Procedures

Transfer Digital Records to SFU Archives: Procedures for Records Producers

Comments
Procedures for records producers (SFU departments and private donors) to transfer digital records to the Archives

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OVERVIEW

These procedures are written for the use of records producers, i.e. SFU departmental staff working with university records, as well private individuals and organizations who are donating their records to SFU Archives. The procedures describe how to transfer records in digital form to SFU Archives, using the Archives' online Digital Records Transfer Request Form, the SFU MoveIt transfer tool, and SFU Vault, the university's cloud storage service.

A records producer initiates a transfer by submitting an online request form. On approval, the Archives issues a Transfer Number and creates a Transfer Folder on SFU Vault to which the records producer uploads the records.

Prior to upload, the records producer should package the materials using SFU MoveIt. This is a small desktop utility built by SFU Archives and SFU Library to prepare digital objects for transfer to the Archives using the BagIt specification. SFU MoveIt packages digital objects on a local machine into a standard BagIt container ("bag"), ready for upload to the drop-box on SFU Vault. Additionally, it captures a small amount of transfer metadata, creates a checksum that enables an archivist to determine whether any data was corrupted in transit, and produces a contents listing (manifest) which can later be used to help retrieve files.

PROCEDURES

1. Prepare the transfer environment

Download and install SFU MoveIt, the Archives’ transfer tool that packages records for transfer in a standards-compliant way, using the BagIt standard. Once you have installed the application, you do not need to run this step again for subsequent transfers (except when a there is an upgrade to SFU MoveIt that requires a fresh install).

1.1 Download SFU MoveIt

SFU MoveIt is available for download from the Archives website at the SFU MoveIt page.

- There are separate versions for Windows and Mac OS machines; select the version that is appropriate for your operating system.
- Note that an uninstaller is also available for the Mac OS version.

1.2 Install SFU MoveIt

The Mac OS version downloads as a zip file:

- Double-click to unzip the file; the installer will appear.
- Double-click the installer to install the application.
You can now delete the zip file and the installer.


- You must keep this file on your computer; it can be stored anywhere.

### 1.3 To uninstall

You may want to uninstall SFU MoveIt if you are no longer the primary contact for transferring digital records from your department; or if an upgrade to the application becomes available and you want to replace the old one.

**Mac OS version:**

- Download and run the uninstaller ([available at the SFU MoveIt page](https://www.sfu.ca/archives)).

**Windows version:**

- Simply delete the .exe file.

### 1.4 Detailed SFU MoveIt user guide available

The *SFU MoveIt User Guide* (GDL-44) gives more detailed instructions for installation, use, and uninstall; it is [available online at the SFU MoveIt page](https://www.sfu.ca/archives).

### 2. Determine whether records can be transferred

Not all digital records need be or can be transferred to the Archives for permanent preservation. Consider the following factors when determining whether your records are suitable for transfer.

#### 2.1 SFU units: is there an applicable RRSDA?

University records can only be transferred to Archives if there is an existing Records Retention Schedule and Disposal Authority (RRSDA) that applies to the records; for a list of all RRSDAs, see the [online Directory of University Records (DUR)](https://www.sfu.ca/archives).

Reasons why records might not be eligible for transfer:

- Your department is not the Office of Primary Responsibility (OPR) for the records.

- The records are scheduled for destruction and should not be transferred to the Archives but rather destroyed at the end of their retention period.

If there is no RRSDA or you are unsure about whether or how it applies to the digital records you want to transfer, consult with the Records Management Archivist.

If there is an applicable RRSDA for the records, determine whether the total retention period has expired.

- Electronic records should typically be sent to Archives after the expiry of the total retention period (= active + semi-active retention periods).
• This is different from paper records, which may be sent to the University Records Centre (URC) for semi-active storage at the end of their active retention period.

• The Archives does not currently have the capacity to store semi-active electronic records; we recognize this is a problem – especially for records with long semi-active retention requirements – and we will work towards a solution as part of our long-term digital records management strategy.

• If you want to transfer records whose total retention period has not yet expired, consult with the Records Management Archivist.

