University of California, Santa Cruz

Special Collections & Archives

Accessioning and Processing Manual

Version 4

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Accessioning Workflows

General accessioning workflow

Accessioning takes legal and administrative custody of a group of records from a donor, and documents the transfer into Special Collections' holdings. The main functions of accessioning are: physical transfer of records; general review of content and condition; establishment of initial control; and assessment of future needs for processing, access, and preservation. These activities serve as a baseline level of processing. The following steps apply to all collections and may not always occur in this exact sequence. See the next section for born-digital specific accessioning procedures.

1. **Archivist responsible for acquisition undertakes a consultation with donor and site visit, if applicable.**
   Take a printed copy of the Acquisition Survey Form to guide your notetaking.

   Share notes and photos from the visit with Archivist responsible for accessioning and/or save to collection file.

2. ***For large or otherwise impactful collections:*** **Head of SCA and Supervisory Archivist undertakes an operational impact assessment of the acquisition.** The assessment process includes filling out an Operational Impact Estimator,[1] which provides an estimate of the monetary and capacity impact. These estimates are then considered in relation to processing priorities, digital project timelines, and other goals and commitments of SCA. If the collection contains a significant amount of analog AV and/or digital content, an impact assessment is ideally conducted prior to taking custody.

3. **Archivist responsible for acquisition executes a legal agreement.**
   Deed of gift and University Archives records transfer form can be accessed in the SCA Team Drive. Use the version with the born-digital addendum whenever born-digital material is present.

4. **Archivist responsible for acquisition documents process for disposition of separations**
   Signing the Deed of Gift or Records Transfer form is a good time to explain our process for separating duplicative or out of scope material, and ask the donor if they would like such materials to be returned to them. Explain that our ability to return materials is conditional upon the following:
   - We will only return separations within the donor's lifetime.

[1] Because this document contains salary information, this template is only accessible to the Head of Special Collections and Supervisory Archivist. Make a copy of the template before filling out. Fill out tab 4: Estimate Capacity Impact, rows C and E and/or F.

- We ask that the donor notify us of any change of address so that we may update our records.

If they wish to have separations returned, document this in your notes to the collection file and/or the Disposition field in the Accession record so that archivists responsible for accessioning and processing can easily find this information.

5. **Archivist responsible for acquisition packs materials on-site when applicable (or delegates).**
   If the acquisition includes analog AV and/or born-digital: Whenever possible, try to appraise special formats prior to taking custody or as close to transfer as possible. While packing, conduct an item-level appraisal of AV and digital media carriers via visual inspection of external labels. We generally do not accept unlabeled media, duplicates or commercially produced material.

6. **Archivist responsible for acquisition coordinates transfer and hands off to archivist responsible for accessioning**.
   Share notes and relevant donor email correspondence with archivist responsible for accessioning.

   If you suspect insects may be present, bag each box with a Dekko pack and leave bagged for at least four months. Supplies are located in 3260 in the upright supply cabinet.

   Considerations for interim storage:
   - Most acquisitions should be initially stored in 1221 in the storage space designated for new acquisitions. If no space is available here, contact the Supervisory Archivist for assistance.
   - For small collections, it may be more convenient to temporarily store materials in your office or the office of the archivist responsible for accessioning. In this case, **collection material (regardless of accessioning status) should not remain in individual offices for more than 3 months.** If the acquisition cannot be fully accessioned within this time-frame, it should be moved to the appropriate review shelves in storage rooms 3260 or 1221.

7. **Archivist responsible for accessioning the acquisition creates a GitHub issue.**
   Add issue to Accessioning and Processing Board, and assign yourself to it.

8. **Archivist responsible for accessioning stabilizes physical materials and labels boxes.**
   All incoming material should be rehoused into archival quality housing in the accessioning process. This is the time to replace any damaged or dirty boxes, and rehouse material received in non-standard boxes (such as shipping or printer paper boxes) so that it can be stored on standard shelving and served in the reading room. Use of clean used cartons is

encouraged.

Temporary/informal handwritten box labels are sufficient if the collection will receive further processing. If the collection is two linear feet or smaller, or if materials are uniform in format or arrangement and can be adequately described in a catalog record, assume the collection will not receive further processing and use standard foil labels.

If the acquisition is an addition: see Accessioning accruals to existing collections for specific guidance on numbering boxes.

9. **Archivist responsible for accessioning completes an accession record in ArchivesSpace within <u>two weeks</u> of its arrival in Special Collections.**
   Accession records meet requirements outlined in Creating Accession Records.

10. ***If the acquisition includes born-digital:* Archivist responsible for accessioning stabilizes digital content.**
    Briefly appraise born-digital carriers by visual inspection of external labels, transfer files to Library server, and record extent (GB) and location in accession record. See Born-Digital Accessioning Procedures for detailed steps.

11. ***If the acquisition includes analog AV:* Archivist responsible for accessioning gains intellectual control of AV.**
    Appraise AV by visual inspection of external labels, and inventory items in the departmental SCA Analog AV Log.[2]

12. **Archivist responsible for accessioning completes a resource record.**
    It is recommended to spawn the resource record from the accession record. Resource records meet requirements outlined in Creating Resource Records.

13. **Archivist responsible for accessioning requests a catalog record from the Special Collections Cataloger within <u>four weeks</u> of arrival in Special Collections.**
    Cataloger exports the resource record and converts it into a MARC record for the UCSC Library catalog and OCLC.

    Cataloger creates a "cataloged" event record in ArchivesSpace linked to the accession record. (See Creating Event Records).

14. **Archivist responsible for accessioning notifies Public Services Coordinator that the collection is ready to be shelved in 3260, and updates location info in ASpace.**
    Add or update the location information as needed in the Resource record.

[2] Per 2023 Recommendations for managing incoming analog audiovisual acquisitions.

If storing in 1221 or 1320, ask the Supervisory Archivist for assistance in identifying a space. Reshelve the collection and notify the Public Services Coordinator that you have done so.

Special instructions for oversize material: If the acquisition contains material that is too large for an oversize flat box, house it in an oversize folder, label the folder, and place it on the table in 3260. Notify the Public Services Coordinator and request to be given the drawer number once assigned. Record this drawer number location in a separate instance record in the accession record. The Public Services Coordinator tracks the contents of the flat files on the Flat File and Framed Art Inventory.

15. **Archivist responsible for acquisition initiates return or destruction of separated materials.**
    When initiating returns, include a specific deadline for responding or number of days after which we will dispose of the material. Use the following boilerplate communication (modify as needed):

    > *I am following up regarding material that we have identified as out of scope from the collection you recently donated. This includes [brief description of material, including number of boxes]. You indicated that you would like to have such materials returned to you, and I am writing to confirm if you would like to receive these items at the following address: [enter address on legal agreement]. In the event we do not receive a reply to this correspondence within 60 days, we will have authority to determine further return or disposal of the collection. Please feel free to contact me with any questions.*

    Document the date you communicated with the donor to return the material either in a memo to the collection file or on the Disposition field in the Accession record. Document each subsequent communication attempt and date it.

16. **Archivist responsible for acquisition saves relevant notes and donor email correspondence to collection folder on SPOC.**
    Archivist responsible for accessioning archivist send reminder if needed.

17. **Archivist responsible for accessioning moves GitHub issue to done and closes out, or places on hold.**

The collection is now discoverable to the public via a collection-level catalog record.

Unprocessed collections are presumed open unless there are specific donor requested access restrictions or there is a reasonable likelihood that privacy-protected materials exist throughout.

If the collection is two linear feet or smaller, or if materials are uniform in format or arrangement

and can be adequately described in a catalog record, processing stops here.

Accessioning accruals to existing collections[3]

1. All accruals to existing collections, regardless of processing status, should be recorded in a new accession record. Spawn a new accession record from the original or latest accession record. The spawned record will inherit most of the information from the existing record.

2. Enter a new accession number in the Identifier field (find the next available accession number by browsing accessions and sorting by accession number). Make adjustments to the date, extent, and other fields as necessary. Ensure all required fields are filled out per Creating Accession Records.

3. Append the accession number to the end of the title (e.g. Jean H. Langenheim Papers, accrual 2014.014).

4. Link the new accession record to the existing resource record for the collection.

5. If the existing collection is processed, there are three options for accessioning an addition to a processed collection:

    a. Add the accrual as a minimally processed series (default option). Select this option for most accruals of 2 linear feet or less. Or for larger additions if it can be adequately served minimally processed, *AND* if time allows for this work to take place in the accessioning process. This option assumes the addition will not receive further processing in the future.
        i. Minimally process the accrual.
        ii. Number the new boxes in sequence with the existing collection, starting with the next number after the last box.
        iii. Add a new series or sub-series for the accrual to the finding aid.
            1. Include the accession number in the series title (i.e. `Accession 2020.040 Addition to Langenheim papers`).
            2. If a box or subseries-level inventory is available, include this in the container list. Otherwise, summarize the contents in a series-level Scope and Content note.
            3. Add a processing note as applicable.

    b. Add the accrual as an unprocessed series. Select this option if the addition

[3] These procedures reflect guidance in "Accessioning an Addition to a Processed Collection" by Kelly Spring and "Accessioning an Addition to an Unprocessed Collection" by Rachel Searcy in *Archival Accessioning*, ed. Audra Eagle Yun. Chicago: Society of American Archivists, 2021.

requires further processing, but time *does not* allow for minimal processing (for example, because it requires significant arrangement and rehousing to make usable, and/or it is a large addition). This option assumes the addition will receive further processing at some point in the future.

i. Number the new boxes with a distinct schema that comprises the accession number + three digit box number, i.e. 2021.040.001. This schema protects the consecutive numbering of the existing collection while the addition remains unprocessed. The boxes will be renumbered consistently with the rest of the collection when the addition is eventually processed.

ii. Add a new series for the accrual to the finding aid. Examples: UC Irvine Critical Theory Institute records; Karen Tei Yamashita Papers.

1. Include the accession number in the series title (i.e. `Accession 2020.040 Unprocessed Addition to Langenheim papers`).
2. If a box or subseries-level inventory is available, include this in the container list. Otherwise, summarize the contents in a series-level Scope and Content note.
3. Add the relevant access note (see Creating the Finding Aid section).

c. Fully process and integrate the accrual into the collection. In some rare cases (such as item-level processed collections like the Gunderson Comic Book Collection), full intellectual integration is the established practice. If in doubt, consult with the Supervisory Archivist.

6. If the existing collection is unprocessed, the default practice is to accession the accrual as an unprocessed addition.

7. Update the following collection-level information in the resource record as applicable:
   - Date should reflect the new collection dates
   - Extent (both linear feet and container summary) should reflect the new total size of the collection
   - Access note
   - Arrangement note
   - Processing Information (`Boxes x-x are unprocessed; Series x is partially processed`)
   - Scope and Content note

8. Check the catalog record and request an update of any information that has changed (extent, dates, scope and content, access, etc.). Cataloger will export the resource record and overlay the old record.

Born-Digital Accessioning Procedures

The overall goals of accessioning born-digital records are to capture an authentic set of files and associated metadata, store them in a secure location, gain some level of intellectual control over the content, and make initial decisions regarding processing and preservation priorities. The following procedures align with the *AIMS Framework: The Functions of Stewardship*, outlined in the 2012 AIMS White Paper.

Procedures for accessioning born-digital records are more complex than our standard accessioning procedures for physical material. These steps may not be executed in a linear progression, they may occur concurrently, and they are dependent on the type and quantity of records, method of transfer, and technical and staff resources available.

The UCSC Born-Digital Accessioning and Processing Flowchart outlines our workflow as of November 2018 and identifies research needs and pain points.

NOTE: *Track all time spent on accessioning and processing born-digital collections in the shared Born-digital accessioning and processing time tracker.*

Accessioning born-digital records from digital media carriers in hybrid collections

The following procedures are oriented for managing digital media carriers, such as optical disks and floppy disks. See the following section for guidance on accessioning from hard drives or networks.

1. Transfer records[4] and gain administrative control

1.1 Confirm that gift or transfer paperwork has been completed

Review paperwork and determine if born-digital content was specifically included in the Deed of Gift. If it was not and there is significant born-digital content in the collection, it may be necessary to add an addendum to the Deed of Gift (see Deed of Gift Addendum for Born-Digital). It is important that donors are made aware of our access and preservation policies with regard to their born-digital records. The Head of Special Collections will determine the appropriate communication strategy. See Born-Digital Acquisition Guidelines for more information.

[4] Transferring to Special Collections is defined by copying digital records to the Library's Artifacts2 server.

1.2 Create a baseline accession record for physical collection using standard accessioning procedure

Follow steps in the General Accessioning Workflow. Whenever possible, identify the presence and location of digital media carriers during the accessioning process.

1.3 Determine transfer and short-term storage plan for born-digital content

Consider what transfer methods are viable for the accession, taking into consideration the nature and volume of the records and available resources. Generally leave carriers in place in the collection until transfer takes place. Consult with the Digital Preservation Librarian if the estimated size is greater than 100 GB, or if there are issues with the carriers.

1.4 Conduct carrier level pre-transfer appraisal and separate unwanted carriers

This process provides the opportunity to weed out duplicate or out of scope material at the carrier level before files are transferred. This step is most appropriate for accessioning digital media carriers in hybrid collections, but may be appropriate for other types of transfers.

Review the labels on the carriers and consider their value in the context of the rest of the collection. Is the digital content likely duplicated in paper form? Do the carriers likely contain the types of materials that would ordinarily be weeded from a paper collection? If so, you can feel confident in separating these from the collection.

Non-collection files typically separated at this stage include duplicates, software, routine financial records, design files for print promotional materials, and privacy-protected records like student, medical, personal financial and legal records.

1.5 Document the disposition of separations

In the Disposition field of the accession record, summarize the separated materials and note the date of separation for eventual inclusion in the Processing Information note in the finding aid.

1.6 Prepare for transfer

Create a folder in the borndigital2 share named with the three-digit collection number (e.g. UA042).

Within the collection folder, create a folder for the transferred content to land. This is called the Submission Information Package (SIP). Name the folder [three-digit collection number]_SIP (e.g. UA042_SIP).

If you are going to transfer the files using DART: this step is complete.

If you are going to transfer the files using any other tool: create Objects and Metadata folders within the SIP. Original files will be transferred to Objects. (See Born-Digital: file naming conventions for documentation for definitions of these folders.) In Objects, create folders for each carrier named with the unique id (e.g. UA0042_med_0001).

NOTE: If you are accessioning an addition to existing born-digital collection (either processed or unprocessed), use the accession number in the SIP to differentiate it from the existing collection content. Name the folder [accession number]_SIP (e.g. 2024-0001_SIP).

1.7 Pull and inventory carriers

Leaving digital files on media carriers for long periods of time puts the content at risk for corruption. Whenever possible, directly transfer files to the borndigital2 share of the Library's Artifacts2 server as part of the accessioning process. The process of transferring files may uncover file corruption or other issues that can be addressed more easily directly after acquisition. A student assistant should be assigned this step in almost all circumstances.

Pull all carriers from collection. If the collection is not prioritized for immediate processing, use separation sheets to flag the place of the pulled item (use Digital carrier separation sheet template.)

Optional (good for large amounts): Create an inventory document using the Born-digital carrier inventory template and instruct a student to assign each digital carrier a unique identifier (accession number), and capture some or all of the following information in a spreadsheet.

- Unique identifier (e.g. ua0041_med_0001). Do not put sticky labels directly on the carrier. If there is already a label, write identifier on the existing label. For CDs, write identifier on the inner ring of the disk (the portion without a reflective surface).
- Media type (CD, 3.5-inch floppy disk, etc.)
- Transcription of label
- Known or estimated dates

1.8 Transfer files to Library server

Use the born-digital processing workstation to transfer files in most cases. **Do not use your own computer.** Exception: if the disk is formatted Mac only.

Do not open or copy files when transferring. Rely on the preview function if you need to look at a file.

Transfer tools:

We currently use Data Accessioner and DART (Digital Archivist's Resource Tool) to transfer most files from most sources (physical carriers, external hard drives, network transfers). Both tools automatically generate metadata that documents the transfer and checksums. Data Accessioner does not work well for large transfers and is best suited for transferring disks.

Each collection is different and may require a different file transfer approach. Alternative options include:

- Create a logical copy by dragging and dropping the files
- Copy files using the command line with Robocopy, which preserves original file metadata. See Born-Digital: command line guide for Robocopy script.
- For another command line prompt, try the cp or Copy Paste command. See Born-Digital: command line guide for cp script.
- Create a disk image (use Disk Utility on Mac)

Note on media files: Data Accessioner and DART should work for most media files, including mp4, mkv, mov, mp3, wav, and aif. If these tools do not work, use HandBrake to transfer video files and Exact Audio Copy (EAC) for audio. Handbrake and EAC are applications for extracting media files from commercially produced CDs and DVDs in CD-a (audio) and NTSC (video) format. Unlike Data Accessioner and DART, they do not automatically generate documentation of the transfer, and they impose a new file creation date in the file metadata.

If you are working with a large volume of disks, provide a student assistant with instructions on transferring the files using the appropriate transfer tool. See workflows and guidelines for born-digital transfer tools in the Appendix. After transferring, the student should record the following information on the spreadsheet (if applicable):

- Transfer complete (yes, no, partial)

- Transfer notes (enter any notes about problem transfers, including any error messages given by Data Accessioner or other tool)

1.9 Document the transfer outcome

Enter success, partial success, or failure in your carrier-level inventory spreadsheet (if you are using one).

Create a Capture event record in the Accession record to record a summary of the outcome for the entire collection or accrual. See Creating Event Records.

1.10 Conduct post-transfer appraisal

Once the digital records have been transferred, it is beneficial to undergo a second round of appraisal before completing the accessioning process. While this often time-consuming process may seem arduous at this early stage of accessioning, taking another pass over the records allows you to further reduce the size of the digital portion of the collection, thereby easing the processing stage later on and reducing use of network storage.

Perform a high-level visual review of the transferred files using preview mode on the born-digital processing workstation (**do not use your computer**), and remove content at the carrier or other high level. Carriers that do not load or transfer are generally separated from the collection.

Non-collection files you may identify at this stage may include: software, libraries, systems files, zipped file packages, duplicates, downloaded files from sources we are not attempting to document (often, but not always the contents of a user's "downloads" folder), design files for print promotional materials, and personnel records or other easily identifiable privacy-protected records.

If time permits, run a scan of the files in TreeSize Pro and identify and delete duplicate and other non-collection files. See step 2.1 in Born-Digital Processing Procedures.

