Transfer of Electronic Records
Metadata Collection and Accession Validation with Bagger

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Welcome!

2018 State Electronic Records Initiative Webinars

• April: TBD
• May 18: Marissa Bruhns, Massachusetts Institute of Technology, electronic records processing workflows
• Additional offerings in the works!
Today’s Presenters

- **Camille Tyndall Watson** is the *Digital Services Section Head* at the State Archives of North Carolina in Raleigh, NC. Prior to her current position at the State Archives, she was the Digital Archivist for the institution. Camille holds an MLS with a concentration in archives and records management from UNC-Chapel Hill. She has worked with the North Carolina Raleigh Road Company, the Southern Folklife Collection, the National Museum of the American Indian Media Archives, and the Forest History Society.

- **Tibaut Houzanme** is an *Expert Consultant on Digital Preservation, Records and Archives Management*. He was a Digital Archivist at the State of Indiana for about 5 years; most recently as Associate Audiovisual Archivist at the United Nations (ICTY) he worked on audiovisual records digitization, migration and metadata mapping in ERMS and DPS. He holds an MLS in Archives and Records Management from IU Bloomington and is *Certified Information Governance Professional* by ARMA International.
Session Guide:

- Acknowledgments and Disclaimer
- Metadata IS the <Label> That Helps...
- What Core and Which Extra Metadata for Digital Materials?
- Why Use Metadata Application Profile & Why Bagger?
- How to Install Bagger and Create a Metadata Profile
- Why Map to and Ingest Bag Fields into ERMS/DPS Fields?
- Create, Adapt, Adopt & Share Your Profile!
- With Whom to Forge Communities of Practice?
- Example 1: Indiana's IARA Profile and Generic Profile
- Example 2: North Carolina's Implementation Case
- Q&C: Questions & Contributions
Acknowledgment and Disclaimer

RECOGNITION

- Jim Corridan – Thanks for the opportunities: Bagger Collaboration with LOC; Bagger profile sharing!
- Sarah Koonts – Thanks for Inviting, Coordinating the Webinar; Bagger Profile Implementation; Sharing Soon!
- Education Subcommittee: Thanks for detailed planning!

REPRESENTATION

- Tibaut not an Agent of IARA, the State of Indiana or the UN
- Examples: in public domain; no confidential information

COLLABORATION

- This is an archival community exercise/learning
- Let's all contribute how best we know or can!
Metadata IS the `<Label>`
Long Term Retention
Metadata IS the <Label>

Long Term Retention

Storage Networking Industry Association (SNIA)'s Self Contained Information Retention Format (SIRF) Representation
Metadata IS the <Label> That Helps...

- Identify
- Understand
- Find/Locate
- Classify: Protect, Secure, Share
- Better Use
- Reduce Error

Self-Described
Label Inside
Label Outside
Bagged/Bottled/Capped
### What Core Metadata Needs?

<table>
<thead>
<tr>
<th>WHAT</th>
<th>WHO</th>
<th>WHEN</th>
<th>WHY</th>
<th>WHERE</th>
<th>HOW MUCH</th>
<th>WHAT FORM</th>
<th>Generic terms</th>
</tr>
</thead>
<tbody>
<tr>
<td>Title</td>
<td>Creator</td>
<td>Dates</td>
<td>Functional Classification &amp; Security</td>
<td>Location</td>
<td>Extent</td>
<td>Forms / Formats</td>
<td>Archive-Specific terms</td>
</tr>
</tbody>
</table>

Generally Accepted/Used Core Fields In Archives (Depends on Archive/Countries)
What Additional Metadata Needs with Digital Materials?

Table Snapshot From CoSA November 2014 Webinar on “STORAGE FOR ELECTRONIC RECORDS: A Discussion. Link: https://goo.gl/bkRV4H
## Why A Metadata Application Profile? & Why Bagger?