2.2 Private donors: is there an existing Donation Agreement that covers the records?
All private donations must be negotiated with SFU Archives and the terms and conditions set out in a signed Donation Agreement before the records can be transferred.

• Consult the "Donor resources" section of the Archives' website or contact the Archives (archives@sfu.ca) for more information about donating materials to SFU Archives.

2.3 All records producers (SFU departments / private donors): are the files formats supported?
Before transferring records, you should be aware of the file formats included in the proposed transfer. The file formats SFU Archives currently supports are listed in the Format Policy Registry (FPR) available online.

• In order to ensure the long-term accessibility of digital objects, the Archives needs a preservation and access plan for each file format it takes in; these plans are embodied in the FPR.

• If the file formats you wish to transfer are not on the FPR or appear there under Level of support as "Watch" or "Bit-level" it means that the Archives cannot currently guarantee that the files will continue to be accessible (renderable) into the future; you should consult with an SFU archivist to discuss the implications.

2.4 Digital readiness
SFU Archives is developing guidelines for "digital readiness" to help records producers transition from paper to digital record-keeping environments.

• Good records function as trustworthy evidence of the activities that generated them.

• It is this quality as trustworthy evidence that gives archival documents value for legal purposes, administrative planning and continuity, institutional commemoration, and historical research.

• In moving from paper to digital records, it is important that creators implement sound digital records-creating and records-keeping practices to protect the trustworthiness of their records across time.

• The Archives may not accept transfers of digital records if poor practices undermine the records' authenticity and reliability.
3. Submit a request to transfer digital records

To initiate a transfer, submit an online transfer request form.

3.1 Complete and submit the online Digital Records Transfer Request Form

There are two different versions of the Transfer Request Form:

- **University records**: official university records of SFU departments and units
- **Private records**: records donated by organizations that are not formally part of SFU or by individuals in their private capacity (personal archives).


If you are uncertain about which form to use, contact the Archives at moveit@sfu.ca for guidance.

3.2 Explanation of fields

Fields marked (*) are mandatory in the sense that the form will not submit if you leave these blank. Mandatory fields relate primarily to your contact information, so that Archives is able to contact you for follow-up. **However, you should complete all fields to the best of your ability.**

Note that you cannot save the form. You must complete and submit the form in a single session. Upon submission of the form, you will receive a confirmation email that will show all data you entered in all fields.

Some fields appear only on the form for transfer of university records; some fields have different names on the two forms.

**Date requested**

- Auto-enters to the current date.

**Contact name** *

- Enter your name in the form "FirstName LastName"

**Department (SFU transfers) / Organization (private transfers)**

- Enter your department or organization's name.
- Give the full name, e.g. "Department of English" rather than just "English".

**Job title**

- Provide your formal job title or the name of your position.

**Email** *

- Provide your email address; confirmation of receipt and all subsequent correspondence will go to this address.
• For transfers of university records, this should be an SFU email address.

**Telephone** *

• Enter the telephone number at which you can be reached during office hours.

• For SFU contacts, your five-digit extension is sufficient (e.g. "2-1234").

• For private donors, include your full number and area code (e.g. "604.222.1234")

**Records creator**

• SFU transfers: enter the name of the SFU unit responsible for creating and maintaining the records; give the full name of the unit (e.g. "Department of English" rather than just "English").

• Private transfers: enter the name of the organization, family, or person responsible for creating and maintaining the records; this should be the same as the entity named in the Donation Agreement.

• Often the value in this field will be the same as your Department / Organization entered in the Contact section above; but they can differ. For example, your department (the unit for which you work) is "Student Services" but the creator of the records you are transferring is "Senate Committee on Undergraduate Studies"; here Student Services is functioning as the secretariat for another body (SCUS).

**RRSDA number (SFU transfers only)**

• Enter the Records Retention Schedule and Disposal Authority (RRSDA) number in the form YYYY-NNN (e.g. "1999-003").

• Note that the 4-digit prefix in an RRSDA number just represents the year in which the schedule was drafted. It has no significance for application, i.e. as long as the RRSDA is "in force" it applies to records created in any given year.