1.11 Determine and document extent

Extent is documented in the Accession record in terms of GB and number of files. Round to second decimal if larger than 1 GB, round to third decimal if smaller than 1.

There are several ways to identify the extent. Choose the option that works best for you:

- *Recommended*: Run a scan in TreeSize Pro (see appendix for scan instructions). Once the scan has run, you can find the size and number of files in a banner directly above the tabs for Chart, Details, etc.

- Run a DROID report, then total the bytes in the csv. See DROID guide in this manual.

- Use Get Info on Mac. Quick and easy, works well for small collections. Note that this method includes folders in item count so it is not as precise as other methods.

- Using the command line, issue a Fido command to generate a csv report and total the bytes. See Born-Digital: command line guide for fido script. This option works well for large collections that may time out in DROID.

  Note: This command will save the report in the collection metadata folder. Once created, append the filename with the 4-digit collection number (e.g. ms0465_FidoAccessioningReport.txt).

- Using the command line, issue an EXIFtool command to generate a csv report and total the bytes. See Born-Digital: command line guide for exif script. This option works well for large collections that may time out in DROID.

  Note: This command will save the report in the collection metadata folder. Once created, append the filename with the 4-digit collection number (e.g. ms0465_ExifAccessioningReport.csv).

If the media isn't immediately readable, or time does not permit file transfer for a large accession, supply an estimated maximum capacity using Estimating media storage capacity in the Appendix. Specify that it is a max estimate in the container summary. If time permits, specify the type and file size of each piece of media.

Document the extent in an extent sub-record in the Accession record. See Extents in Creating Accession Records for detailed steps.

1.12 Determine and document date range

Review the carrier-level inventory for any dates recorded from the labels.

Use the TreeSize Pro (or DROID or fido) report from the above step to review the date last modified and/or date created (created not available in DROID) of the files themselves.

Note: If you copied media files using Handbrake or EAC, it is important to record any available date information from the carrier labels for the Accession record and finding aid because these programs impose a new date created during transfer.

Make a note of the date range for the next step. If necessary, adjust the date range in the date sub-record in the Accession record to account for the digital files.

1.13 Create a Digital Object Instance to document the location of the files

Create a Digital Object Instance in the Accession record. This will serve as a location reference point for the digital accession. You will include the file path pointing to the collection folder on the borndigital2 share, as well as the extent and dates of the digital accession. See Creating Digital Object Instances for detailed steps.

If part of a hybrid collection, or if the records are on digital media carriers that are being retained, create a separate Container Instance to track the location of the physical material.

2. Stabilize transferred records

2.1 Review for immediate preservation issues *(high value/high priority collections only)*

Currently, our strategy is to leave files in their original, non-normalized form and rely on Quick View Plus to view content of obsolete file formats or incorrect file extensions. Thus, this step only applies to high-priority collections that require immediate preservation and access. Determine which, if any, files require immediate normalization (reformatting) into accessible formats (rare).

There are several ways to identify file formats:

- Run a DROID report (see Extension_Mismatch column for problematic files)
- Issue a Fido command in the command line (see step 1.11 above)

2.2 Determine requirements for immediate long-term preservation *(high value/high priority collections only)*

Born-digital records are stored in medium-term preservation storage on the Library server until processing is complete. Determine which, if any, files require immediate long-term preservation in a digital preservation repository such as Merritt or Vault (rare). Communicate digital preservation repository deposit request to Supervisory Archivist, who will request a deposit from the Digital Preservation Librarian.

2.3 Return carriers to physical collection

We will generally retain disks and other small digital media carriers in the physical collection for their contextual value. External hard drives, flash drives, and computers are returned to the donor or discarded after successful transfer is verified and documented.

3. Gain intellectual control and prepare for processing

3.1 Create Resource Record for collection if one does not already exist

Spawn from Accession Record. See Creating Resource Records procedures.

3.2 If processing immediately, create working copies of files

To save space on the server, only create copies at the point of processing. Name the folder [3-digit collection number]_working (e.g. UA042_working) and store within the collection folder. Once processed, this folder will become the AIP.

3.3 Review working copies and appraisal spreadsheet to determine processing, access and preservation priorities

If time permits, take notes on needs for future processing and how they may be addressed, including arrangement, description, appraisal, discovery and access. Considering the following questions will support us in creating strategies for processing, access and preservation. Notes from this step can be incorporated into the appraisal spreadsheet, the processing plan field in the Resource record, the processing plan if available, or a notes document that is shared with the Supervisory Archivist.

- Will the collection be made available via the DAMS or finding aid?
- Which folders/files are likely to contain PII or other sensitive information, if any? What strategies are most appropriate for removing this information?
- Are there duplicate or otherwise erroneous files that can be deleted? Do any files duplicate paper records in the hybrid collection?
- Which areas will require more detailed processing, and which can be made accessible now in their current state?
- Are there some files that have a higher level of research interest over others?

Accessioning born-digital records from external hard drive, thumb drive, computer, or external network

Use the workflow outlined above as a model, with the following exceptions.

FOLLOW: **1.1-1.3**

> 1.1 Confirm that gift or transfer paperwork has been completed
>
> 1.2 Create a baseline accession record for physical collection using standard accessioning procedure
>
> 1.3 Determine transfer and short-term storage plan for born-digital content

MODIFY**: 1.4 Preview content**

> In lieu of conducting a carrier level pre-transfer appraisal, consider connecting the source to the born digital computer and previewing the contents. (Do not open files- rely on preview mode). Does the thumb drive, for example, contain content in collecting scope? If not, it may not be necessary to retain it.

SKIP: 1.5 Document the disposition of separations

FOLLOW: **1.6 Prepare for transfer**

SKIP: 1.7 Pull and inventory carriers

NEW STEP: **Determine if a virus check is necessary**

> A virus check is only necessary for content transferred from external HDs, thumb drives, computers and external networks that originate from non-University owned sources. For example, a personal computer of a UCSC faculty member *does* require a virus check, but their university owned computer *does not*.
>
> Because recently created files are more likely to contain viruses than older files, it is unlikely that viruses will be present on carrier media such as floppy disks, CDs, DVDs, Zip disks, etc., therefore this step is not required for these types of sources.
>
> You may also wish to consider the source and format of the content. If the acquisition consists solely of digital photographs from a known donor, a virus check is probably not necessary. *When in doubt, conduct a virus check.*
>
> ***IF NOT CONDUCTING A VIRUS CHECK:*** **follow step 1.8: Transfer files to Library server**

IF CONDUCTING A VIRUS CHECK:

***MODIFY*: 1.8 Transfer files to born-digital computer**

If conducting a virus check, it will be necessary to first copy the SIP to the born-digital computer prior to copying to the library server. It is preferred to use DART or Data Accessioner for this step (see detailed instructions in step 1.8: Transfer files).

***NEW STEP:* Run a virus check**

We use Windows Security on the born-digital computer to check for viruses.

1. Open Windows Security **Virus & threat protection**
2. Select **Scan options**
3. Select **Custom scan**
4. Click **Scan now**
5. Select the SIP (double click)
6. Click **Scan now**
7. The scan will run and provide a report at the top of the Scan options window. If no viruses are detected, it will read “No current threats.”

If a virus is found, document the results of the check and consult with the Supervisory Archivist and Library ITS before moving forward. Infected files will be permanently removed.

***MODIFY*: 1.8 Transfer files to Library server**

Once the virus check is complete, copy the SIP to the Library server. It is preferred to use DART or Data Accessioner for this step (see detailed instructions in step 1.8: Transfer files).

***FOLLOW:* 1.9 Document the transfer outcome**

***MODIFY:* 1.10 Conduct post-transfer appraisal**

Plan to spend more time on this step. Large transfers from computers or network storage which will likely include greater numbers of duplicates, out of scope records, and privacy-protected information.

Non-collection files typically separated at this stage include software, libraries, duplicates, systems files, zipped file packages, widely available publications and music, downloaded files from sources we are not attempting to document, and design files for print promotional materials. Common locations for non-collection digital records are the “downloads” folder, desktop, Dropbox or other file sharing folders, and automated computer backups like Time Machine. Every records creator manages their digital files differently, and you will need to get familiar with their digital record storage and sharing style in order to appraise their records.

If time does not allow for focused post-transfer appraisal, perform a high-level visual review of the files and focus more time on future planning in step 3.3.

FOLLOW: **1.11 - 2.2**

1.11 Determine and document extent

1.12 Determine and document date range

1.13 Document the location of the files

2.1 Review for immediate preservation issues

2.2 Determine requirements for immediate long-term preservation

SKIP: 2.3 Return carriers to physical collection

FOLLOW: **3.1 - 3.3 (as applicable)**

3.1 Create Resource Record for collection if one does not already exist

3.2 If processing immediately, create working copies of files

3.3 Review working copies and appraisal spreadsheet to determine processing, access and preservation priorities

Accessioning born-digital accruals to existing born-digital collections

Follow standard born-digital accessioning procedures, and procedures for Accessioning accruals to existing collections.

See step 1.6 for specific instructions for naming the SIP: If you are accessioning an addition to existing born-digital collection (either processed or unprocessed), include the accession number in the SIP to differentiate it from the existing collection content. Name the folder [collection number]_[accession number]_SIP (e.g. MS465_2021-040_SIP).

Accessioning single born-digital files not associated with a collection

This type of single item digital acquisition will not be associated with a collection, and will immediately go into a backlog of unprocessed digital content. Procedures for processing and providing access to this content are TBD.

Follow the same accessioning workflow outlined in Accessioning born-digital records from physical carriers in hybrid collections, with some exceptions, below. Essentially, you will create an Accession record following standard accessioning procedure (see Creating Accession Records), an Event record to document the transfer, and a Digital Object Instance to track the location of the file.

SKIP steps 1.4-1.5, 1.7, 1.10, 2.4-3.3

MODIFY **1.6 Prepare for Transfer**

Name the folder with the accession number, as opposed to the collection number. (e.g. 2016.033).

Born-digital acquisition guidelines

This section outlines the steps and decision points in acquiring born-digital collections. This process involves gathering information to determine the benefits, feasibility, and resources required to acquire and maintain born-digital collections. It is a collaborative effort between the donor, Special Collections, and the Library's Impactful Collections Oversight Team when appropriate.[5]

1. Assess collection development potential

The first point of consideration is whether the collection or record group within a hybrid collection aligns with the Special Collections or University Archives Collection Development policies. These documents help align the acquisition of materials with the mission of Special Collections and the Library.

Another consideration is the level of anticipated effort for processing the digital content. If a collection does not strongly align with the collection development policy *and* has a high level of anticipated effort, it should be deprioritized for acquisition.

Factors that contribute to high level of effort include:

- Large quantities of optical or floppy disks to capture and manage
- Presence of multiple sources of content (disks, hard drive, server, etc.)
- Prevalence of PII
- Large quantities of duplicates and out of scope material
- Unfamiliar and/or problematic file formats
- Files do not have meaningful names (0001.jpg)
- Files do not have a discernible organization

Factors that contribute to low level of effort include:

- Single source of content, such as a server transfer
- Low likelihood of PII, duplicates or out of scope materials
- Familiar and homogenous file formats
- Meaningful filenames
- Files are organized in a meaningful way

2. Conduct donor interview

[5] These guidelines closely align with the *AIMS Framework: The Functions of Stewardship*, outlined in the AIMS White Paper.

Connect with the donor to identify the contents, formats, and requirements of the collection, which enables us to determine if the material aligns with collection development and digital strategy priorities. This process also establishes reasonable expectations for both Library and donor on what to expect once the collection is transferred to Special Collections. Whenever possible, we will avoid accepting a “data dump” of everything on a donor’s hard drive. We aim to work with all donors to identify and capture relevant content, and avoid acquiring out of scope or sensitive material. If possible, engage donor in providing some form of inventory of the digital files.

The interview process should be guided by the Born-Digital Donor Interview template. At minimum, the following points should be addressed:

- Formats and extent of digital content
- For hybrid collections, relationship or overlap between digital and analog material
- Creator’s work habits, use, platforms, and software
- Likelihood of future accruals, their frequency, and how the scope of future accruals will be defined
- Options for file transfer for current and future material
- Any requirements on the part of the creator or donor for ongoing access to the material
- Any requirements on the part of the creator or donor for restrictions on access or use of the material
- Privacy and security considerations, including Social Security numbers, credit card information, financial accounts, medical information, student records, payroll or other sensitive employment records
- Known possibility of corrupted files

Whenever possible, engage donor in providing some form of inventory of the digital files. Make this available to users if serviceable.

3. Conduct feasibility study

In conjunction with the donor interview, a feasibility study will allow us to develop a full understanding of the implications of accepting a born-digital collection, and determine whether we can accept it. In conducting this study, we will assess the nature of the material, the costs associated with stewarding the collection, and the resources available to do so. We will take into consideration our current capability of transferring, processing and providing access to the material, and estimate the cost of preserving the collection. For large or otherwise impactful collections, this study is reviewed by the Impactful Collections Oversight Team.

The feasibility study will address and consider the cost implications of the following points:

- Institutional resources available (technology, staff, funds)
- Ability to effectively manage file types and formats of material. Consider file formats and carriers that we do or do not have the capability to steward.
- Volume of material relative to storage and management capabilities
- Condition or “health” of material (potential for viruses or malware, prevalence of obsolete file formats)
- Dependency of materials on specific software or platforms
- Importance of preserving original storage media
- Extent and complexity of migration and file normalization processes
- Desired level of access and preservation

4. Negotiate and document agreement

Any collections that include born-digital content should have the presence of digital content explicitly documented with the Addendum to Deed of Gift or Transfer Agreement for Born-Digital Records.

5. Develop transfer procedures

Supervisory Archivist develops a strategy and timeline for transferring the collection, in consultation with Digital Preservation Librarian if necessary. A file transfer test may be necessary before the entire collection is transferred to Special Collections. See Born-digital transfer sources and Born-Digital transfer methods and capabilities for more information.

Born-digital transfer sources

Born digital records are transferred to Special Collections[6] from the following sources:[7]

Digital media carriers

Records on media carriers such as floppy disks or CDs are transferred in our standard accessioning procedure. Files are transferred from these digital media carriers to the borndigital2 share on the Library's Artifacts2 server. While we aim to capture digital files during the accessioning process, we acknowledge that it is not always possible to dedicate resources to this time-intensive process. The type, size and complexity of the records, and available staff and technical resources impact our ability to capture files when the collection is accessioned. Thus, file capturing may occur later in the digital object lifecycle as resources allow.

Network or portable external hard drive

Records can be transferred to the borndigital2 share on the Library server via Google Drive, Dropbox, FTP, or other networked method. If transferring files from a living donor's computer, it is preferable to work with the donor to generate a SIP using either Data Accessioner or DART in copying files to Drive, Dropbox, or an external hard drive. This allows the files to be verified after transfer to the borndigital2 share, thus ensuring their integrity for long-term preservation. When it is not possible to package files prior to transfer, we will generate a SIP (see definition below) upon receipt of the records.

Web capture

Web content is captured via Archive-It. ***[Procedures TBD]***

[6] Transferring to Special Collections is defined by saving digital records to the borndigital2 share on the Library's Artifacts2 server.
[7] This section is based on a 2017 draft of *Digital Acquisitions Practice* created by the Department of Special Collections at Washington University Libraries.

Born-digital transfer methods and capabilities

Born digital records are captured using the following methods:

Logical copying

A logical copy is a targeted, or selective copy of available files on a disk, hard drive, or server. We currently prefer the creation of logical copies over disk images.

Forensic disk imaging

A disk image comprises a bit-by-bit copy of an entire disk or hard drive, including deleted and system files. It offers the most complete copy of the data, but requires specialized tools to process. Disk images are larger than logical copies and thus require additional resources for long-term preservation. As of 2020, we do not have the capacity to systematically generate and manage disk images for all incoming content.

As of 2020, the Library has the capability to capture most types of content from the following digital sources:

- CDs, DVDs
- 3.5-inch floppy disks
- Jaz disks
- Zip disks
- Internal and external hard drives
- USB flash drives
- Websites
- Facebook pages
- Youtube videos
- Email accounts

As of 2020, the Library does not have capability to preserve content from the following digital sources:

- 8-inch floppy disks
- Punch cards
- Memory cards
- Interactive websites
- Applications and software

As of 2020, the Library is developing the capability to preserve content from the following sources:

- 5.25-inch floppy disks

Processing Workflows

Processing procedures for all collections

Prepare for processing

1. Archivist processing the collection creates a Processing Workflow GitHub issue for the processing project and adds it to Accessioning and Processing Board. Customize as needed.

2. Archivist reviews the associated accession and resource records, catalog record(s), internal and/or legacy description in the SPOC server share, and the paper collection file. It is important to read the gift agreement carefully at this stage in order to determine any donor-applied access or use restrictions, and whether separations must be retained for return.

3. Archivist surveys the collection (including any born-digital content) and develops a processing plan. (See Creating a Processing Plan). A link or file path to the processing plan should be stored in the processing plan field in the accession record, or the text itself can be pasted into the field.

4. Archivist sends processing plan to Supervisory Archivist for approval. Processing plans for University Archives collections should also be shared with University Archivist. Adjustments to the plan may be required.

   Note about digitization:
   Completion of the processing plan is a good time to discuss potential digitization work with appropriate stakeholders.

5. Archivist submits a supply order to Supervisory Archivist if necessary.

Arrange and describe collection

6. Archivist processes the collection according to the processing plan. Processing Archivist submits processing progress reports every four weeks.

7. If analog AV has not already been reformatted during the accessioning process or as part of the SCA AV project, Archivist creates an item-level inventory of the media using the SCA Analog AV Log. Engage a student assistant with this task if there is a sizable amount of AV. (As of 7/2025, the Library can no longer officially reformat analog media in-house. All formats must be sent to a vendor.)

8. Archivist creates a Resource record in ArchivesSpace. See Creating Resource Records for detailed instructions.

   Note: If the collection contains oversize material that will be shelved in the flat files, see *Special instructions for oversize material* in step 14 below. You will need to record the flat file location in the resource record prior to publishing the finding aid.

9. Archivist exports the EAD from ASpace (see Exporting EAD from the Resource Record), and uploads it to OAC for preview (see Publishing the finding aid on OAC). ***Note***: you can only generate a preview link once.