<table>
<thead>
<tr>
<th>Why Metadata Application Profile?</th>
<th>Why Bagger?</th>
</tr>
</thead>
</table>
| Harmonize & Unify Vocabulary in organization | ✓  
  + Could be achieved as community  
  + Harmonize field names & process |
| Reusable Forms Cleaner Metadata collection | ✓  
  + Consistent fields for values  
  + Structured data helps automation |
| Improved Find-ability, Etc. | ✓  
  + Identify & understand records  
  + Know records to protect/secure |
| Document Preservation Decisions and Actions Collect Cleaner Metadata, Collect Metrics & Reduce Error | ✓  
  + Validate accessions/integrity  
  + Adaptable profile by Institutions |
How to Install Bagger & Create a Metadata Profile in Bagger?

► Library Of Congress' 3 min Tutorial on Bagger
► NC's 3 Parts Tutorials on Bagger:
► For Detailed installation: LOC instructions on GitHub
► For profile creation rationale – read:
  - Bagger’s Enhancements for Digital Accessions
  - IARA's Accession Profile Use in Bagger
► Create, Adapt or Adopt a Profile!
► Share Profile in Bagger, on GitHub or in DLF ClearingHouse!
How to Install Bagger & Create a Metadata Profile in Bagger?

▶ LOC's 3 min tutorial on Bagger:

“BagIt: Transferring Content for Digital Preservation”:
https://www.youtube.com/watch?v=l3p3ao_JSfo
How to Install Bagger & Create a Metadata Profile in Bagger?

State Archives of NC's 3 parts tutorials on using Bagger:

“Bagger File Authentication Tool”:
https://www.youtube.com/watch?v=vK2aKQ64XCQ
Profile in Json Programming Code

```
{
    "ordered": [
        {
            "accession/TransferNumber": {
                "fieldRequired": true
            }
        },
        {
            "transferringInstitution/Code": {
                "fieldRequired": true
            }
        }
    ]
}
```
Outcome of Json Coding

Profile Name: Digital-Records-Accession-IARA-Indiana
accession/TransferNumber: 2016300
transferringInstitution/Code: 123
creatingInstitution/Code: 456
creatingInstitutionSubdivision: Digital Lab
creatingInstitutionAddress: 1 Indiana Square, Indianapolis In 46204
transferringEmployee: Jane Doe
receivingInstitution: Indiana State Archives, division of Indiana Archives and Records Administration
receivingInstitutionAddress: Indiana State Archives - 6440, E 30th Street, Indianapolis, IN 46219
receivingInstitutionAuthority: Jim Corridan, IARA Director and State Archivist, 402 West Washington St W472, Indianapolis, IN 46204; Phone: (317)232-7191; Email: jcorridan@iara.in.gov
receivingEmployee: John Doe
recordsSeriesNumber: GRADM3000
recordsSeriesTitle: Accession Test for Training Purposes
recordsRetentionType: Permanent (Keep Forever)
recordsDispositionNumber/Code: GRADM3000
recordsTitle/Description: Random Test Files from DigitalCorpora.org and Openpreservation.org Corpora
recordsCreationStartDate (MM/DD/YYYY): 12/15/1989
recordsCreationEndDate (MM/DD/YYYY): 03/31/2016
recordsHashedBeforeTransfer?: YES
hashSignatureType: MD5
recordsMedium/Carrier #1: Other (describe in notes)
howManyMediaReceived? #1 (e.g. 3): 0
recordsMedium/Carrier #2: CD
Whom to consider Community of Practice with on Metadata Profile?

- Local Government
- State Agencies
- CoSA/SERI members
- State Archive/Historical Society
- State Library
- Any grouping that is effective, sustainable, participative.
Share Profile in Bagger, on GitHub or in DLF ClearingHouse!
Why Automate the Mapping of Bagger Accession Fields?