• For a list of all RRSDAs, see the online Directory of University Records (DUR).

• Note that records subject to different RRSDAs must be transferred separately.

**Transfer title (SFU transfers only)**

• Give a brief title that reflects the contents of the transfer.

• Model the title on the name of the applicable RRSDA (e.g. "Committee files"); if appropriate, be more specific (e.g. "Departmental Graduate Studies Committee" rather than just "Committee files").

**Date range**

• Enter the range of years covered by the records, oldest to most recent (e.g. "2010–2014").

• If uncertain about the exact year, use "ca" ("ca. 2010–ca. 2014")
**Records description**

- Enter any descriptive information that will help the Archives understand what the records are and how they were created and maintained.

**Approximate size**

- Give an approximate size of the transfer as a number; check the appropriate unit of measure (KB, MB, GB, TB).

**Metadata or other documentation available?**

- "Metadata / associated documentation" refers to documents that contain information about the records you want to transfer. It can include:
  - Indexes and content listings.
  - Descriptive information.
  - Screenshots.
  - Systems documentation and manuals.
- If you click "Yes", describe the metadata / associated documentation in the box provided.
- You can transfer metadata / associated documentation along with the records in step 6.4 below.
- If you checked "Yes", an archivist may follow up with you for more information about metadata / associated documentation and will advise you on whether or not it should be transferred.

**File formats (check boxes)**

- Select the checkbox for each file format that is included (to the best of your knowledge) in the transfer.

**Other file formats**

- If you are transferring file formats that are not represented among the checkboxes, enter the file extension(s) here (e.g. "fmp12").
- List multiple values separated by commas (e.g. "ra, fmp12").

**Spam protection component**

- Check the box "I am not a robot" and follow the on-screen prompts.
- This component is intended to protect the Archives from receiving automated spam messages.

**Clear form button**

- This button clears data from all fields without submitting the form.
Submit button

- Click this button to complete the process and submit your request.
- You will be routed to an acknowledgement screen.

3.3 Receive confirmation notice: form received

Shortly after submitting the form, you will receive an email message from the Archives' moveit@sfu.ca account, confirming receipt of the form.

- The email message will be sent to the address you provided in the Contact area of the form.
- The email message includes additional reminders about downloading SFU MoveIt and where to find these transfer procedures.

3.4 If requested, provide additional information about the material for transfer

When reviewing your request form, the Archives may need to clarify details with follow-up questions; an archivist will contact you if that is the case.

4. Request rejected

The Archives may determine that the records cannot be transferred at the present time. Reasons may include:

- There is no applicable RRSDA or Donation Agreement to support transfer of the records to Archives for permanent preservation.
- The department is not the Office of Primary Responsibility (OPR) for the records series and the records are copies of the authoritative records maintained by a different department which is the OPR.
- The records' total retention period as defined by the RRSDA has not yet expired.
- The file formats are not supported at the present time.
- Poor records-management practices mean the materials will not be able to function in the future as authentic or reliable records.

If there are problems with your request, an archivist will consult with you and may request additional information.

4.1 Receive notice from Archives

If your request is rejected, the Archives will communicate this to you via email, setting out the reasons for the decisions and the next steps you should follow.

4.2 Consult with Archives re: reasons for rejection and next steps

If you have questions about the decision or next steps, contact the Archives (e.g. by responding to the email received at step 4.1) for further consultation.
5. Request approved

On approving your request, the Archives assigns a unique Transfer Number in the form Year-Serial number (TRN-YYYY-NNN); creates a Transfer Folder on SFU Vault to receive the transfer; sets an expiry date for the Transfer Number and the folder; and sends you this information in an email message.

5.1 Receive Transfer Approval Notice

The Archives will send the Transfer Approval Notice as an email. It includes the following information:

- The unique Transfer Number you will need when packing and sending the records.
- The link to the Transfer Folder on SFU Vault to which you will upload the materials for records.
- An expiry date on which the link to the SFU Vault folder will cease to work.