10. Archivist sends the url of the Preview to:
    a. The Supervisory Archivist for review and approval. Finding aids for University Archive collections should also be shared with the University Archivist. Adjustments to the finding aid may be requested.
    b. The Special Collections Cataloger for review. If necessary, Cataloger adjusts Agents and Subjects in the Resource record. Cataloger notifies Archivist when this is complete.

11. Archivist makes final updates to Resource record and publishes finding aid on OAC. (See Publishing the finding aid on OAC for instructions.)

12. Archivist saves xml to collection file on SPOC.

13. Archivist sends finding aid permanent url and the url to the Resource record to Cataloger and requests an updated (or new) catalog record. Cataloger exports the Resource record and republishes the catalog record.

Shelve the collection

14. Archivist creates and applies box labels using template in SPOC (artifacts2.library.ucsc.edu/spoc/oac/1_Unitbiz/labels/PClabels/InWord).
    a. For oversize flat boxes, label both long and short sides of the box. You may need to cut the label to fit.
    b. Use this template to label oversize folders as well.

15. Archivist notifies the Public Services Coordinator that the collection is ready to be shelved in 3260 (or SLF-N as applicable).
    a. Communicate amount and type of boxes. If storing downstairs in 1221 or 1320, you can shelve it yourself and notify Public Services Coordinator that you have done so.

b. *Special instructions for oversize material:* If the collection contains material that is too large for an oversize flat box, house it in an oversize folder, label folder with collection number, and place it on the table in 3260. Notify the Public Services Coordinator and request to be given the drawer number once assigned. Record this drawer number location in the item's instance record (analogous to box:folder) in ASpace. This will allow the drawer number to appear in the finding aid. The Public Services Coordinator tracks the contents of the flat files on the Flat File and Framed Art Inventory.

Wrap up

16. Archivist makes the following updates in ArchivesSpace:
    a. In the resource record:
        i. Finding Aid Status = Completed
        ii. Processing Status = Completed
        iii. Optional: add the number of hours spent processing the collection to the Total Processing Hours field in the Collection Management sub-record.
    b. In the accession record:
        i. If there are no access restrictions (there are no restricted materials and no playable media that requires digitization), uncheck the Access Restrictions? box and delete any contents in the Access Restrictions Note.
        ii. Processing Status = Completed
        iii. Update the location in the collection-level instance record

17. Take care of any separations (move publications to Cataloger queue, deposit discards in shredding bin, initiate returns to donor).

18. Archivist saves the following to the collection folder on SPOC:
    a. Copy of the processing plan (usually a pdf file)
    b. Copy of the inventory (usually a xls file)
    c. xml file (finding aid)
    d. Any other important processing documentation, memos, notes or email pertaining to the collection

19. Archivist notifies the Special Collections & Archives department that the collection has been processed. 🎉

20. Close out GitHub issue and move to the Done column.

Appraising bibliographic materials in archival collections

Bibliographic materials (publications) include books, periodicals of all forms (journals, magazines, newspapers, newsletters), reports, conference proceedings, and published films or audio tapes. This section does not apply to clippings.

Ideally, publications within archival collections are only selectively acquired and are separated from the collection prior to taking custody, or during accessioning whenever possible. However many older collections in the processing backlog do include publications that must be addressed in processing.

Publications are not typically retained within archival collections because this adversely impacts user discovery and access as well as archival storage capacity. Professional best practice is to catalog publications separately.

These guidelines leave room for the individual judgment and are not necessarily prescriptive in all scenarios. Context matters. For example, when single issues of newsletters are scattered throughout research and correspondence files, the recommended course of action is to leave them in place within the collection. **Use your best judgement in assessing the amount of work needed to weed publications, and keep our collecting priorities in mind when determining what to retain.** When in doubt, consult with the Supervisory Archivist.

1. The Archivist responsible for processing separates publications while processing.
2. At any point during processing (but typically once the collection is mostly or entirely processed), the Archivist appraises the publications for retention.
    a. First, discard or return any publications that are clearly out of our collecting scope, such as popular magazines, leisure reading, or commercial films.
    b. Then, for anything that appears to be in-scope, use UCSC Library search and/or Worldcat to determine if the item is held locally or elsewhere.
        i. **If already held by UCSC, discard/return.**
            1. There are very few exceptions to this. Example: the book in hand is a first edition, inscribed by the author, and strongly aligns with our collecting priorities. In this case, it may be put in the special collections cataloging queue.
        ii. **If held by one or more UC Libraries, discard/return.**
            1. There are some exceptions. Put in the Special Collections cataloging queue *only if* uniquely significant to our collecting priorities and/or the collection itself, such as a copy of the author's book whose papers we hold.
        iii. **If held by no UC Libraries, but available through 5 or more libraries in the US, discard/return.**
            1. There are some exceptions. Put in the Special Collections

cataloging queue *only if* uniquely significant to our collecting priorities and/or the collection itself.

iv. **If held by 4 or fewer US libraries, put in the special collections cataloging queue *only if* the following conditions are met (otherwise discard/return):**
    1. No libraries are located in California.
    2. The item aligns with our collecting priorities.

v. **If held by no other libraries in the US, and the item aligns with our collecting priorities, put in the special collections cataloging queue.**

3. The Archivist places publications selected for retention on the Special Collections Cataloger's shelves in 3260 with a cataloging form for each item or each group of like items.
    a. If applicable, include the donor's name ("Gift of ____")
    b. Include the collection title and number in the 973 field (formerly 793) to indicate that the item was separated from the collection. *This reference serves as the primary linkage between the item and the collection, which offers important context to users and staff.*
4. Deposit remaining publications in shredding bin, or work with Supervisory Archivist to return them to the donor if returns are stipulated in the agreement.

Born-digital processing procedures

NOTE: *Track all time spent on accessioning and processing born-digital collections in the shared Born-digital accessioning and processing time tracker.*

1. Prepare for processing

1.1 Review existing description and documentation of the collection

If part of a paper/digital hybrid collection, review the analog portion for context.

1.2 Create working copies of files

Copy the entire SIP folder and name the new folder MSXXX_working_copy. Store in the collection folder alongside the original SIP.

> **Note**: copying the entire SIP means any associated metadata files will also be copied. However, you will be focusing on processing the files themselves (original objects), so any scans or directory exports made in processing should be limited to the Objects folder (or "data" folder if using DART) only, not any Metadata folders.

1.3 Survey working copies and create a processing plan using the template

Spend some time getting to know the files using the born-digital processing workstation. Manually review file directory, previewing select files, and taking note of file formats and creation/last modified dates. You may also wish to run a scan of the files using TreeSize Pro to learn more about the file formats present (see appendix for instructions on running a scan in TreeSize). Use the following prompts to guide your thinking.

Consider the organization of the files. Is it a complex or simple organizational hierarchy? Did the creator(s) intentionally organize their files, or some of them?

Consider the prevalence of obsolete and/or unreadable file formats. Are there files in a format you don't recognize and/or cannot preview? Currently, we do not perform format migration as a matter of course, but it is helpful to know about the presence and relative quantity of difficult to view files. For high-value collections, it may be necessary to explore format migration.

Assess likelihood and risk of privacy-protected information and otherwise sensitive information. Is the presence of student, personal financial, or medical records likely or

unlikely? Where might you find these types of records in this collection? Is the presence of non-protected but otherwise sensitive information likely or unlikely (such as in email)? For collections with a low likelihood of privacy-protected information, weigh the risk of sensitive material being discovered against the cost of reviewing the collection in detail.

Determine disposition of privacy-protected or otherwise sensitive, and other unwanted records. Our default practice is to permanently delete this material.

Determine arrangement and description strategy. Our default practice is to leave born-digital files in their original order as received and describe the digital records as a single series with a PDF attachment of the file directory, but this is not a rule. Weigh the benefit of arranging the records with the resources required to accomplish the work. Prefer minimal arrangement whenever possible, and maintain an identifiable existing order and original filenames.

2. Process files

Not all of the following steps may be necessary, and they may occur in a different sequence or simultaneously.

2.1 Appraise (again)

If you have not already performed a post-transfer appraisal during the accessioning process, do so now. See step 1.7 in Born-Digital Accessioning Procedures. Delete out of scope, privacy-protected, and otherwise unwanted files from the working copy. It may be necessary to meet once or several times with the Supervisory Archivist during this step to support appraisal decision-making.

2.1.2 Run a scan of the files (in Objects or "data" folder only) in TreeSize Pro (if not already done)

This will identify duplicate files, file formats present, file sizes, and other information that will aid you in learning about and processing the files.

2.1.3 Identify and delete duplicate files

In TreeSize, under Tools, select Open TreeSize File Search. Select Duplicate files. Duplicates will appear in a new window alongside check boxes.

To manually deduplicate: review the list and select the files you would like to delete. Click Delete Files.

To automatically deduplicate: click the green “Check” > All files and folders. Then click “Ensure one unchecked file per group.” (This ensures one copy of the file remains). Click Delete Files.

Customized options: You may also use a custom search to deduplicate certain types of files, or files that meet specific criteria. Use “Files and folders that match a custom filter” and/or other options under the green “Check” function to customize how you deduplicate.

After clicking Delete Files, a dialog box appears. Leave default settings in place. Select “Log operations performed to” to create a record of deleted files. Save this to the metadata folder as a .csv and name the file with the same name you gave to the SIP plus “duplicates_removed_log.csv” (i.e. UA042_duplicates_removed_log; or 2024-024_duplicates_removed_log).

2.1.4 Identify and delete temporary systems files

Including but not limited to ._Ghost, .DS_Store, Thumbs.db, and files beginning with ._ In the TreeSize File Search window, select (check) Temporary Files. Delete the files that appear in the list. You may need to try a Custom Search.

Systems files can also be deleted via command line. See Born-Digital: command line guide for delete scripts specific to these file types.

2.1.5 Identify and delete empty files and/or directories

In TreeSize, under View, select Sort by size. This allows you to see the smallest and largest files in a folder. Delete any empty files and/or folders (look for 0 KB).

2.1.6 Identify and delete out of scope file formats

Out of scope formats will vary by collection, but it is always a good idea to review uncommon file formats for appraisal purposes.

In TreeSize, sort scan by file format, and review and appraise less common formats such as:

- Zipped packages (these often include application downloads which are typically out of scope)
- “Internet Files” (files downloaded from the internet)
- .psd, .indd files, and other proprietary files that aren’t easily viewable in

common applications (for example, we do not typically retain design files for promotional materials held in print format)

- Under Extensions, investigate unfamiliar extensions. These are sometimes identified as “miscellaneous” by TreeSize.

If necessary, run a DROID report, and review the Extension_Mismatch column. This can be helpful if the collection includes a significant amount of unknown file formats.

> “True” means that the file extension has been dropped or otherwise does not match the file format, which usually prevents the file from being accessed using common software.
>
> Assess whether these files contain information important to the collection; which, if any, files require normalization (reformatting) into accessible formats; and whether the Library has the capacity to preserve and provide access to them. It may be a simple fix of deleting a character in the file name or adding the correct file extension. Consult with the Supervisory Archivist as necessary.
>
> Currently, our default practice is to leave files in their original, non-normalized form and rely on Quick View Plus to view content of obsolete file formats or incorrect file extensions. However, there are known access issues with Quick View that we have yet to resolve. Assessing whether there are large quantities of problematic file formats will support us in developing an appropriate access strategy for the collection.

2.1.7 Identify and delete files with privacy-protected information

Ideally, the existence of this information was determined during acquisition. Records containing Social Security, credit card, and financial account numbers, as well as medical and employee information (such as payroll or faculty review files), should be permanently deleted. Consider if files containing other sensitive information should be removed or restricted.

Start first by visually reviewing directories for likely PII and manually delete individual files.

Then use TreeSize Pro to identify files containing SSN and credit card numbers and manually delete identified files.

Instructions for running a PII search in TreeSize Pro:

1. Under Tools, select Open TreeSize File Search. A pop-up window appears.
2. Ensure the correct file path is checked at the top.
3. Select PII Search. This is a template, or pre-set list of words that can be searched at once (see TreeSize Pro section for the words included in this template).
4. Click the green Start button. Any files that contain one or more words in this search template will appear on the right. If no files contain these words, it will read *"The search is complete. No matching results have been found."*
5. If files do appear, the Archivist reviews them and determines if they should be removed. You may delete files using TreeSize using a similar process as deduplicating files.
6. After you have selected the files you wish to delete, click Delete Files. A dialog box appears. Leave default settings in place.
7. Select "Log operations performed to" to create a record of deleted files. Save this to the metadata folder as a .csv and name the file with the same name you gave to the SIP plus "PII_removed_log.csv" (i.e. UA042_PII_removed_log; or 2024-024_PII_removed_log).

Note: The PII search template can be edited and added to as needed. To add to this list, select "+ Add new" at the bottom of the search configuration list and add new search terms. Then under Advanced Search, select "save current filters as template." Keep the name of the template the same (PII search), then click Replace. Adding to this list is encouraged.

2.1.8 Delete all other unwanted files

2.1.9 Identify and delete disallowed characters

Digital preservation repository Merritt does not allow certain characters within filenames, and they must be removed prior to submission. While these characters are currently (as of 2024) allowed in Vault, it is good practice to remove them. The characters below are the most commonly known disallowed characters.

```
[" / \ : * ? < > [ ] & $ .]
```

Instructions for running a disallowed character search in TreeSize Pro:

1. Under Tools, select Open TreeSize File Search. A pop-up window appears.

2. Ensure the correct file path is checked at the top.
3. Select Disallowed Characters Search. This is a template, or pre-set list of words that can be searched at once.
4. Click the green Start button. Any files that contain one or more characters in this search template will appear on the right. If no files contain these characters, it will read *"The search is complete. No matching results have been found."*
5. If files do appear, the Archivist reviews them and determines if the files should be removed or if the file names should be edited. You can delete files using TreeSize using a similar process as deduplicating files. If editing, you can manually replace the characters with an underscore. Or, if there are a sizeable amount of files to rename, you can run a search for a single character and bulk replace it following these steps:
    a. Select the files by checking the check boxes
    b. Select renaming rule: Replace
    c. Replace with: _
    d. Select Filename only
    e. Execute

2. Often, you may not uncover disallowed characters until the AIP is zipped for deposit into Merritt. To ensure you have caught this ahead of time, perform a test zip now.

1. Right-click on the AIP folder
2. Select (or point to) Send to
3. Select Compressed (zipped) folder
4. A new zipped folder with the same name will be created in the same folder. If no disallowed characters produce an error, you may delete this test zip.

2.2 Perform folder or file arrangement *(high value/high priority collections only)*

Currently we are not arranging born-digital files at the item level as a matter of course. It is recommended that born digital content is arranged and described as one a series or subseries (or multiple subseries) in the EAD so that the component can be clearly displayed on the navigation menu in the OAC finding aid.

2.3 Perform file conversions *(rare- high value/high priority collections only)*

Currently we are not taking this step as a matter of course. As of 2018, our strategy is to refrain from normalizing files unless they are identified as a high priority for access and/or

preservation.

If prioritized, follow Archivematica normalization format policy to identify preservation and access formats.

2.4 Document actions taken on files

Briefly summarize processing actions taken in a readme file using a text editing software. Use the template located at:

smb://artifacts2.library.ucsc.edu/borndigital2/1Admin/born_digital_readme_template.rtf

Name the file [three-digit collection number]_readme, and store it on its own outside of the originals and metadata folders within the working copies folder. This can later be repurposed for the Processing Information note in the finding aid.

3. Create the finding aid

3.1 Determine and document extent

After several rounds of appraisal during accessioning and processing, the size of the collection has likely changed. Follow steps under 1.11 Determine and document extent in the Born-Digital Accessioning Procedures.

3.2 Determine and document date range

It is likely that the date range of material has changed as well. Follow steps under 1.12 Determine and document date range in the Born-Digital Accessioning Procedures.

3.3 Create Resource record if one does not already exist (or integrate description of accrual to existing Resource record if you are adding to an existing collection)

See Creating Resource Records and Creating the Finding Aid for procedures.

3.4 Export the EAD from the Resource record and upload it to the OAC dashboard for preview

Follow steps 7-8 in Processing Procedures For All Collections.

3.5 Create a PDF of the born-digital file directory

Currently, our standard practice is to attach a PDF of the file directory to the finding aid, rather than encode the file-level metadata within the finding aid. The PDF is not required, and may not make sense if files have unmeaningful file names (i.e. IMG001). Depending on the arrangement of the digital files, you may need to create multiple file directory PDFs.

A number of directory printing tools may be used, including:

- TreeSize Pro (recommended)
- Print Window (Mac only. See Print Window settings for instructions. Good for photography collections.)
- Directory List & Print (Windows)
- Karen's Directory Printer (Windows)

Name the file [four-digit collection number_series identifier_directory (ms465_ser1.6_directory.pdf). Store in the appropriate collection folder in SPOC.

Note on description: In addition to creating an Other Finding Aid note at the collection level for this PDF, add an Other Finding Aid note at the series and/or subseries level (or wherever digital files are described in the inventory) that lets researchers know the file directory is available. See boilerplate language in Use and language of notes section.

3.6 Supervisory Archivist reviews finding aid preview and PDF directory

This is the final check before the finding aid and PDF are finalized. Adjustments and reappraisal may be necessary.

3.7 Finalize the Resource record and PDF

Make any requested changes, and add an Other Finding Aid note at the collection-level linking to the PDF file directory. See Attach a PDF inventory or file directory to the finding aid for detailed steps.

3.8 Publish finding aid on OAC

4. Wrap-up

4.1 Follow steps 11-14 in Processing Procedures For All Collections

4.2 Finalize documentation

Complete the readme file. This document should include the collection name and number, a description of the contents, a description of actions taken on files including dates (when files were transferred, appraised, and processed and by whom), and the date and initials of the person who wrote the notes. Use the template located at:

smb://artifacts2.library.ucsc.edu/borndigital2/1Admin/born_digital_readme_template.rtf

See the readme for the MS19 Kay Metz digital files[8] for an example.

Clean up any notes and metadata documents in the working copies.

4.3 Prepare for creating the Archival Information Package (AIP)

Rename the working copies folder to MSXXX_processed (i.e. MS042_processed). Prepare an empty directory for the AIP within the collection folder on borndigital2, and name it with the 3-digit collection number_AIP (e.g. UA042_AIP).

The AIP will include the Objects or "data" folder containing the original files, which will be wrapped ("bagged") with metadata files created by DART. The AIP may also optionally include a Metadata folder containing transfer logs (such as the manifest generated by Data Accessioner and/or the duplicate files deleted log from TreeSize), ingest checksums (such as from md5deep), and any file analysis reports (such as from DROID, fido, EXIFTool, or TreeSize). Not all processed collections will necessarily have a Metadata folder.

