Ingest Project occurs after a previous Ingest Project with the Task Force concerning its paper records.

General Description of the Records

The records in this Ingest Project are record on the website (<http://ugtaskforce.tufts.edu>) of the Task Force on the Undergraduate Experience (CID US::TUFTSU::Taskforce::0001). These include the President’s charge, reports generated by the Task Force, and the additional records describing the Task Force’s activities and findings.

Detailed Description the Records

All of the records

Will be prepared for transfer according to the DCA SIP Creation rule for web-based records. (SIP Creation Rule 009)

All of the records

Will follow the DCA standard transfer procedures for university records on web server. (Transfer Rule 008)

All of the records

Will be part of Task Force on Undergraduate Experience Collection (UA088)

All of the records

Will be described according to the DCA standard descriptive rule for university records. (Metadata Descriptive Rule 01)

All of the records

Copyright held by Tufts University. (Copyright Status 001)

All of the records

Open access to the general public. (Records Security Profile 01)

President's Charge (SA00023:001)

These record(s) are the University President's charge to the Task Force. They are Charges (Record Type 00019) created from 1999 through 1999 in the form of PDF documents that the DCA will keep and preserve as PDF documents (Object-Profile 0011).

Various Reports (SA00023:002)

These record(s) are the Various interim, status, and final reports created by the Task Force. They are Reports (Record Type 00011) created from 2000 through 2003 in the form of PDF documents that the DCA will keep as PDF documents (Object-Profile 0011).

Outreach Activities List (SA00023:003)

These record(s) are the List of outreach activities undertaken by the Task Force. They are Event Records (Record Type 00021) created from 2003 through 2003 in the form of an HTML file that the DCA will normalize into plain text (Object-Profile 0031).

Links to News Stories (SA00023:004)

These record(s) are the List of links to online news stories concerning the Task Force. They are News Clippings (Record Type 00035) created from 2003 through 2003 in the form of an HTML file that the DCA will normalize into an XBEL file (Object-Profile 0043).

News Stories (SA00023:005)

These record(s) are the Digitized print news stories concerning the Task Force. They are News Clippings (Record Type 00035) created from 2003 through 2003 in the form of PDF documents that the DCA will keep as PDF documents (Object-Profile 0011).

Membership List (SA00023:006)

These record(s) are a List of Task Force members. They are Subject Files (Record Type 00015) created from 2003 through 2003 in the form of an HTML file that the DCA will normalize into plain text (Object-Profile 0031).

Benchmarking Studies (SA00023:007)

These record(s) are the List of links to studies concerning undergraduates at other institutions the Task Force used as benchmarks. They are Subject Files (Record Type 00015) created from 2003 through 2003 in the form of an HTML file that the DCA will normalize into an XBEL file (Object-Profile 0043).

Website (SA00023:008)

These record(s) are the content of the Task Force website as a whole. They are Publications (Record Type 00017) created in ca. 2000 through 2003 in the form of HTML files, PDF files, and JPEG files that the DCA will normalize together into an ZIP Tidy file (Object-Profile 0064).

Endorsement of Submission Agreement

The Digital Collections and Archives agrees to the conditions of this Submission Agreement, which commits the DCA to accession the records into its holdings according to the terms of the Submission Agreement.

Eliot Wilczek
University Records Manager
Authorized Representative of the Digital Collections and Archives

The Task Force on the Undergraduate Experience, agrees to the conditions of this Submission Agreement, which commits the Task Force on the Undergraduate Experience to transfer the records to the DCA according to the terms of the Submission Agreement.

Armand Greene
Director
Authorized Representative of Task Force on the Undergraduate Experience