► Build Once – Everyone Benefits
► Common Records Management Applications—RMA / ERMS
► Common Digital Preservation Systems—DPS
► Common Business Systems (in-house, COTS or Service)

Community Interest and support is more likely to be sustainable
IARA's Initial Profile (1of2)

<table>
<thead>
<tr>
<th>Payload</th>
<th>Bag Info</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Profile Name</td>
</tr>
<tr>
<td></td>
<td>accession/TransferNumber</td>
</tr>
<tr>
<td></td>
<td>transferringInstitution/Code</td>
</tr>
<tr>
<td></td>
<td>creatingInstitution/Code</td>
</tr>
<tr>
<td></td>
<td>creatingInstitutionSubdivision</td>
</tr>
<tr>
<td></td>
<td>creatingInstitutionAddress</td>
</tr>
<tr>
<td></td>
<td>transferringEmployee</td>
</tr>
<tr>
<td></td>
<td>receivingInstitution</td>
</tr>
<tr>
<td></td>
<td>receivingInstitutionAddress</td>
</tr>
<tr>
<td></td>
<td>receivingInstitutionAuthority</td>
</tr>
<tr>
<td></td>
<td>receivingEmployee</td>
</tr>
<tr>
<td></td>
<td>recordsSeriesNumber</td>
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<tr>
<td></td>
<td>recordsSeriesTitle</td>
</tr>
<tr>
<td></td>
<td>recordsRetentionType</td>
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<tr>
<td></td>
<td>recordsDispositionNumber/Code</td>
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<tr>
<td></td>
<td>recordsTitle/Description</td>
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<tr>
<td></td>
<td>recordsCreationStartDate (MM/DD/YYYY)</td>
</tr>
<tr>
<td></td>
<td>recordsCreationEndDate (MM/DD/YYYY)</td>
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<tr>
<td></td>
<td>recordsHashedBeforeTransfer?</td>
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<tr>
<td></td>
<td>hashSignatureType</td>
</tr>
<tr>
<td></td>
<td>recordsMedium/Carrier #1</td>
</tr>
<tr>
<td></td>
<td>howManyMediaReceived? #1 (e.g. 3)</td>
</tr>
<tr>
<td></td>
<td>recordsMedium/Carrier #2</td>
</tr>
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<table>
<thead>
<tr>
<th>Bag Info</th>
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<tbody>
<tr>
<td>R</td>
<td>2016200</td>
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<tr>
<td>R</td>
<td>123</td>
</tr>
<tr>
<td>R</td>
<td>456</td>
</tr>
<tr>
<td>R</td>
<td>Digital Lab</td>
</tr>
<tr>
<td>R</td>
<td>1 Indiana Square, Indianapolis In 46204</td>
</tr>
<tr>
<td>R</td>
<td>Jane Doe</td>
</tr>
<tr>
<td>R</td>
<td>Indiana State Archives, division of Indiana Archives and Records Administration</td>
</tr>
<tr>
<td>R</td>
<td>Indiana State Archives - 6440, E 30th Street, Indianapolis, IN 46219</td>
</tr>
<tr>
<td>R</td>
<td>Jim Corradian, IARA Director and State Archivist, 402 West Washington St W472, Indianapolis, IN 46204; Phone: (317)232-7191; Email: <a href="mailto:jcorradian@ara.ind.gov">jcorradian@ara.ind.gov</a></td>
</tr>
<tr>
<td>R</td>
<td>John Doe</td>
</tr>
<tr>
<td>R</td>
<td>GRADM3000</td>
</tr>
<tr>
<td>R</td>
<td>Accession Test for Training Purposes</td>
</tr>
<tr>
<td>R</td>
<td>Permanent (Keep Forever)</td>
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<td>R</td>
<td>GRADM3000</td>
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<tr>
<td>R</td>
<td>Random Test Files from DigitalCorpora.org and Openpreservation.org Corpora</td>
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<tr>
<td>R</td>
<td>12/15/1988</td>
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<tr>
<td>R</td>
<td>03/21/2016</td>
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<tr>
<td>R</td>
<td>YES</td>
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<tr>
<td>R</td>
<td>MD5</td>
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<td>Other (Describe in notes)</td>
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<tr>
<td>R</td>
<td>0</td>
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<tr>
<td>R</td>
<td>CD</td>
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IARA's Initial Profile (2of2)