The readme file should remain outside of the AIP. The PDF file directory created for the finding aid should be stored in the collection folder on SPOC.

If you are processing a born-digital accrual to an existing processed born-digital collection: you will create a separate AIP for the addition that is distinct from the existing AIP (this is because the main existing AIP has already been submitted to a preservation repository in most cases). When naming the AIP for the addition, include the MS/UA collection number and the accession number in order to keep the AIPs distinct yet linked. Use this convention: MSXXX_[accession number]_AIP (e.g. MS042_2024-0001_AIP).

4.4 Create/bag the AIP using DART

DART creates the AIP by copying the files and "wrapping" them with metadata that supports their preservation, and creates a checksum for the package that can be used to check fixity. Follow steps outlined in the appendix under Using DART to create an AIP.

The bagged AIP is now in its final stage. **No changes should be made to files in this AIP moving forward.** If additional notes or documents need to be created, store these in the collection folder outside of the AIP.

4.5 Digital Preservation Librarian deposits AIP in digital preservation repository[9]

[8] smb://Artifacts2.library.ucsc.edu/borndigital2/MS019_Metz/ms019_digital_files_readme.txt
[9] As of 3/26/2024 per decision by SP and KD we are going to pilot depositing all processed born-digital in Vault. See legacy Merritt submission procedures in Appendix.

Notify the Digital Preservation Librarian that the AIP is ready for deposit. Include the location and filename of the AIP. Digital Preservation Librarian submits the AIP to Vault or Merritt.

Digital Preservation Librarian shares Merritt ARK or Vault URL with the archivist responsible for processing the collection.

4.6 Final cleanup

Once you have received confirmation that the AIP has been submitted to a digital repository:

1. Add the Merritt ARK or Vault URL as a new file version to the Digital Object Instance.
2. Attach the Digital Object Instance to the Resource record (it will be attached to both accession and the resource records).
3. Delete the original SIP, the working copies, and any other files outside of the AIP that are no longer necessary.
4. Complete any final updates to the readme file.

Creating a Processing Plan

Please see the *UC Guidelines* for a full explanation on assessing value, determining processing levels, and creating processing plans.

1. Survey the collection.
    a. Make a brief pass over the entire collection to familiarize yourself with the arrangement, physical condition, and content of the collection. Avoid spending more than 20 minutes on each box in the initial survey.
    b. Create a processing survey spreadsheet that summarizes the contents of each box; the existence of photographs, audiovisual or born-digital material; the anticipated series; and notes on processing needs. See an example survey spreadsheet: Kay Metz Papers (MS 19) processing survey

2. Determine the level of control required to make the collection accessible. Using your notes from the survey, determine the value score of the collection. Given this value score and other factors, determine the appropriate processing level.

3. Assess labor allocations. Determine whether a student assistant can complete specific tasks in processing and/or describing the collection, such as creating an inventory, re-foldering, or re-labeling. Rely on students to perform straight-forward processing and description tasks whenever possible.

4. Create a processing plan using the processing plan template. See sample processing plan here.

5. Review processing plan with Supervisory Archivist for approval.

Determining level of effort for born-digital processing

With analog collections, the processing level usually corresponds to the level of effort required to make the collection available. However in the born digital environment, processing levels do not necessarily correlate to the level of effort. Generally, collections with more files that require a higher level of direct attention will also require more time and effort. Collections that can be processed with largely tool-driven actions require less effort.

Factors that contribute to high level of effort include:

- Large quantities of optical or floppy disks to capture and manage
- Presence of multiple sources of content (disks, hard drive, server, etc.)

- Prevalence of PII
- Large quantities of duplicates and out of scope materials
- Unfamiliar and/or problematic file formats
- Files do not have meaningful names (e.g. 0001.jpg)
- Files do not have a discernible organization

Factors that contribute to low level of effort include:

- Single source of content, such as a server transfer
- Low likelihood of PII, duplicates, or out of scope materials
- Familiar and homogenous file formats
- Meaningful filenames
- Files are organized in a meaningful way

While there is no existing standard method of estimating processing time for born digital records, the 2017 University of Minnesota Electronic Record Task Force Phase 2 Final Report estimates roughly 3.5 GB per hour. For a detailed breakdown of levels of processing effort, see Appendix D.

NOTE: *Track all time spent on accessioning and processing born-digital collections in the shared Born-digital accessioning and processing time tracker.*

Efficient Processing Principles

UCSC Special Collections & Archives adheres to the Guidelines for Efficient Processing in University of California Libraries.[10] See section 6 for detailed guidelines on minimal, low, and moderate-level processing.

Arrangement

Minimize physical arrangement of files. Do not place folders in alphabetical or chronological order unless there is a compelling reason to do so. Rely on intellectual arrangement whenever possible.

Keep to the established level of control in your processing plan. If processing at the folder level or higher, do not arrange items in folders, or remove items from folders and place in other folders.

Folder, but do not sort, clumps of unfoldered material unless your processing plan guides you to do so. Rely on context and original arrangement to provide descriptive information.

Tolerate larger aggregations of related materials. For instance, a unit may consist of multiple folders.

Opt for simple arrangement schemes. Avoid establishing sub-series whenever possible.

Limit perusal of documents within files. Rely on existing description of file folders to identify content.

Description

Descriptive detail can vary. For instance, two series in the same collection may be described at different levels.

Use scope and content notes strategically. Opt for summarizing content in a note over folder-level description whenever possible.

Keep scope and content, biographical, and historical notes brief.

Repurpose existing description. Use existing file folder headings whenever possible. Review legacy or donor-supplied description, and determine if it will be useful to

[10] Much of the language in this section is directly copied from version 3.2 of the *Guidelines for Efficient Archival Processing in the University of California Libraries*.

researchers. (Consider the labor required to transform the legacy description to a usable and searchable format when making this determination.) Whenever possible, encode legacy description as part of the finding aid. Inventories may also be attached to the OAC finding aid as searchable PDFs.

Record approximate dates for collections, series, subseries, or folders if it is time-consuming to examine items in folders.

Write sparingly on folders.

Preservation

Pay most attention to active, major threats. If it is unlikely that material will be harmful to, or damaged by users, do not intervene.

Avoid routine re-foldering and re-boxing. Unless original folders create a barrier to user access, or the collection is specifically prioritized for intensive processing, the default practice is to reuse existing folders. If re-foldering is necessary, ask a student assistant to perform this work.

Deal efficiently with fasteners and wrappers. Avoid routine removal of metal fasteners.

Avoid unfolding, flattening, or unrolling items unless the value of the collection warrants item-level treatment.

Leave audiovisual materials and photographs where you find them, unless there is a preservation concern, or separation will facilitate planned reformatting.

Appraisal and privacy issues

Do not routinely weed items from folders. Unless duplicate items can be quickly identified, leave them in place. Appraise at folder level or higher.

Assess risk to determine the level of review required for privacy-protected materials. We generally do not retain privacy-protected materials, but that does not necessarily mean item-level attention must be applied to collections with possible privacy issues. For collections with high levels of privacy-protected materials throughout, restrict the entire collection until a user requests access. If detailed review is necessary, engage a student assistant in performing this work whenever possible.

If privacy-protected material is retained:

- Add an Access Restrictions note to every applicable component level in the

finding aid that briefly explains why the material is restricted, the length of restriction, and the year that it will become open for research. (See John Thorne Papers for example).
- Include “Restricted until [date]” clearly on the box label to alert public service staff.
- Notify the SC&A department members that the collection contains restricted materials.

Labor allocation

Engage with undergraduate student assistants whenever possible. Students can create inventories, re-folder and label materials, transfer digital files, review for privacy-protected information, and more. Students should input inventory data into a spreadsheet or directly into a resource record in ArchivesSpace.

Creating the Finding Aid

All finding aids must be generated from a resource record in ArchivesSpace. This allows for the descriptive metadata of the finding aid to be centrally managed and more easily updated and repurposed for downstream use. See the following for guidelines and troubleshooting:

- ArchivesSpace Guide in this manual
- ArchivesSpace User Manual (login required)

Description included in finding aids should adhere to the following guidelines:

- Describing Archives: A Content Standard

Required collection-level identity elements

Below are required collection-level identity elements for UCSC Special Collections & Archives finding aids. This chart does not include descriptive notes, which are outlined in the chart following this.

ArchivesSpace field	**EAD tag**[11]	**MARC21 field**[12]	**DACS guidelines**[13]	**Required at collection level in finding aid**
Title	<unittitle>	245 Title statement	2.3 Title	**required**
Identifier	<unitid>	99 Local Free-Text Call Number	2.3.1 Local Identifier	**required**
Level of Description	<archdesc level>	351$c Hierarchical level	1 Levels of Description	**required**
Language	<langmaterial>	041 Language	4.5 Languages and Scripts of the Material	**required**
Dates	<unitdate>	260$c Date 264_0$c (RDA)	2.4 Date	**required**
Extents	<extent>	300 Physical description	2.5 Extent	**required** *also required at every applicable component level for born-digital*
Finding Aid Title	<titleproper>	n/a	n/a	**required**

[11] For the official rules on structuring the contents within EAD tags, see the EAD Tag Library, or the easier to read EADiva website.
[12] See Appendix A.3. MARC 21 to EAD in the EAD Tag Library
[13] Describing Archives: A Content Standard, Second Edition (2019.0.3)

Finding Aid Filing Title	<titleproper>	n/a	n/a	**required**
Finding Aid Date	<publcationstmt> <date>	260$c Date 264_0$c (RDA)	8.5.1 Archivist and Date	**required**
Finding Aid Author	<author>	n/a	8.5.1 Archivist and Date	**required**
Description Rules	<descrules>	n/a	8.4.1 Rules or Conventions	**required**
Agent Links Role (Creator) Agents	<origination>	100/110 Main entry--personal/ corporate name 111 Main entry--meeting name 700 Added entry--personal name 710 Added entry--corporate name 711 Added entry--meeting name 720 Added entry--uncontrolled 730 Added entry--uniform title 740 Added entry--uncont./related anal. Title 752 Added entry--hierarchical place name	2.6 Name of Creator(s)	**required** *Creator; Donor; Copyright Holder (if applicable)*
Subjects	<subject>	600 Subject--personal name 610 Subject--corporate name 611 Subject--meeting 630 Subject--uniform title 650 Subject--topical 651 Subject--geographic name 69x Local subject access	See “Access Points” in Overview of Archival Description	**required** *1-3 headings*
n/a	<repository>	852 Location	2.2 Name and Location of Repository	**required** *automatically included in EAD export*

Order and labeling of collection-level notes

This chart lists collection-level descriptive notes in the order they should appear in the finding aid.

ArchivesSpace field	**Note label[14]**	**EAD tag**	**MARC21 field**	**DACS guidelines**	**Required at collection level in finding aid**
Abstract		<abstract>		3.1 Scope and Content	**required**
Physical Location		<physloc>	852 Location	4.2 Physical Access	**required** *only when stored offsite* *see language below*
Materials Specific Details	Format	<materialspec>	254 Musical presentation statement 255 Cartographic mathematical data 256 Computer file characteristics		optional
Physical Facet		<physfacet>	300 Physical description	2.5 Extent	optional *not recommended*
Dimensions		<dimensions>	300 Physical description	2.5 Extent	optional *not recommended*
Physical Characteristics and Technical Requirements		<phystech>	538 System Details	4.2 Physical Access 4.3 Technical Access	optional
Conditions Governing Access	Access Restrictions	<accessrestrict>	506 Restrictions on access note	4.1 Conditions Governing Access	**required** *also required at every applicable component level for born-digital* *see language below*
Conditions Governing Use	Use Restrictions	<userestrict>	540 Terms governing use and reproduction	4.4 Conditions Governing Reproduction and Use	**required** *see language below*
Legal Status		<legalstatus>	506 Restrictions on access note	11.4 Legal Status	optional *not recommended*

[14] If different from default in ArchivesSpace

Preferred Citation		<prefercite>	524 Preferred citation of described materials	7.5.1 Citation Note	**required** *see language below*
Immediate Source of Acquisition	Acquisition Information	<acquinfo>	541 Immediate source of acquisition	5.2 Immediate Source of Acquisition	**required**
Existence and Location of Originals		<originalsloc>	535 Location of Originals/Duplicates	6.1 Existence and Location of Originals	optional
Existence and Location of Copies	Alternative Form of Material Available	<altformavail>	530 Additional physical form available	6.2 Existence and Location of Copies	optional
Accruals		<accruals>	584 Accumulation and frequency of use (not generally included)	5.4 Accruals	optional
Custodial History		<custodhist>	561 Ownership and custodial history	5.1 Custodial History	optional
Biographical / Historical	Biographical Note or Historical Note	<bioghist>	545 Biographical or historical data	2.7 Administrative/ Biographical History	optional *recommended*
File Plan		<fileplan>	n/a		optional *not recommended*
Bibliography		<bibliography>	510 Citation/references 581 Publications about described materials	6.4 Publication Note	optional *not recommended*
Scope and Contents		<scopecontent>	520 Summary, etc.	3.1 Scope and Content	**required**
Arrangement		<arrangement>	351 Organization and arrangement (only when there is no finding aid)	3.2 System of Arrangement	**required**
Separated Materials		<separatedmaterial>	544 Location of other archival materials	6.3 Related Archival Materials	**required** *if applicable*
Appraisal		<appraisal>	583 Action	5.3 Appraisal, Destruction, and Scheduling Information	optional
Processing		<processinfo>	583 Action	7.1.8 Processing	**required**

Information			(typically not included in MARC)	Information	
Related Materials		<relatedmaterial>	544 Location of other archival materials	6.3 Related Archival Materials	optional
Other Finding Aids	Additional Collection Guide	<otherfindaid>	n/a	4.6 Finding Aids	optional **required** *at every at every applicable component level for born-digital*
General		<odd>	500 General note		optional *not recommended*
Index		<index>	n/a		optional *not recommended*

Use and language of notes

The following standard notes apply to all formats and should be adequate for most collections.

For additional guidance on born-digital description, see:

- UC Guidelines for Born-Digital Archival Description
- Chris Prom's Email Description Cheat Sheet

Abstract

Repurpose the first paragraph of the scope and contents note for the abstract. This note can be used in the catalog record.

Conditions Governing Access (Access Restrictions)

If the collection contains born-digital records, the Access note is required at every applicable component level except item (i.e. it should appear at collection, series, and sub-series levels).

Processed collections with no restrictions

Hybrid collections: • Paper • Born-digital • analog audiovisual media	`Collection open for research. Audiovisual media is unavailable until reformatted. Digital files are available in the UCSC Special Collections and Archives reading room. Some files may require reformatting before they can be accessed. Technical limitations may hinder the Library's ability to provide access to some digital files. Access to digital files on original carriers is prohibited; users must request to view access copies. Contact Special Collections and Archives in advance to request access to audiovisual media and digital files.`
Hybrid collections: • Paper • Born-digital	`Collection open for research. Digital files are available in the UCSC Special Collections and Archives reading room. Some files may require reformatting before they can be accessed. Technical limitations may hinder the Library's ability to provide access to some digital files. Access to digital files on original carriers is prohibited; users must request to view access copies. Contact Special Collections and Archives in advance to request access to digital files.`
Hybrid collections: • Paper • Analog audiovisual media	`Collection open for research. Audiovisual media is unavailable until reformatted. Contact Special Collections and Archives in advance to request access to audiovisual media.`
Paper only collections	`Collection is open for research.`
Analog media that has	`This [format of media] has been digitized and is available upon`

been digitized	request. Contact Special Collections and Archives to request access to the digital file.

Unprocessed, partially processed, or restricted collections

If the donor has imposed specific access restrictions, modify the note as appropriate.

Collection-level

When the collection very likely does not contain materials requiring restriction	This collection [or addition] has not been processed but is open for research.
When the collection may contain materials requiring restriction	MAY CONTAIN RESTRICTED MATERIALS. This collection [or addition] has not been processed but is open for research. Special Collections staff must review this material prior to access. Please contact Special Collections and Archives in advance to request access.
When the collection contains known materials requiring restriction	RESTRICTED MATERIALS. This collection [or addition] has not been processed but is open for research. Boxes [x-x] are restricted due to the presence of personally identifying information [or student/personnel records]. Access to this material is restricted for [x] years after the date of creation. This material is restricted until [YYYY]. Please contact Special Collections and Archives in advance to request access.
When the collection contains materials requiring restriction throughout	RESTRICTED MATERIALS. This collection [or addition] is closed. It has not been processed and is restricted due to the presence of [sensitive material, employment records, student records, etc.] throughout. Access to this material is restricted for [x] years after the date of creation. This material is restricted until [YYYY].

Append the following language to the appropriate note in the above chart for unprocessed, partially processed, or restricted hybrid collections:

Hybrid collections: ● Paper ● Born-digital ● Analog audiovisual media	Audiovisual media is unavailable until reformatted. Digital files may be made available in the UCSC Special Collections and Archives reading room. Some files may require reformatting before they can be accessed. Technical limitations may hinder the Library's ability to provide access to some digital files. Access to digital files on original carriers is prohibited; users must request to view access copies. Contact Special Collections and Archives in advance to request access to audiovisual media and digital files.

Hybrid collections: ● Paper ● Born-digital	Digital files may be made available in the UCSC Special Collections and Archives reading room. Some files may require reformatting before they can be accessed. Technical limitations may hinder the Library's ability to provide access to some digital files. Access to digital files on original carriers is prohibited; users must request to view access copies. Contact Special Collections and Archives in advance to request access to digital files.
Hybrid collections: ● Paper ● Analog audiovisual media	Audiovisual media is unavailable until reformatted. Contact Special Collections and Archives in advance to request access to audiovisual media.

Series, folder, item or other component level

Personnel records	Personnel records are restricted 75 years after the date of creation. This [component] is restricted until YYYY.
Student records	Student records are restricted for 75 years after the date of creation. This [component] is restricted until YYYY.
Medical records	Medical records are restricted for 100 years after the date of creation. This [component] is restricted until YYYY.
Legal records protected by attorney-client privilege	Records covered by attorney-client privilege are restricted for 50 years after the date of creation. This [component] is restricted until YYYY.

Conditions Governing Use (Use Restrictions)

When UC does not hold copyright (used for most collections):

> Copyright for the items in this collection is owned by the creators and their heirs **[OR name and contact info when known].** Reproduction or distribution of any work protected by copyright beyond that allowed by fair use requires permission from the copyright owner. It is the responsibility of the user to determine whether a use is fair use, and to obtain any necessary permissions. For more information see UCSC Special Collections and Archives policy on Reproduction and Use.