SFU Archives sets an expiry date (typically 30 days after approval) in order that departments and donors do not use the same number for later transfers of records that might be quite different (e.g. have different dates, file formats, RRSDAs).

6. Transfer records

Transfer involves packaging the records using SFU MoveIt, uploading the resulting Transfer Package to SFU Vault, and notifying the Archives when upload is complete.

6.1 Gather records for transfer

In preparation for transfer, move all the relevant folders and files into a single folder.

- The purpose of this step is to segregate the material for transfer from other records that will remain in your active system.
- This will facilitate the eventual deletion of the records from your system after transfer (step 7.3).
- You should generally leave files nested in their original folder / sub-folder hierarchies, as this conveys context for the files that will be lost if the directory is arbitrarily flattened out.

6.2 Package records with SFU MoveIt

Use SFU MoveIt (installed in step 1.2) to package the materials for transfer. SFU MoveIt will re-structure the top-level transfer folder into a standardized transfer format ("Bag") using the BagIt specification.

Mac users:

- Right-click the transfer folder.
- From the pop-up context menu, select Services > Transfer to SFU Archives.

Windows users:
• Double-click the file SFUMoveIt.exe to open the utility

• Click the button "Select files for transfer" and navigate to the transfer folder.

Follow the on-screen prompts: you will be required to enter your name, the Transfer Number you received in step 5.1, and the transfer Session Number.

"Session Number" refers to a situation in which you are sending several "batches" of records under the same Transfer Number. It may be useful to break up a transfer into several sessions if:

• The files are very large and Transfer Packages are easier to manage if they are smaller in size.

• The files are distributed across a number of systems or locations and / or different people will be transferring different packages at different times.

If there is only one Transfer Package, enter 1 as the Session Number; if there are multiple packages, use a different Session Number (1, 2, 3, 4 ...) for each.

When executed, SFU MoveIt restructures your transfer folder.

• It will show a completion notification when the process is finished.

• The re-structuring process may take time for large file sizes, please be patient.

On completion, SFU MoveIt creates a new folder to your desktop using the Transfer Number and Session Number you supplied e.g. TRN-2016-006-1. Inside this folder are two files:

• A zipped file (e.g. TRN-2016-006-1.zip) that is the Bag itself.

• A ".-meta.txt" (e.g. TRN-2016-006-1-meta.txt) that contains information about the transfer: your name, the Transfer Number, the date and time, a checksum of the zip file, and a list of the Bag contents (files transferred).

Download the SFU MoveIt User Guide (GDL-44) for more detailed instructions on using the application.

6.3 Upload the Transfer Package(s) to SFU Vault

Click the link provided to you by email in step 5.1 to open Transfer Folder on SFU Vault. Upload the Transfer Package to this folder.

• The link you received will expire on the Expiry Date (typically 30 days after transfer request approval).

For more information on using SFU Vault, see the help pages provided by SFU IT Services.

6.4 If applicable, upload metadata and other associated documentation to SFU Vault

"Metadata / associated documentation" are documents that contain information about the records you are transferring (see the explanations above in section 3.2).

If you have metadata / associated documentation to transfer, collect it into a single folder named "Metadata" and upload this to the same folder on SFU Vault that you accessed in step 6.3.
6.5 Notify Archives that transfer is complete

When you have completed uploading all records and any metadata / associated documentation, notify the Archives by replying to the email you received in step 5.1 above.

- In the body of the email message, indicate that upload is complete.

Retain your copy of the Transfer Package until the Archives confirms that the transfer was successful (step 8.1 below).

7. Transfer unsuccessful or rejected

The Archives validates your transfer.

- An archivist uses the checksum created by SFU MoveIt to verify that no data was corrupted during transmission.

- An archivist reviews the contents of the transfer against the original Transfer Request Form to verify that what was sent corresponds to what was approved.

If either of these validation checks fail, an archivist will consult with you; you may be asked to resend the transfer or revise the transfer contents.

7.1 Receive notice from Archives

If your transfer was unsuccessful or rejected, the Archives will communicate this to you via email, setting out the reasons for the decisions and the next steps you should follow.