<table>
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<th>Field</th>
<th>Value</th>
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<tbody>
<tr>
<td>howManyMediaReceived? #2 (e.g. 3)</td>
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</tr>
<tr>
<td>howManyMediaReceived? #3 (e.g. 3)</td>
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</tr>
<tr>
<td>howManyMediaReceived? #4 (e.g. 3)</td>
<td></td>
</tr>
<tr>
<td>howManyMediaReceived? #5 (e.g. 3)</td>
<td></td>
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<tr>
<td>transferMediaKept?</td>
<td>NO</td>
</tr>
<tr>
<td>media.location (if media kept)</td>
<td></td>
</tr>
<tr>
<td>recordsReceivedDate (MM/DD/YYYY)</td>
<td>02/31/2016</td>
</tr>
<tr>
<td>physicalRecordLocation (if digitized or kept)</td>
<td></td>
</tr>
<tr>
<td>Classification (for Access)</td>
<td>Open/Public</td>
</tr>
<tr>
<td>Classification (Value for Priority Actions)</td>
<td>Critical (Essential or Indispensable for Business)</td>
</tr>
<tr>
<td>Classification (Appraisal - Value for Agency)</td>
<td>Document key operations of agency</td>
</tr>
<tr>
<td>Classification (Appraisal - Value for Residents/citizen)</td>
<td>Not-Yet-Known</td>
</tr>
<tr>
<td>Classification (Appraisal - Value for Nation/State/Locality)</td>
<td>???</td>
</tr>
<tr>
<td>Classification (Appraisal - General Value)</td>
<td>Future research</td>
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<tr>
<td>digitalContentStructure</td>
<td></td>
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<tr>
<td>digitalFormatOpenness</td>
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</tr>
<tr>
<td>OAISdigitalCurationLifecycle</td>
<td></td>
</tr>
<tr>
<td>Notes</td>
<td></td>
</tr>
<tr>
<td>accessionBagCreator (update if different)</td>
<td></td>
</tr>
</tbody>
</table>

Tibaut Houzanne, Digital Records Archivist, Indiana Archives and Records Administration, Phone: (812) 232-3058, Email: thouzanne@iara.in.gov
Get Started – Take a Leap of Faith!

Create, Adapt or Adopt a Profile
Adaptation

Developing metadata profiles for Bagger in NC
Using bagger in NC

- Validation of files between agencies and Archives
- Validation of files over time
- Bagging done by state agencies, vendors, or archivists at time of donation (special collections materials only)
Current Bagger Workflow

Electronic Files → Agency staff bags files to... → Hard drive with Bag → Hard drive is sent to SANC

Digital Archivist validates bag in Preservation storage

Virus free bag moved to Preservation storage

Digital Archivist validates bag, quarantines drive

Bag may now be validated throughout year to ensure authenticity
Challenges

- Current workflow captures no metadata not captured in separate paper transfer form
- Agencies are bagging materials...how to make metadata needs clear and simple?
Adding Metadata

- Adapted Indiana’s metadata profile based on what would be realistic for transferring agencies to know and complete
The Beginning: One Profile to Rule them All

- Item Number*
- RC Number*
- Transferring Agency*
- Creating Agency Subdivision
- Transferring Employee*
- Receiving Institution*
- Receiving Institution Address*
- Dates of Records*
- Digital Originality*^
- Classification for Access*^
- Digital Content Structure*^
- Notes

*: required field  ^: drop down menu
The Feedback

- State and local records are transferred using Bagger
- Language needed to be adapted for both types of records for clarity
# A Two Profile System

## State Profile
- Item Number*
- RC Number*
- Transferring Agency*
- Creating Agency Subdivision
- Transferring Employee*
- Receiving Institution*
- Receiving Institution Address*
- Dates of Records*
- Digital Originality*^  
- Classification for Access*^  
- Digital Content Structure*^  
- Notes

## Local Profile
- Record Series Title*
- Transferring County Name*
- Creating Agency Name*
- Creating Agency Subdivision
- Transferring Employee*
- Receiving Institution*
- Receiving Institution Address*
- Dates of Records*
- Digital Originality*^  
- Classification for Access*^  
- Digital Content Structure*^  
- Notes

*: required field  ^: drop down menu
What’s next?

- Approval by Government Records Section
- Commit in GitHub
- Update forms and documentation
- Training staff and agencies
- Move into production
Questions & Contributions?

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  - (919) 807-7359

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  - https://www.linkedin.com/in/houzanme/
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