When UC holds copyright:

> Copyright for the items in this collection is owned by Regents of the University of California. Reproduction or distribution of any work protected by copyright beyond that allowed by fair use requires

permission from the copyright owner. It is the responsibility of the user to determine whether a use is fair use, and to obtain any necessary permissions. UCSC Special Collections and Archives can grant permission to publish materials to which it holds the copyright. For more information see UCSC Special Collections and Archives policy on Reproduction and Use.

Public Domain:

The University of California Santa Cruz Library believes that this item **[or items in this collection, if applicable]** is in the Public Domain under the laws of the United States, but a determination was not made as to its copyright status under the copyright laws of other countries. This item may not be in the Public Domain under the laws of other countries. For more information see UCSC Special Collections and Archives policy on Reproduction and Use.

If the donor has imposed specific use restrictions, modify the note as appropriate.
For reference, see Old versions of Conditions Governing Use note.

Other Finding Aids

Series and/or subseries-level reference to supplemental PDF containing a digital file directory:

See the related resources section of this collection guide for a file directory of the digital files.

Physical Location

Collection stored off-site at RLF-N: Advance notice is required for access.

Collection stored, in part, off-site at RLF-N: Advance notice is required for access.

Preferred Citation

[Title of collection.] [MS or UA #.] Special Collections and Archives, University Library, University of California, Santa Cruz.

Processing Information

Include at minimum, the name of processor and the year the collection was processed. Include other information as applicable including, whether original order was altered, origin of titles, and a summary of interventions taken. We do not currently have boilerplate language for this note. Examples:

Manuscript portion of the collection processed by Annie Tang, with assistance from Melissa Poulsen, graduate fellow in the Center for Archival Research and Training (CART) at UC Santa Cruz. Digital portion

> of the collection processed by Kate Dundon in 2018. Digital files were received from Karen Yamashita on 22 3.5-inch floppy disks, 10 5.25-inch floppy disks, 34 CDs, 2 zip disks, 1 USB flash drive. Files were copied off digital media carriers in 2018. Duplicate files, student and personnel records, and other out of scope files were not retained. Files were not reformatted, and file names are original to the creator. Original disks were retained and are included in the collection.
>
> Portions of this collection were processed by Danielle Crawford in the Center for Archival Research and Training (CART) with assistance from Alix Norton, 2016. Most titles in this collection were derived from the original folder titles as received from the donor.
>
> The records of the League of Women Voters received by the Library between 1933 and 1968 were described in a preliminary finding aid that was updated in 1994 with the addition of material received between 1979 and 1990.[15]

Note: for collections containing born-digital: Include count and formats of digital media carriers and/or transfer sources as received, as well as information on modifications to file names, file formats, file metadata or arrangement. State when digital files were deduplicated. For example, date created metadata for audiovisual files transferred with Handbrake and EAC is rewritten to the date of transfer. For these materials, include the following statement in the processing note:

> Dates may have been altered due to technology used to transfer and manage files.

Separated Materials

Not intended to document routine weeding. Use this note to point to materials that you have separated from the collection and are available through another access mechanism, most commonly the library catalog. Include call number or other identifying unique identifier when possible. (e.g. Maps are cataloged separately and are available via the UCSC Library catalog under call number…)

[15] Example from DACS 7.1.8: Processing Information

Devising and assigning agents and subjects

The Special Collections and Archives Cataloger will be the ultimate authority for the construction and inclusion of indexing terms. However, as the archivist accessioning and/or processing the collection, you are the expert in any particular collection and should provide suggested headings. The Agent Links and Subjects sections should be reviewed and edited by the Cataloger before publication of the finding aid.

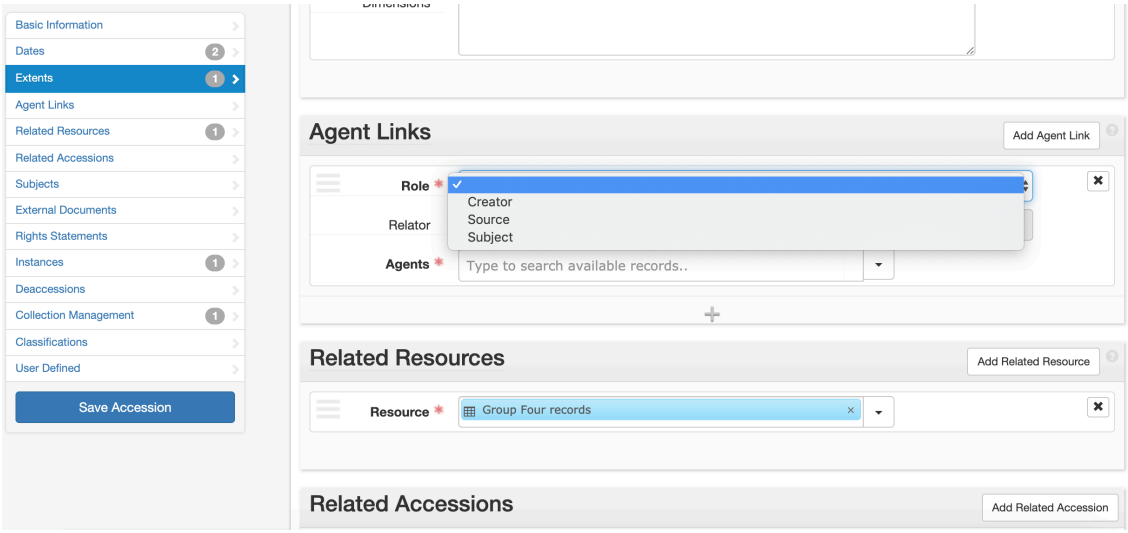
The OAC requires at least three controlled access headings, we aim for between three to five (with no more than ten and only that many in exceptional cases). Keep in mind that it is possible to have too many access points. By identifying access points, you are drawing special attention to how prominently a person, family, corporate body, place, topic, genre, or title figures in the collection. If a person, corporate body, place, topic, genre, or title is important enough to index, it should also be referenced in some way in the collection-level scope and content note or the series-level scope and content note. In order to determine whether a controlled access point is necessary, consider the “rule of disappointment.” If a researcher saw the access point, and decided to make a special trip to UCSC to see what we had as a result of the access point, would he or she be excited or disappointed? If disappointed, don’t include the name as an access point.

Agents

Creator

Required. If not already imported from the Accession record add the name of the creator to the Resource record:

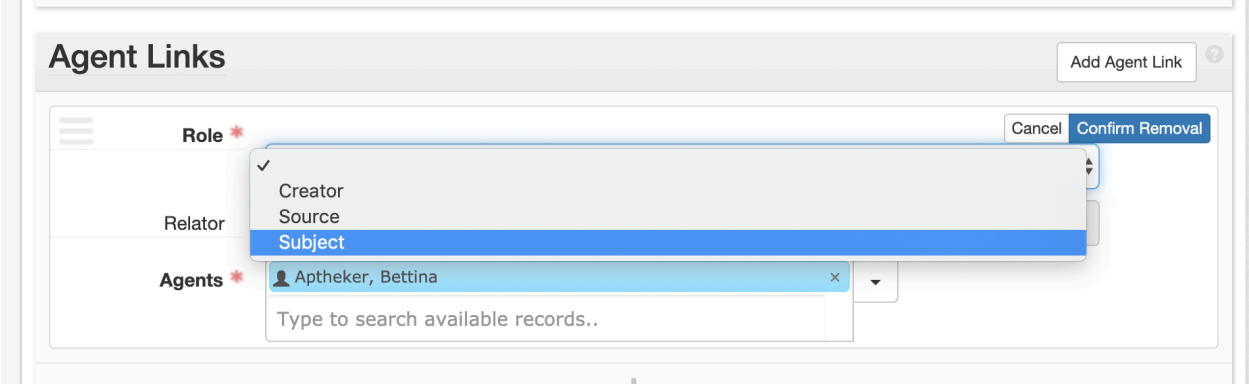
1. In the Agent Links section, click on the Add Agent Link button.
2. In the Role field, select “Creator” (Leave “relator” blank).



3. In the Agent field, search for and select the authorized name of the creator

Note: If the creator's name is not listed, search for the creator using the LCNAF plugin and import if found. (For instructions see Using the LCNAF plug-in). If the name is not in LCNAF skip and consult with the cataloger. The name of the creator should always be in authorized form.

Also include the name of the creator as Subject in the following circumstance: If the collection is personal papers, records, or another type of collection that serves as a research source for learning about the creator, you will also include the name of the creator as Subject by adding the name again and this time choosing "Subject" in the Role field. (Exception: If the creator is a collector and therefore the collection does not provide any information about the creator, add the creator only as Creator, not Subject.)



Donor

Required. Follow the steps above for Creator, except enter Source under Role.

If the name is not in the ArchivesSpace thesaurus or in LCNAF, create a local name using the following steps **and** notify the Special Collections Cataloger.

- Select Person, Family, or Corporate Entity
- Authority ID: leave blank
- Source: local sources
- Rules: leave blank
- Name order: Indirect
- Prefix: leave blank, unless part of name
- Title: leave blank, unless part of name
- Primary part of name: last name, or primary corporate name
- Rest of name: first name
- Suffix: leave blank, unless part of name
- Fuller form: leave blank, unless known

- Number: leave blank, unless part of name
- Dates: leave blank
- Qualifier: leave blank
- Sort name: automatically generated
- Dates of name use: do not use
- Contact details: add all known contact info
- Notes, Related Agents, External Documents, Rights Statements: do not use

Copyright holder

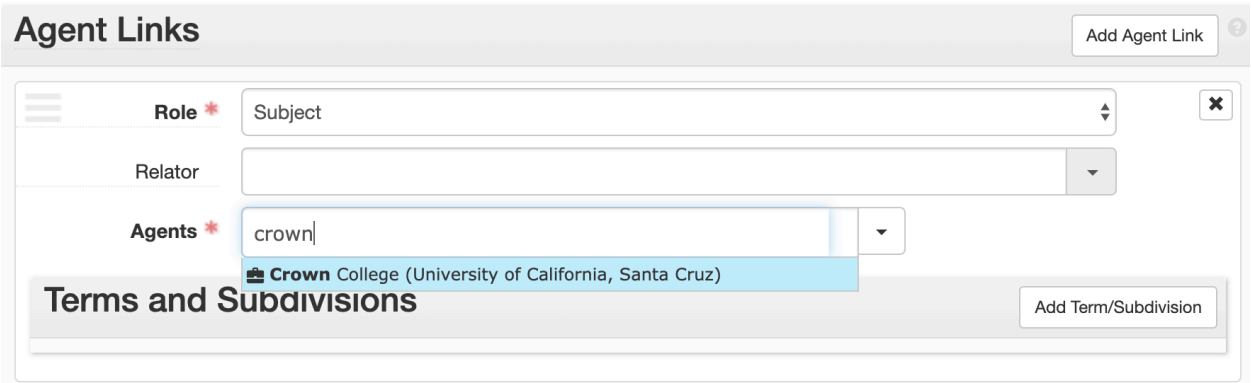
Required if known. This is especially important for collections that have a copyright holder that is not the creator. Follow the steps above for Donor and notify the Special Collections Cataloger.

Names of individuals and corporate bodies used as subjects

As you process the collection, identify the individuals or corporate bodies that are documented significantly in the collection. “Significant” may be in terms of the amount of material or the quality of the content. When using a name as a subject, the collection should provide significant information about the individual or corporate body.

To add the names of individuals or corporate bodies as subjects:

1. In the Agent Links section, click on the Add Agent Link button.
2. In the Role field, select “Subject” (Leave “relator” blank).
3. In the Agent field, search for and select the authorized name of the individual or entity



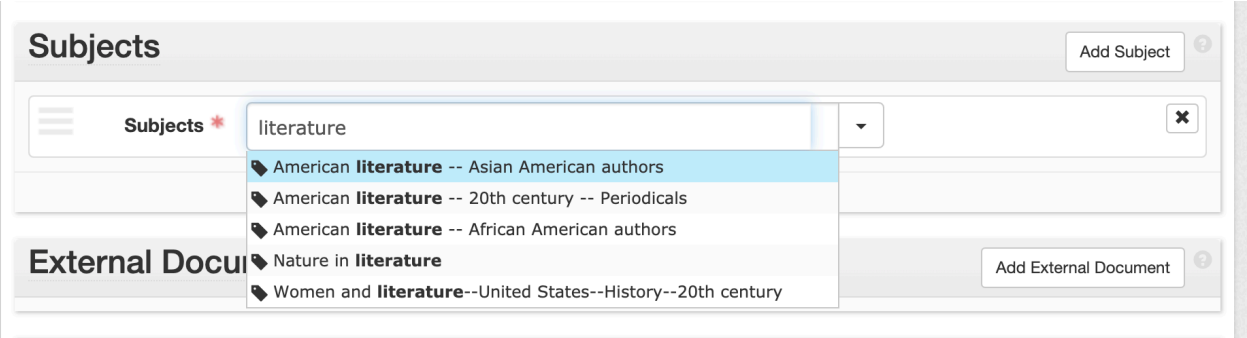
Note: If the name is not listed, search for the individual or entity using the LCNAF plugin and import if found (For instructions see Using the LCNAF plug-in). If the name is not in LCNAF skip and consult with the cataloger.

Subjects

Topical and Geographical Subjects

You may suggest topical and geographical subject headings to the Special Collections and Archives Cataloger. Be as specific as you can while still comprehensively describing a topic. If three or more of your subject headings are tightly interrelated, consider whether a broader heading would be more appropriate to describe the subject succinctly and accurately. Assign headings in order of the importance of the subject in the work.

1. In the Subjects section, click on the Add Subject button.
2. Search for and select an authorized heading to link it to the record. Repeat this action for all subjects to be added.



In addition to terms reflecting the content of the collection, if applicable, apply one of the following standardized terms:

- Faculty Papers
- University Archives
- Santa Cruz County (Calif.) -- History

Note: If appropriate subjects are not listed in the ASpace thesaurus, consult with the cataloger.

Genres and forms of materials

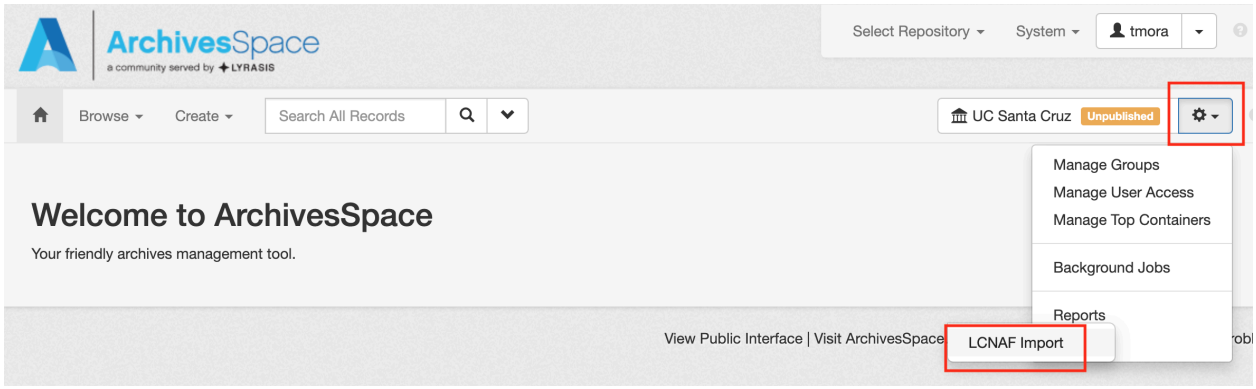
Using existing ASpace thesaurus identify the genres or formats of material that predominate in the collection or that may have significant interest for a researcher. Do not make an exhaustive list of every type of material in the collection; index what is dominant or important.

Note: it is expected that most collections contain manuscript materials so we do not generally assign this as a genre term. Use genre terms sparingly; as a general rule of thumb do not call out specific genres/forms unless they comprise at least fifty percent of the collection.

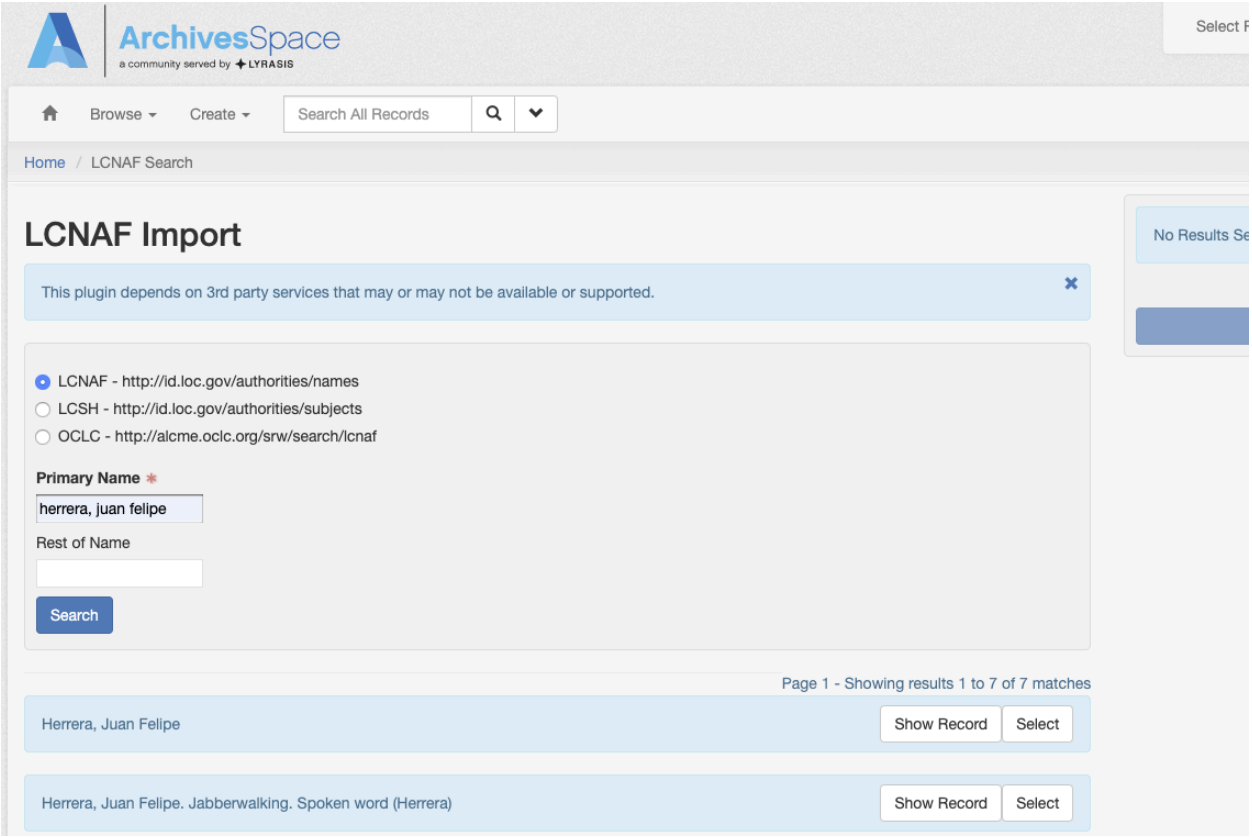
Using the LCNAF plug-in

One way to ensure that the names and subjects you include in ArchivesSpace are authorized headings is to import them using the LCNAF plug-in. Despite the moniker, the LCNAF plug-in searches LCSH as well as LCNAF.