7.2 Consult with Archives re: reasons for rejection and next steps

If you have questions about the decision or next steps, contact the Archives for further consultation (e.g. by responding to the email received at step 7.1).

8. Transfer successful

On successfully validating your transfer, the Archives will formally accession the records.

Accesisoning is the formal process of transferring custody and control of the records from your department to SFU Archives.

- The transfer is assigned a unique Accession Number in the form ACN-YYYY-NNN (e.g. ACN-2017-024).

- An archivist moves the records from SFU Vault and ingests them into the digital preservation system.

The Archives uses an open-source software called Archivematica to manage digital preservation actions. At this stage, Archivematica:

- Extracts the Bag from the zip file.
• Extracts any packages included in the transfer Bag (e.g. unzips Zip files).
• Assigns a unique ID to each digital object.
• Generates checksums for each digital object.
• Runs virus checks.
• Sanitizes file names (removes any special characters that may cause problems).
• Identifies file formats.
• Extracts technical metadata.

At the end of this process, the records are moved to the Archives' Accessioned Backlog Storage area.

• To access material in Accessioned Backlog Storage, see step 9.1 below.

8.1 Receive Transfer Accessioned Notice from Archives

The Archives will send you a Transfer Accessioned Notice as an email. It includes the following information:

• The original Transfer Number.
• The Accession Number.
• A brief summary of the material transferred.
• Information about how to access the records (see step 9 below).

8.2 Retain the Transfer File List created by SFU MoveIt

In the Transfer Package you created at step 6.4 above, the ".-meta.txt" file (e.g. TRN-2017-006-1-meta.txt) contains details about the transfer (Transfer and Session Number, date and time, user name) as well as a list of all the files contained in the Transfer Package.

Retain a copy of this file for your records: use it to help identify files when requesting retrievals of materials you previously sent to Archives (see step 9.1 below).

8.3 Delete materials transferred from your system

At this point you should delete from your active system the records you transferred.

Deletion ensures that:

• You will not unintentionally re-transfer the same records at a later date.
• You are in compliance with the applicable records retention schedule.
• You minimize the risk of unauthorized access, use or disclosure of personal or confidential information contained in the records.
The Archives will be able to retrieve copies of records from its unprocessed holdings backlog in the event that you require access later.

9. Access

There may be a considerable time lag between the Archives accessioning the transfer and processing it.

Processing moves the records from the accessioned backlog storage area through the Archives' preservation system (Archivematica). During this stage, Archivematica:

- Makes preservation and access copies in different file formats if required, following the normalization rules in the Format Policy Registry (FPR).
- Creates a standards-compliant Archival Information Package (AIP), consisting of the digital objects in their original file formats + the preservation copies + all associated metadata; AIPs are stored for long-term preservation.
- Creates a standards-compliant Dissemination Information Package (DIP), consisting of access copies + minimal descriptive metadata; DIPs are sent to SFU AtoM for access.

Archival processing involves arrangement and description of the records, updating SFU AtoM, the Archives' online catalogue of archival holdings.

- Some records included in the transfer may be "weeded" and destroyed as having no enduring archival value.
- The finding aid for your department will be created or updated to reflect the new accession(s).

How you later access records you have transferred to Archives depends on whether the records are still in the backlog (go to 9.1) or have been processed and made available through SFU AtoM (go to 9.2)

9.1 Access unprocessed materials from backlog

Email moveit@sfu.ca to request access to records that are still in unprocessed backlog.

Use the Transfer File Lists you retained at step 8.2 to identify the relevant file(s) and Transfer Number(s) and include this information in your request.

The Archives will consult with you about the best methods of delivery.

9.2 Access processed materials through SFU AtoM

Processed records are available through SFU AtoM, the online publicly accessible database describing SFU's archival holdings.

To access processed material you have transferred, search / consult the finding aid for your department's records in SFU AtoM.

- If there are no access or copyright restrictions, the digital files will be directly available from the SFU AtoM description.
• If there are access or copyright restrictions, email the Reference Archivist (archives@sfu.ca) to consult about the best method of access and delivery.