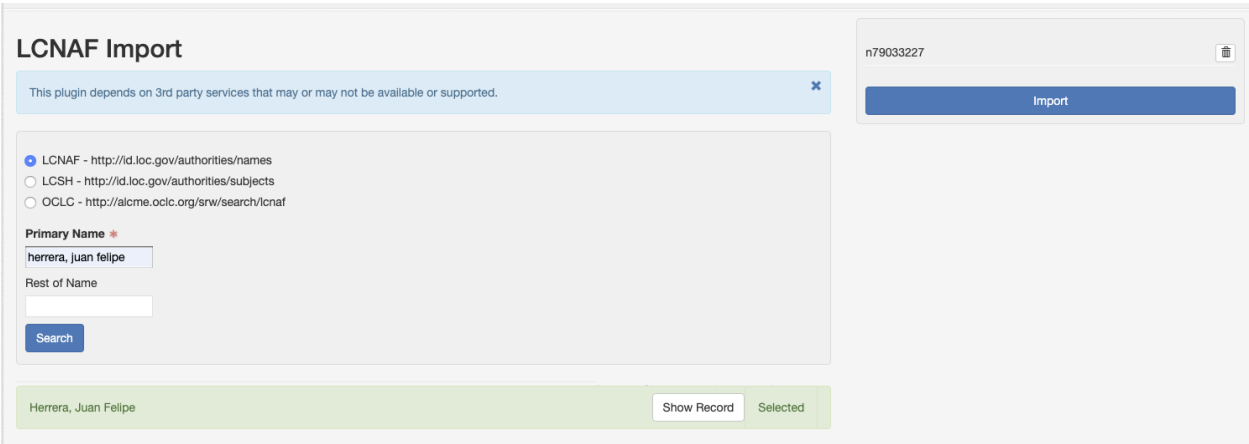
The plug-in can be accessed by clicking the gear icon in the upper right hand corner of ArchivesSpace.



1. On the LCNAF plug-in import page select the thesaurus to be searched, LCNAF or LCSH.
2. To search LCNAF enter both the surname and the forename in the Primary Name box.



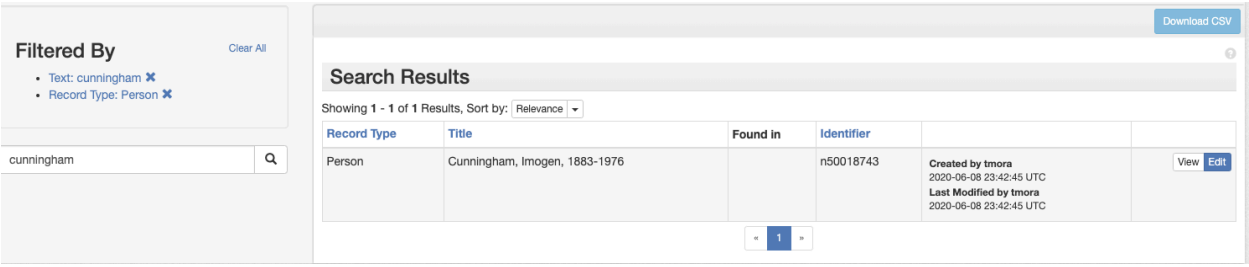
3. Click the **Select** button to the left of the matching record(s) in the search results list. The selected record(s) will be listed in the import box on the right side of the window.



4. Click the **Import** button at the right of the screen. This will start the import process.

5. You can now return to the main ArchivesSpace page. You should shortly be able to search Agent records for your newly imported authority record. The record is

now part of the local UCSC thesaurus and can be added to any Accession or Resource Record.



Note: See the ArchivesSpace User Manual for up to date instructions on using the LCNAF plug-in to import the established form of a heading.

Building the container list

There are several methods of creating container lists using ArchivesSpace:

Create in a spreadsheet and import into the resource record (preferred)

We rely on the Import from Spreadsheet function to import the majority of our container lists.[16] See the following for instructions and templates:

- Importing Archival Objects from Excel or CSV File (links to up-to-date templates)
- Local aspace-import-excel Google Sheets template
    - This is not the latest version of the template, but it still works.
    - Before uploading the spreadsheet to the Resource record, select "Save As" file format: **"CSV UTF-8".** If saved in any other format, ASpace will produce an error message.

Create in the resource record using rapid data entry

This method is useful if your container list is too large for the aspace-import-excel plugin, or if you have an unusually complex hierarchy. Engage a student assistant in filling in the RDE form whenever possible. See the ArchivesSpace User Manual for instructions.

Create in the resource record manually

This method is useful if you need to add only a handful of items to an existing container list in the resource record. See the ArchivesSpace User Manual for instructions.

Attach a PDF inventory or file directory to the finding aid

See the OAC guide on Submitting EAD and Supplemental PDF Collection Guides for additional instructions.

Add the following to the Other Finding Aid note (labeled “Additional Collection Guide”) at the collection-level[17] to create a link to the PDF file directory.

[16] Prior to this, we utilized the Philadelphia Consortium of Special Collections Libraries spreadsheet to XML tool (aka the “spreadsheet from heaven”).

[17] As of the OAC upgrade in July 2025, supplemental PDF links are no longer functional at any level below the collection-level. Local practice until this point was to link the PDF at both the series/subseries level and collection level. See Use and language of notes section for boilerplate language to use in adding a reference to the PDF at the series level.

Note: it is necessary to prepend the content of the Other Finding Aid note with regular text before encoding for an external link. **Starting the note with and `<extref>` causes the note heading to disappear.**

```
An inventory to this collection is available:
<extref xlink:href="/ms27.pdf"
xlink:role="http://oac.cdlib.org/arcrole/supplemental">MS 27
inventory</extref>
```

Or

```
For an inventory of the digital files, see the <extref
xlink:href="/ms362.pdf"
xlink:role="http://oac.cdlib.org/arcrole/supplemental">Series 1:
Digital Files Directory</extref>
```

Format the PDF document as follows:

- Include page numbers
- If converting a spreadsheet to PDF, set the column headings to repeat on each page
- Prepend with a cover sheet that includes explanatory information about the directory. Use the OAC PDF cover sheet template (in SCA Team Drive> Processing Affinity Group).

Exporting EAD from the resource record

1. **Before you export the EAD, select Publish All**. This will ensure all content is published. You may manually deselect any notes you do not want published. Save.

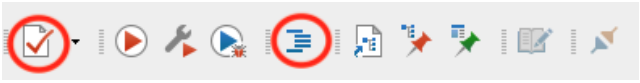
2. Click Export. Hover cursor over Download EAD and select *ONLY* the following:
    a. Include <dao> tags (if you have a top-level Online Items available link present [aka "red eyeball"] and/or a digital object record present)
    b. Use numbered <c> tags (this allows the components in the container list to nest correctly.)

    (Leave Include unpublished, Include URIs, and EAD3 schema *unchecked*.)

3. Name the exported file as follows: lowercase ms/ua + three digit collection number (e.g. ms472.xml)

See the ArchivesSpace User Manual for more information on exporting EAD.

4. Open the file in Oxygen XML Editor. Click the format and indent button to format the text for easier viewing. Click the validate button to check that the xml is valid.



Note on creating external links: currently, EAD exported from ArchivesSpace may not validate due to a common error in encoding external links. In order to validate for publication on the OAC, the *linktype* and *href* attributes in the external reference tag <extref> must be prepended with *xlink*.

Right way:

```
<extref xlink:type="simple"
xlink:href="https://library.ucsc.edu/reg-hist/norris"><title>Kenneth S.
Norris: Naturalist, Cetologist, Conservationist, 1924-1998</title></extref>
```

Wrong way:

```
<extref linktype="simple"
href="https://library.ucsc.edu/reg-hist/norris"><title>Kenneth S. Norris:
Naturalist, Cetologist, Conservationist, 1924-1998</title></extref>
```

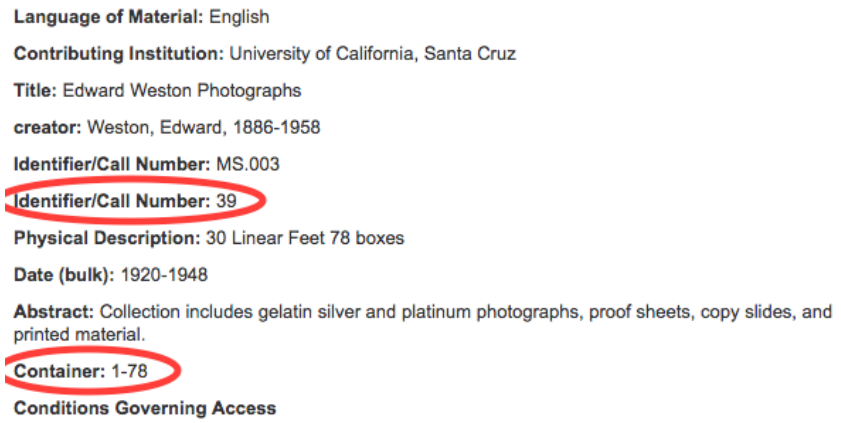
Notes on manual xml editing: avoid making extensive adjustments to the xml file after export. The finding aid in OAC should match the data in the resource record as closely as possible so that it can be easily updated by others in the future. However, there are certain items that must be manually added or deleted from the xml, including:

1. Making the Online items available link appear at the top of the collection guide (i.e. the

"red eyeball"). To do this, you must manually add a <dao> tag within the <did>. See page 8 of the OAC/Calisphere Contributor User Guide to ArchivesSpace for full instructions. Example:

```
<dao xlink:role="http://oac.cdlib.org/arcrole/link/search/"
xlink:href="https://www.gdao.org/"><daodesc><p>Grateful Dead Archive
Online (GDAO)</p></daodesc></dao>
```

2. The Instance record, which we use to track the location of the collection, exports in the EAD in the <container> element. This will appear in the finding aid as "Container:__" (see below). You must manually delete this from the xml, which looks like: `<container id="aspace_ad52b3f31f1a0ba3de2503b0d382494b" label="Mixed Materials" type="box">1-78</container>`



3. If the resource record was originally created in Archivists' Toolkit, the EAD will include odd numbers enclosed in an Archivist's Toolkit Resource Component tag in the <unitid>. This will appear in the finding aid as a second "Identifier/Call Number" (see below) and needs to be removed in one of two ways:
    a. *Recommended:* Select "Publish All." This publishes all subrecords and notes in the resource record. Then re-export the record with "Include unpublished" unchecked.
    b. Delete from the xml. You can avoid doing this manually by using Tools>XML Refactoring>Delete element <unitid>. This will delete all unitids in the finding aid, so you will have to manually add the collection number back into the front matter.

Publishing the finding aid on OAC

Finding aids are published on the Online Archive of California via the OAC Contributor Dashboard. See Submitting EAD Finding Aids on the OAC/Calisphere Contributor Help Center for instructions.

After clicking “Publish to OAC,” it may take a few minutes to load the preview or republished guide. You may need to refresh the page for the preview/view on OAC option to show up. After republishing a guide, it may take several hours for changes to appear.

ArchivesSpace Guide

ArchivesSpace is the Collection Management System for archival collections in Special Collections & Archives. It is the database of record for accessioning information, finding aid description, and collection locations.

UCSC's instance of ArchivesSpace is hosted by CDL. It is accessed at: https://ucsc.aspace.cdlib.org/

The ArchivesSpace Help Center and User Manual can be accessed on the ArchivesSpace Confluence Site.

General advice:

- Sessions expire without notice after a period of inactivity. Save your work often.
- Use caution and work slowly when deleting components within a Resource record. After a component is deleted, the system highlights the top level component (the entire Resource record) by default. *Make sure you have selected the correct component level before clicking Delete. It cannot be undone.*

Creating Accession Records

Basic Information Sub-Record

Title (required): If accessioning an accrual to an existing collection, append the accession date or number to the end of the title.

Example: `Jean H. Langenheim papers, accrual 2014.014.`

Identifier (required): Enter year of accession in first box and next available three digit number in second box.

Accession Date (required): Enter the date on which you are creating the accession record.

Content Description (required): Include a brief summary of the contents of the collection. This will become the Scope and Content note in the resource record.

If born-digital and/or audiovisual material is present, include a description of the content (if known) and a count of each carrier type/format.

Example: `1 hard drive containing lectures, drafts, news columns, and photographs created by the Public Information Office from 1998-2000.`

Condition Description: Include a brief summary of physical damage to the materials, if any. If born-digital records are present, enter known issues with digital files. (Note: we generally discard media that cannot load or has known file corruption issues.)

Example: `Images on CD are corrupted.`

Disposition: Used to record deaccessions (see Deaccessioning Procedure), OR materials separated from the collection but made available elsewhere, such as publications cataloged separately.

Inventory (required if applicable): Note the presence of a paper inventory in the collection file, or include file paths or links to existing digital inventories. It is not necessary to point to the finding aid in this field once processed.

Provenance (required): Name of donor and exact date the library took custody of the material.

Retention Rule (required if applicable): Include criteria governing the retention or destruction of separated materials.

General Note: Use sparingly only for information that cannot be described in other fields.

Acquisition Type (required when known)

Resource Type (required): Refer to DACS 2.3.19

Restrictions Apply?: Check this box if there are access or use restrictions.

Access Restrictions?: Check if there are access restrictions on the accession (if it is unprocessed, contains sensitive/private information, born-digital content or audiovisual media that requires digitization for access.) Once the collection is processed, and if there are no access restrictions, Processing Archivist will uncheck this box and update the Access Restrictions Note.

Access Restrictions Note (required if applicable): Include relevant access restriction note (see Use and Language of Notes.) This note is internal-only, and is not spawned to the Resource Record.

Use Restrictions Apply? Check only if the donor has imposed specific restrictions on reproduction or publication on the materials.

Use Restrictions Note (required if applicable): Include any non-standard use restrictions (e.g. donor must give written permission before reproductions can be made).

Accession Sub-Records

Dates (required)

Label (required): Creation

Expression (required): A natural language expression of the date. Follow DACS guidelines when forming exact dates (example: 1906 March 17) or approximate dates (“circa” or “approximately”).

Type (required): Bulk, Inclusive, or Single

Begin/End (required): enter beginning and ending dates

Certainty, Era, Calendar: do not use

Extents (required)

Record the extent retained at the end of accessioning activities (not initial extent received). If significant/necessary, extent received can be recorded in the Content Description field.

Portion (required): Whole

Number (required): number of Linear Feet or Gigabytes

Type (required): use Linear Feet or GB ***ONLY***

Container Summary (required): Expression of the number of boxes and/or items. Whenever possible, include a count of each type of digital and audiovisual media.

Examples:

```
15 document boxes (including 25 CDs, 2 DVDs, 1 flash drive, and
15 cassette tapes); 1 framed item

1 external hard drive (4 GB); 34 CDs (estimated maximum 23.8
GB)

3,577 digital files
```

Physical Details and Dimensions: do not use

Create separate extent sub-records for physical and born-digital (one measured in Linear Feet, the other measured in GB). See step **1.10 Determine and document extent** in Born-Digital Accessioning Procedures.

Agents (required)

Three agent records are required if known: Creator, Donor, and Copyright Holder. See Devising and assigning agents and subjects for instructions. Be sure to include all known contact information in the agent records.

Subjects (optional)

Assign one to three subject headings to the Accession record. See Devising and assigning agents and subjects for instructions.

Related Resources

Required if applicable. Link to the corresponding resource record.

Related Accessions (required if applicable)

Use only for multiple accruals to the same collection.

Relationship type: Sibling Relationship

This Accession: is Sibling of

Accession: link to related accession

Relator Type: “Bound With” relationship

External Documents

Link to any relevant inventories or descriptive documents that aren’t linked to elsewhere in the record. Paste in URLS for Google docs or file paths for Excel or Word documents.

Rights Statements

Required for any collections which require written permission from the copyright holder for duplication or photography, or if part or all of the collection is digitized or there are concrete plans to digitize and publish.

Boilerplate access and use statements are recorded in the Access Restrictions and Use Restrictions notes in the Accession record, and the Conditions Governing Access and Conditions Governing Use statements in the Resource record. It is not necessary to create a rights statement to track standard rights holder information. (example: If the copyright holder of a literary collection is the creator, his or her name and contact info is recorded in the Agent record that is linked to the Accession as a Copyright Holder.) If any additional, specific rights situation has been documented in the gift agreement, modify these notes as appropriate and add a Rights Statement. This note is internal-only.

Active: check box (assume that all rights statements are active)

Rights Type (required): Intellectual Property: This is the most commonly used type of rights statement.

- Materials: briefly describe materials to which the copyright statement applies
- IP Status: Copyrighted, Public Domain, or Unknown
- IP Expiration Date: only required if known
- Jurisdiction (required): United States
- Type Note: enter known information about copyright holder
- Permissions (recommended): include non-standard permissions for use (Example, if materials are in the public domain, use Free to use without restriction).
- Restrictions (recommended): describe use restrictions (non-permitted actions) (example: Reproductions may not be made without written approval from the executor of the Morley Baer Trust, Joshua Baer.)
- Restrictions Start/End dates: enter the date the restrictions start and end in YYYY-MM-DD format, if known
- Granted Note: use sparingly, only for information not included elsewhere

Rights Type: License, Statute, Institutional Policy: do not use

Instances (required)

Use to record the location(s) of the accession. Add multiple instances if there is more than one location (e.g. box 1-12 at SLF-N, box 13-20 in 3260). See Creating and Managing Instances for guidelines. If born-digital records are present, add a Digital Object Instance. (See Creating Digital Object Instances.)

Deaccessions

Use to record the deaccessioning of an entire collection, entire accession, entire series, or otherwise significant quantity of materials. It is not necessary to document routine weeding or separation of publications. See Deaccessioning Procedures for additional guidance on documenting deaccessions in the Accession record.

Portion: Part (or Whole if entire collection)

Description: provide a brief description of the materials

Reason: out of scope, duplicated, etc.

Disposition: record actions taken, such as returned to donor, destroyed etc.

Notification Given?: leave unchecked

Deaccession Date:

- Label: Deaccession
- Expression: enter the date the materials were deaccessioned in YYYY-MM-DD format
- Type: select Single (do not use any other date types)
- Certainty, Era, Calendar: do not use

Extent:

- Portion: Whole
- Number: numerical expression of extent
- Type: Linear Feet

Collection Management

The majority of the fields in this sub-record should be tracked in the Resource record. Use this area in Accessions only to track **processing status**. Update this field as necessary as materials are processed.

Processing status (required): select "completed" if no further work is necessary, or "unprocessed" if accrual is to remain unprocessed (even if larger collection is processed).

Classifications and User Defined

Do not use

Events

Required:

- **Agreement Signed:** If there is signed gift paperwork or University Archives transfer form, add an “Agreement Signed” event record, and include the date the paperwork was signed. OR,
- **Acknowledgement Sent:** If there is no paperwork, create an “Acknowledgement Sent” event record, and include the date an acknowledgement was sent. If date is unknown, do not create an event record.
- **Rights Transferred (if applicable):** if copyright is transferred with the gift, create a “Rights Transferred” event record and include the date the gift paperwork was signed.

Recommended (if applicable):

- **Appraisal:** Record relevant notes about appraisal decision-making, particularly concerning decisions and reasons why certain offered materials were not accepted, or why and how materials were sampled. (i.e. plaques and awards were not accepted and the donor was informed of this). This can be useful for accessioning, processing, management of future additions, and overall long-term stewardship and relationship-building with donors.

See Creating Event Records for more information.

Creating Resource Records

Basic Information

Title (required) The collection type/signifier (papers, collection, records) is not capitalized.

Identifier (required): Enter MS or UA in the first box, and the three digit collection number as assigned by the Supervisory Archivist in the second box.

Level of Description (required): Collection

Resource Type (required)

Language (required): Describes language of materials in the collection. Multiple languages may be selected. Script is Latin.

Restrictions? (required): Check box if collection is unprocessed or if there are any non-standard access or use restrictions.

Repository Processing Note: Use this internal-only field sparingly, only for information not recorded elsewhere. Does not export in EAD.

Resource Sub-Records

Dates (required)

Extents (required)

Agent Links (required)

Subjects (required)

External Documents

Rights Statements

Deaccessions

Finding Aid Data

EAD ID: Enter the filename for the xml file (not required if the collection will not get a finding aid)

EAD Location: leave blank

Finding Aid Title (required if applicable): “Guide to the [collection title]”

Finding Aid Filing Title (required): individual’s last name, followed by the first name and optional middle initial, which should both be in parentheses [example: Norris (Kenneth S.) papers].

Finding Aid Date (required if applicable): the year of publication

Finding Aid Author (required if applicable): name(s) of Processing Archivist(s)

Description Rules (required): Describing Archives: a Content Standard

Language of Description (required): English

Script of Description (required): Latin

Sponsor: leave blank unless there is a specific funding source used for collection processing

Edition Statement: do not use

Series Statement: If the finding aid represents one series in a larger collection, describe its relationship to the series here. (example: Series 7: Lick Observatory Photographs is one of 9 series of the Lick Observatory Records. See Related Materials for more information.)

Finding Aid Status (required): status will need to be updated once finding aid is complete. Select not_applicable for collections of two linear feet or less, or otherwise do not need a finding aid.

Finding Aid Note: use this internal-only field sparingly, only for information not recorded elsewhere.

Revision Statements

Describe changes made to finding aid and date of revision. Not necessary for routine revisions.

Related Accessions (required)

Link to all directly related accessions that aren't automatically linked.

Notes

Note Type: select desired note
Persistent ID: leave blank
Label: enter a note label if you want it to appear differently than the Note Type name
Type: leave at default
Content: See Order and labeling of collection-level notes for guidelines and Use and language of notes for language.

Instances

Used to track containers and their locations at both the collection and component level. Collection-level instances are spawned from the accession record, and should be updated in the Accession record(s) as necessary. See Creating and Managing Instances.

Required at the collection-level in the resource record if the collection is stored in multiple locations. Create a separate collection-level instance for each location. See resource record for MS64 Cabrillo for an example.

See Components and Multi-Level Description for guidelines on creating hierarchical description in the finding aid.

Collection Management

Processing Priority: do not use

Rights Determined?: check only if a rights sub-record has been created for the Accession

Processing Plan (recommended): paste in processing plan (if available), or provide link or file path

Processors (required): name of Processing Archivist(s)

Processing hrs/unit Estimate (recommended): enter the number of hours estimated to process the collection as determined in the processing plan.

Total Processing Hours (recommended): record the actual total number of hours spent processing the collection.

Processing Status (required): Select appropriate option. Update this field as necessary as materials are processed.

Classifications and User Defined

Do not use

Components and Multi-Level Description

Component records are used to create hierarchical description, referred to in ArchivesSpace as "Archival Objects." Resource component records describe the intellectual or physical parts of a resource that make up an archival collection, including series, files, items, etc. Add a component by selecting Add Child or Sibling in the header bar of the Resource record. You can add archival objects in bulk using the "load via spreadsheet" function. See Inventory template for ASpace container list import.

Title (required): Title of the series, folder or item. For file and item level components, a Title is not required if the Dates sub-record functions as a title for the component.

Component Unique Identifier: Record unique identifiers such as accession numbers. Do not use for folder number, which is tracked in the instance sub-record (below).

Level of Description (required): Use series**,** sub-series**,** file or item for most materials.

Restrictions Apply? Check this box only when entering a component that is restricted (rare).

Repository Processing Note: Use sparingly. This information is not made public. Prefer use of collection-level repository processing note in Basic Information.

Dates

Agent and Subjects: do not use at component level

Notes: Follow DACS Principle 7.3. Only add notes at series and lower levels that are relevant to that level of description. Do not repeat information stated at higher levels of description (there are exceptions to this with born-digital).

Commonly used notes at the series and subseries level are Historical/Biographical, Scope and Content, and Conditions Governing Access.

External Documents and Rights Statements: do not use at component level

Instances

Creating and Managing Instances

The instance sub-record identifies and tracks discrete containers or digital objects that are linked to archival objects, Accessions, and Resource records, and associates these containers/objects with specific locations. Create multiple instances if there is more than one location (e.g. box 1-12 at SLF-N, box 13-20 in 3260). You can also associate multiple instances with a single component, or "Archival Object" (e.g. print photograph and negative of the same image).

Creating a Container Instance (physical materials)

A "container" can be a box, flat file folder, or even an item. Container information is recorded in the "top container" record, which is the highest level container in which materials are stored. Children or grandchildren (folders, items) are housed within the top container. At this time, we are not using container profile records.[18] To create a container instance, click Add Container Instance in the Accession or Resource record.

Note: **we currently do not add instances to resource records if the collection is stored in a single location.** This is because the instance information is displayed as "Container: [box range]" in the finding aid, and we find this to be confusing to users and want to avoid needing to manually edit the xml. However, it is necessary to add collection-level instances to resource records when the collection is stored in multiple locations as this information is too complicated to track in accession records when there are multiple accessions to a collection. See resource record for MS64 Cabrillo for an example. Consult with the Supervisory Archivist as needed.

Type (required): use Mixed Materials for most materials

Top Container (required): Type ahead to browse for an existing linked container. You may need to create a new top container by selecting the arrow at the end of the top container field. Complete the top container record with the following fields:

- Container Profile: leave blank
- Container Type (required): Use Box for most containers. If the accession does not have numbered boxes, use Item.
- Indicator (required): box/container number, or range of numbers (example: 1-5)
- Barcode and ILS fields: leave blank
- Locations (required):
  - Status (required): Current
  - Start Date (required): the date it was placed in the location, or the date you are creating the record
  - End Date: do not use

[18] Adapted from the ArchivesSpace Manual for Local Usage at NYU, July 2016.

        - Note: use to record additional information about the instance and its relation to its location
        - Location: Select an existing location by typing ahead or browsing. When locating an item in 1221, select the specific stack and range number. Locations can be assigned to multiple instances in bulk by using the Manage Top Containers function. Consult Supervisory Archivist before creating a new location.

Child Type and Indicator: Use to include a subordinate container in your instance (such as a folder or item inside of a box).

- Child Type: will usually be folder
- Child Indicator: folder number or range of folders

Creating Digital Object Instances

We use the Digital Object Instance Record to track the location of born-digital files on the Library Server. For most collections, a single digital object instance pointing to the location of the collection folder on the borndigital share will suffice (as opposed to creating individual instances for each piece of media).

Title: If accessioning multiple carriers or transfers (most common), enter the title of the collection + digital files, or whatever the appropriate format type (e.g. `Karen Tei Yamashita Papers digital files`)

If accessioning single file not associated with a collection, enter a descriptive title of the content or the actual filename.

Identifier: Enter the folder name for the material (e.g. MS064_SIP or MS064_AIP). This will likely need to be updated after the collection is processed.

Type: Use format specific type if applicable, otherwise, leave blank.

Add File Version: This tracks the location(s) of the physical or digital material. For processed born-digital collections, we create two separate File Versions: one for the location on the Library server, and one for the location in Merritt or Vault.

- To track location on Library server:
    - File URI: Paste in the file path to the location of the content on the Artifacts2 server borndigital2 share (e.g. *smb://Artifacts2.library.ucsc.edu/borndigital2/MS465*)
    - Caption: Location on Library server
- To track location on Merritt:
    - File URI: Paste in the ARK If the collection is deposited to Merritt.
    - Caption: Merritt ARK (Ask Digital Preservation Librarian or Supervisory Archivist for the ARK)
- To track the location on Vault:

        - File URI: Paste in url to collection on Vault
        - Caption: Vault url (Ask Digital Preservation Librarian or Supervisory Archivist for the ARK)
- Checksum: Paste the checksum or hash value if available.

Dates: add date range of files if known, or circa dates
Extents: add extent in GB and the number of files in Container Summary, if known
Collection Management: add processing status

Creating Event Records

Event records are used to record various actions taken on a collection or portion of a collection. Click Add Event in the top right toolbar of the Accession or Resource record to create a new event.

Basic Information

Type: The most commonly created event records at UCSC are:

- Acknowledgement Sent
- Agreement Signed
- Appraisal
- Captured
- Cataloged
- Component Transfer
- Rights Transferred

Outcome: Use only for capturing event records for born-digital. Choose Pass if all digital files were successfully captured; Partial Pass if some but not all were captured; Fail if no files were captured

Outcome note: Provide any additional information not included elsewhere. For born-digital, supply notes explaining irregularities or failures in the file capture. If there are too many carriers to easily address in this field, summarize the issues and record carrier-level issues in appraisal spreadsheet.

Basic Information Event Date/Time

Date/Time specifier: Date Subrecord
Label: Event
Expression: Enter the date the event occurred
See Dates sub-record guidelines

Agent Links

Role: Implementer
Agents: link to Archivist, Cataloger, or other appropriate agent

- For Cataloged, use name of Cataloger
- For Captured, use name of Archivist transferring files
- For Rights Transferred, use name of person transferring copyright
- For Agreement Signed, use Donor

Record Links

Role: Source
Record: link to Resource and/or Accession record(s)

Deaccessioning Procedures

Deaccessioning adheres to the UC Santa Cruz Special Collections & Archives Deaccessioning Policy.

Reappraise

1. Review the material in question. Collections under reappraisal are often:
    a. Out of scope or do not align well with the current Collection Development Policy
    b. Highly restricted, due to donor-imposed restrictions or privacy concerns
    c. Not unique, archival, or the copy of record
    d. Duplicative
    e. Of unknown provenance
    f. Have not been used or their use is extremely infrequent
    g. Consist of formats that are permanently inaccessible due to obsolescence, are physically degraded to the point of uselessness, or have become a danger to staff and users

2. Review the Deed of Gift or Transfer Agreement, the collection file, and any available correspondence related to the acquisition. Check legacy collection files in McHenry Room 1170. (If the University has a clear legal title to the material, deaccessioning can be a fairly straight-forward process. See step 7.d. below for steps to take when there is no clear legal title.)

3. Review any existing Accession and Resource records in ArchivesSpace, and any available existing description of the material, including finding aids, catalog records and internal inventories.

4. Make a reasonable effort to determine if the material has been used or cited in publications. If there is evidence of use, the collection should most likely be retained.
    a. Perform a citation search in Aeon to determine if it was requested by a researcher since September 2014, when SC&A started using Aeon.
    b. Perform citation searches in Google scholar or relevant databases for citations.

5. Fill out a Reappraisal and Deaccessioning Form and submit to the Head of Special Collections.

Decide

6. Head of Special Collections makes a decision (retain, defer, deaccession).
    a. Retain:

i. Document decision in reappraisal and deaccessioning form. Print and add to the collection file.
ii. Update the General note in the Accession record with relevant findings and decision. If no Accession record exists, create one.
iii. If there is no deed of gift and there is a known donor, the Head of Special Collections contacts the donor to request a signed deed of gift (see sample letter template used by UCLA).

b. Defer:
i. Identify and document a date on which to re-evaluate (such as 5 years).
ii. Document reason for deferral, any actions taken, any research or findings made, and date of re-evaluation in the reappraisal and deaccessioning form. Print and add to the collection file.
iii. Include the above information in the appropriate fields in the Accession record (such as General note or Disposition.) If no Accession record exists, create one.
iv. Pack into the smallest possible footprint and store in 1221. Update location in the Accession record.

c. Deaccession: see immediately below.

Determine and enact disposition

7. Determine disposition of deaccessioned material, choosing one of the following methods listed in order of preference.
    a. Transfer
        i. Search ArchiveGrid, WorldCat, professional listservs, and other sources to identify an appropriate repository for the material based on related holdings, collecting scope, or geographic focus. Consider museums and public libraries.
        ii. Head of Special Collections or Supervisory Archivist contacts the identified repository to offer the material. Include all known information about the material up front, including content, size, condition, restrictions, and reason for deaccessioning. If appropriate, include a scan of the collection file, including deed of gift.
        iii. If an agreement is made to accept the collection:
            1. Head of Special Collections sends a courtesy notice to the donor or heirs using the transfer courtesy notice template.
            2. Send a scan of the entire collection file to the repository.
            3. Ship the materials to the repository. Notify repository of shipment.
            4. Confirm receipt via email.
            5. Document shipping and receipt dates in the reappraisal and deaccessioning form (print and add to collection file), and the Accession record if one exists (see step 9 below).
            6. Print email correspondence and add to collection file.

iv. If the repository declines: document this in the reappraisal and deaccessioning form and make your best effort to offer to another repository. If none are identified, see below for returns.

b. Return
   i. Head of Special Collections contacts the donor or heir using the return notification template.
      1. If donor agrees to accept the collection:
         a. Acknowledge the donor's decision in writing.
         b. Ship the materials to the donor. Notify them of shipment.
         c. Confirm receipt in writing.
         d. Document shipping and receipt dates in the reappraisal and deaccessioning form (print and add to collection file), and the Accession record if one exists (see step 9 below).
         e. Print email correspondence and add to collection file.
      2. If donor does not agree to accept the collection:
         a. Acknowledge the donor's decision in writing, noting that the material will be securely destroyed.
         b. Document the donor's decision in the reappraisal and deaccessioning form (print and add to collection file) and Accession record if one exists (see step 9 below).
         c. Print email correspondence and add to collection file.
         d. See steps below under Destroy.
      3. If donor does not respond within the specified time period, make your best effort to contact an heir, executor, or relative who can make a decision on the collection. If none are identified, document this in the reappraisal and deaccessioning form (print and add to collection file) and Accession record if one exists (see step 9 below). Proceed with destruction.

c. Destroy
   i. Material that can be destroyed must meet one of the following characteristics:
      1. The donor or heir has rejected the return of the material.
      2. The donor has not responded to attempts to contact within the specified time period and no other contacts can be identified.
      3. The donor is unknown, and a risk assessment has been undertaken and documented in the reappraisal and deaccessioning form.
      4. It is University Archives material, and the University Archivist has determined "*that they are no longer of enduring value, are duplicative of other records in the archives, or are available in another format. The archivist may choose to contact the office of*

origin to determine if the deaccessioned records should be returned or destroyed, but this is not required."[19]

ii. Place paper materials in secure shredding bins in 1170. Place media in cartons next to bins. Santa Cruz Records Management retrieves bins once per month and cartons upon request.

iii. Document destruction in the reappraisal and deaccessioning form (print and add to collection file) and Accession record if one exists (see step 9 below).

d. **For collections with no clear legal title and the donor cannot be identified after a reasonable attempt,** California state abandoned property law may need to be taken into account. We take a risk assessment approach on a case-by-case basis when deaccessioning such collections.

i. If the collection consists entirely of out of scope material that does not have a discernible value (such as a box of newspaper clippings), there is no evidence of prior use (such as citations), and it is unlikely that another repository or person would accept the material, proceed with destruction. Document your analysis and the destruction in the reappraisal and deaccessioning form.

ii. If the collection contains material that may be of value and is two linear feet or less[20], consider retaining it. Weed any duplicates and non-collection material such as publications, newspaper clippings, envelopes, receipts, blank forms, etc. Pack into the smallest possible footprint and describe in a brief collection-level record. Document your analysis in the reappraisal and deaccessioning form and add to the collection file.

iii. If the collection contains material that may be of value and is larger than two linear feet, attempt to transfer the collection. If a repository agrees to accept it knowing there is no known donor, proceed with a transfer. If a transfer is not possible, consult California Abandoned Property Law in consultation with campus counsel.

Wrap-up

8. Remove, suppress, or update any public-facing records describing the material, such as catalog records, finding aids, descriptions on websites, etc.

9. Ensure the following fields of the Accession record are updated. See Accession record for 2017.019 for an example.
    a. Title: If the entire collection is deaccessioned, enter [DEACCESSIONED] in front of the title.

[19] Policies for Administration of University of California Archives. Section VI.
[20] Two linear feet is a rule of thumb, not a hard and fast figure.

b. Disposition: note that the collection, series or record group was deaccessioned, the disposition (return, transfer, destroy), the name of the person or institution if returned or transferred, and the date.
c. Complete a Deaccession sub-record.

10. If the deaccessioned collection has Resource record in ArchivesSpace, delete the record.

11. Complete the reappraisal and deaccessioning form. Print and add to the collection file.

12. Print all email correspondence and add to the collection file.

13. Notify Special Collections & Archives department members that the collection is deaccessioned.

Other Guidelines, Manuals, Policies, and Standards

UCSC

- Born-Digital Access Patron User Guide
- Born-Digital Access Staff Procedures
- Digital Objects Metadata Best Practices
- Interim procedures: audiovisual reformatting for access
- Policies and Procedures for Providing Access to Unprocessed Materials
- Special Collections & Archives Collection Development Policy
- Special Collections & Archives Digital Preservation Priorities
- UCSC Center for Archival Research and Training Manual
- University Archives Collection Development Policy
- University Library at Santa Cruz Digital Strategy

UC Libraries

- Guidelines for Efficient Archival Processing in the University of California Libraries (v 4)
- UC Guidelines for Born-Digital Archival Description
- OAC/Calisphere Contributor Help Center
    - Submitting EAD and Supplemental PDF Collection Guides: instructions on publishing EAD finding aids and attaching supplemental PDF files
    - OAC/Calisphere Contributor User Guide to ArchivesSpace: instructions on linking to digital collections from an OAC finding aid

National, International

- Archival Accessioning Best Practices (v.1.0.2. January 2025)
- EAD Tag Library (2022 ed.)
- Encoded Archival Standards: Best Practice Guide (2022)
- SAA Guidelines for Reappraisal and Deaccessioning (2017)
- Digital Processing Framework
- DANNNG Glossary: glossary of terms related to disk imaging and other born digital terminology
- Digital Preservation Terms Glossary

Description resources

- Describing Archives: A Content Standard
- UCSC Library List of Reparative Description Style Guides and Community Thesauri
- UCSC Communications & Marketing Editorial Style Guide

About This Document

This document is intended to support and guide archivists in the UCSC Special Collections & Archives department in accessioning and processing archival collections. It is a lightweight and continually evolving effort designed to complement the following standards and guidelines, with which all staff undertaking archival processing are expected to become familiar:

- Describing Archives: A Content Standard (2019.0.3)
- Encoded Archival Description Tag Library (2019)
- Guidelines for Efficient Archival Processing in the University of California Libraries (v 4)
- OAC/Calisphere Contributor Help Center Contributor Guides
- ArchivesSpace User Manual

Version history

Kate Dundon created the first version *(Accessioning/Processing/Description Manual)* in 2014 with contributions from Beth Remak-Honnef, Janet Young, Maureen Carey, Mathew Simpson, Debra Roussopoulos, and Mary deVries.

The manual underwent significant revisions with the adoption of ArchivesSpace in 2015, and Dundon created a new version in 2016 (*UCSC Special Collections & Archives Processing Manual).* Dundon updated this throughout 2016-2018 with contributions from Teresa Mora and Alix Norton.

Dundon developed version 3 in January-July 2020 to integrate born-digital accessioning and processing procedures. Contributions from Teresa Mora (who developed Devising and assigning agents and subjects in ArchivesSpace), Alix Norton, and Belinda Greysmith.

10/12/2021 Dundon revised procedures for Accessioning accruals to existing collections.
3/2023 Sue Perry and Dundon revised Merritt submission procedures under Born Digital Processing procedures.
11/2023 Dundon revised general accessioning workflow and processing procedures to include new procedures for managing incoming AV acquisitions.

Dundon developed version 4 in 2025. Version 4 incorporates the above revisions to v.3, as well as substantial improvements to born digital and accessioning guidance. This round of revisions was initially inspired by an evaluation of Born Digital procedures conducted by Digital Preservation Librarian Sue Perry in 2024, which resulted in a recommendation to adopt DART, conduct a virus check during accessioning, and a number of other small changes to support preservation of born-digital records. Dundon incorporated these recommendations into the Born Digital Accessioning and processing procedures (as well as adding guidance on TreeSize), and a

new tool guide for DART in the appendix. These revisions expanded into a larger scale review of the entire document in late 2024 - late 2025, and resulted in revisions to: Processing procedures for all collections, Exporting EAD from the resource record, and new sections on Accessioning born-digital accruals to existing born-digital collections, Appraising publications in archival collections, standard folder labels, and a TreeSize Pro tool guide (credit to Alix Norton for authoring guidance on How to create a PDF file directory in TreeSize Pro). Finally, this version includes a revised and expanded General accessioning workflow that formalizes shared practice and integrates elements of the Archival Accessioning Best Practices v.1.0.2.

Appendix

Accessioning & Processing workflows at-a-glance

Analog AV Log

Format categories for item-level accessioning

Naming convention: ms or ua[4-digit collection number]_[format category]_[4-digit item number] (e.g. ms0247_pho_0001).

Commonly used format categories:

- pho = photographic print
- neg = film negative
- sld = 35mm slides
- trn = photographic transparencies (not including 35mm film slides, glass plate negatives, or other negatives)
- glp = glass plate photos, lantern slides
- img = digital image
- mss = letter, paper, manuscript page, folio, leaf. Can also be used for albums, notebooks, scrapbooks, etc.
- med = CDs, hard drives, computer disks that contain non-audiovisual content or mixed content ***(if it contains video or audio, use vid or rec as applicable)***
- rec = audio recording, reel, cassette, includes audio on CD
- vid = video, motion picture film, includes video on DVD

Less commonly used format categories:

- obj = 3d object, artifact, realia, medal, framed item
- ptg = painting, watercolors
- gra = graphic, print, poster, broadside
- pht = photo object, cased photo, daguerreotype, tintype, ambrotype, cabinet card, carte, stereographs
- psc = postcard
- drw = drawing
- bok = diary, album, book, scrapbook *(No longer used as of 2018. Use mss.)*
- map = map

Restriction periods[21]

- Student records: 75 years from the date of creation
- Personnel records: 75 years from the date of creation
- Medical records: 100 years from the date of creation
- Records covered by attorney-client privilege: 50 years from the date of creation
- All others (imposed by donor or repository): 25 years from the date of the creation

Standard extent measurements

Digital: Express digital extent in GB. See the Estimating storage media capacity document for estimating born-digital extent.

Physical: Use the Yale Linear Footage calculator to calculate extent, or use this table:

Record storage carton	1 linear feet
Half-carton, letter or legal	.6 linear feet
Document box, letter or legal	.4 linear feet
Half document box, letter or legal	.2 linear feet
Flat storage box (11 x 17)	1.4 linear feet
Flat storage box (16 x 20)	1.7 linear feet
Flat storage box (24 x 20)	2 linear feet

Standard oversize folder sizes

We shelve oversize materials in the flat files in 3260 within three standard folder sizes. Folders are located on the top of flat file cabinets A-C.

- A size = ¼ of drawer (approximately 21x15)
- B size = ½ of drawer (approximately 21x31)
- C size = whole drawer

[21] Restriction lengths are from the UC Irvine Processing Manual.

Standard folder labels

Standard folders:
Starting from left to right, label folders with the collection number and abbreviated collection title, followed by the box and folder number, followed by the abbreviated series title (optional), followed by the folder title, and ending with the date on the far right. Example:[22]

UA 41 SSC	Box 10:1	Production files: "Hamlet": Costume designs	1992

For large collections requiring extensive refoldering, a stamp with the collection number and title may be purchased.

Oversize folders in flat files:
Modify the box label template on SPOC (artifacts2.library.ucsc.edu/spoc/oac/1_Unitbiz/labels/PClabels/InWord). Apply label to lower right corner of the unfolded end.

Templates

- Processing Plan Template
- Inventory template for ASpace container list import (or find the latest version of the template here)
- Born-digital carrier inventory template
- Digital carrier separation sheet template

[22] Example from CART Program manual as of 2/2025.

Born-Digital: definitions of SIP, AIP, DIP

Submission Information Package (SIP): The OAIS reference model[23] defines the SIP as *"an Information Package that is delivered to the system for ingest. It contains the data to be stored and all the necessary related metadata about the object. The SIP is accepted into the system and used to create an AIP."* At its most basic level, it simply includes the original files transferred to the borndigital2 share. A SIP could include the original files and the .xml metadata file automatically created by Data Accessioner that documents the transfer of the records. Or, it could look like a package of files generated by a bagging software like Bagger or DART, which includes documentation about the transfer, a file manifest, and information about the package itself. In some cases, this package of files could also fulfill the requirements of an AIP and/or a DIP.

Archival Information Package (AIP): OAIS defines the AIP as *"an Information Package which is stored and preserved within the system. It is the information package the system stores, preserves and sustains."* The basic elements of an AIP are the objects, metadata about the objects, and metadata about the packaging of the objects and metadata together. Locally, it contains the original files, a file manifest with checksums/hashes, and documentation of the transfer. It may also include a preservation log documenting actions taken on files; a readme file documenting decisions about processing, preservation, and access; a working copy of the original files and/or an access copy of the files once processed. The exact structure of an AIP is not prescribed, but should be consistent. The top level filename of the AIP must always be named with a unique ID that links to the collection.

Dissemination Information Package (DIP): OAIS defines the DIP as *"the information package created to distribute the digital content in a form that users can use and understand."* Functionally, the AIP and the DIP on the borndigital2 share are the same package. AIPs are submitted to Merritt. DIPs are created on-demand and provided to Library users for access in the Special Collections Reading Room.

[23] The Open Archival Information System (OAIS) reference model is a conceptual framework for an archival system that preserves and maintains long-term access to digital information. https://public.ccsds.org/Publications/Archive/650x0m2.pdf/default.aspx [PDF]

Born-Digital: estimating media storage capacity

The following lists maximum data storage capacity for common media. Note that in many cases the actual capacity is indicated on the media. The content on the media will take up less space than the maximum, so estimating total space will err on the high side, often by a great deal.

Compact disc	700 MB (0.7 GB)
DVD	8.5 GB (single-sided, dual-layer)
HD DVD	30 GB (dual layer)
Sony Blu-ray disc	50 GB (dual layer)
USB Flash drive	64 GB
SD Memory	4 GB
SDHC	32 GB
SDXC	2 TB
SmartMedia	128 MB
Compact flash	100 GB
Sony Memory stick	32 GB
3.5” Floppy disk	1.44 MB (0.00144 GB)
Zip disk	750 MB (0.75)
Jaz disk	2 GB
5.25 Floppy disk	1.2 MB (high density)
8” Floppy disk	1.2 MB (double-sided, double-density)
2.5” Hard drive	1 TB
Portable hard drives	2 TB
Internal hard drives	4 TB
Solid state hard drives	2 TB
T10000 Magnetic tape	1 TB
T10000C Magnetic tape	5 TB
Audio cassette tape	1400 KB
Punched card	960 bits

Born-Digital: file naming conventions for documentation

Collection folder: Store files on the borndigital2 share on the Library's Artifacts2 server in the appropriate folder named with either the collection call number (3 digits) or accession number assigned by Special Collections. (e.g. UA041 or 2017-018)

Carrier folder: Store files from individual carriers within a folder named with the 3 digit accession number assigned the item (e.g. ua041_med_0001).

Metadata folder: Store any files that contain metadata about the digital objects in a folder named *Metadata.*

Objects folder: Store the original digital files in a folder named *Objects*.

XML transfer log/manifest generated by Data Accessioner: This filename is determined by the metadata entered in the Accession Number field in the Data Accessioner transfer form. For carriers, use the assigned accession number, such as ua0042_med_0007. Thus, the file name will be ua0042_med_0007.xml. For other types of transfers, supply a title that includes the collection number, or accession number if it is an addition to an existing born-digital collection.

CSV transfer log/manifest generated by Data Accessioner Metadata Transformer: This file will share the same name as above, but with a .csv extension.

File analysis report generated by fido command during accessioning: [3 digit collection number]_FidoAccessioningReport (e.g. ms465_FidoAccessioningReport.txt)

File analysis report generated by EXIFTool command during accessioning: [3 digit collection number]_ExifAccessioningReport (e.g. ms465_ExifAccessioningReport.txt).

File analysis report generated by DROID: [same name as the SIP]_DROIDReport (e.g. ms023_DROIDReport.pdf).

File manifest generated by DROID: [same name as the SIP]_DROIDManifest (e.g. ms023_DROIDManifest.csv).

Pre-ingest manifest generated by md5deep command: [same name as the SIP]_PreIngestManifest.txt (e.g. ms0465_PreIngestManifest.txt)

Post-ingest manifest generated by md5deep command: [same name as the SIP]_PostIngestManifest.txt (e.g. ms0465_PostIngestManifest.txt)

TreeSize Pro duplicates removed log: [same name as the SIP]_duplicates_removed_log.csv. (i.e. UA042_duplicates_removed_log; or 2024-024_duplicates_removed_log).

Readme file: [3 digit collection number]_readme.txt.

PDF file directory for finding aid: Formulate the filename as follows: ms465_[identifier linking to portion of finding aid]_directory.pdf (three digit collection number). (e.g. ms465_ser1.6_directory.pdf). Store this file in the collection folder on SPOC.

Born-Digital: command line guide[24]

Getting to the correct directory

1. Open the command line
    a. Windows: open the application cmd.exe (you can use the search bar from the desktop)
    b. Mac: open Terminal
2. Change the directory by typing in the letter of the drive you want to be in - e.g. **X:** or **Z:**, whatever the letter is on the /borndigital2 drive, then [enter]
3. Type in **cd** and then the exact name of the folder within the borndigital2 drive you want to be in. Repeat this until you get to the file directory where you want to run the script. (e.g. cd MS323_White [enter] cd working files [enter])

Commands

The following commands work in both PC and Mac environments, unless otherwise specified.

Robocopy (copies files) - PC only

```
[location]>ROBOCOPY [source directory] /mir [destination directory]
```

e.g. `C:\Users\borndigital>ROBOCOPY D:\CabrilloTransfer /mir Z:\MS064_Cabrillo\MS064_SIP\Objects`

Note: Use caution when using the “mir” function. This mirrors a directory tree, or overwrites the destination directory with the source directory. In other words, this should only be used when copying to an empty directory. See this site for more info.

Copy Paste (copies files)

```
cp -av[source]/* [destination]
```

e.g. `cp -av"/Volumes/MR #1 Res Life Photos 06-07"/* /Volumes/borndigital2/ua104/ua0104_med_0011`

Delete (delete files)

PC:

[24] Many of the commands in this section were taken from the 3/24/2020 NEDCC workshop, *Diving Deeper with Digital Preservation Tools Using the Command Line*, led by Sean Ferguson.

Delete hidden files within a directory that match the file name specifications (in red):

```
del /s /f /p /a .DS* [enter]

del /s /f /p /a " - Copy.DS_Store" [enter]

del /s /f /p /a  ._* [enter]
```

You can type in **/q** instead of **/p** if you don't want it to prompt you after every file deletion, but it is best to use **/p** just to be sure you're deleting the correct files the first couple times you run it. Be very careful to type the script in exactly so you don't delete any other files. These scripts will delete **all files** within a particular directory that match these specifications. So, if you run it at the "working files" level, it will delete all the matching files in every folder in that directory.

Mac:

Delete hidden files within a directory that match the file name specifications (in red):

```
rm -i ._*

rm -i " - Copy.DS_Store"

rm -i -r "Documents"
```

The `-r` flag will delete **all files and all folders** within the directory you specify.

Fido (identifies file formats and other metadata)

PC:

```
[location]>For /R "[source directory]" %i IN (*) DO fido "%i"
>> [destination directory]\[filename].csv
```

e.g. `Z:\borndigital2\MS064_Cabrillo\MS064_SIP>For /R "Objects" %i IN (*) DO fido "%i" >> Metadata\FidoAccessioningReport.csv`

Mac:

```
[location]> fido -r [source directory] > [destination
directory]/[filename].csv
```

e.g. `user:Desktop> fido -r Objects > Metadata/FidoAccessioningReport.csv`

ExifTool (extracts technical metadata)

```
[location]>EXIFTool -csv -r [source directory] >[destination directory]\[filename].csv
```

e.g. `Z:\borndigital2\MS064_Cabrillo\MS064_SIP>EXIFTool -csv -r Objects >Metadata\ExifAccessioningReport.csv`

md5deep (makes checksums)

```
[location]>For /R "[source directory]" %i IN (*) DO md5deep64 -b -e "%i" >>[destination directory\[filename].txt
```

e.g. Pre-ingest manifest:

```
Z:\borndigital2\MS064_Cabrillo\MS064_SIP>For /R "D:\CabrilloTransfer" %i IN (*) DO md5deep64 -b -e "%i" >>Metadata\PreIngestManifest.txt.
```

e.g. Post-ingest manifest:

```
Z:\borndigital2\MS064_Cabrillo\MS064_SIP>For /R "Originals" %i IN (*) DO md5deep64 -b -e "%i" >>Metadata\PostIngestManifest.txt.
```

File Compare (compares checksums)

```
[location]> FC [directory]\[filename of pre-ingest manifest] [directory]\[filename of post-ingest manifest] > [destination directory]\[filename].txt
```

e.g. `Z:\borndigital2\MS064_Cabrillo\MS064_SIP> FC Metadata\PreIngestManifest.txt Metadata\PostIngestManifest.txt > Metadata\IngestVerification.txt`

Mac: Use `diff` instead of `fc`

More help: Community Resource for Archivists and Librarians Scripting (CRALS) is a helpful resource for common small scripts used in archives.

Born-Digital: tool guides

Bagger

Instructions for creating a “bag in place” for AIPs

1. In Bagger, select Create Bag In Place.
2. Browse/navigate to the AIP. Select no profile. Click OK.
3. You should receive a notification that says Bag saved successfully. Click OK.

Student instructions for using Bagger to copy digital files from CDs and and 3.5-inch floppy disks:

1. Open Bagger
    a. Open the folder on the desktop named bagger-2.8.1
    b. Open the folder named bin
    c. Open the Windows Batch File named bagger.bat
    d. Leave the black executable window open behind the Bagger application
2. Insert disk into external drive
    a. If copying a floppy disk, turn it over and make sure the tab is in the “locked” (read-only) position. There should be a square hole on the corner of the disk when the tab is locked.
3. Select Create New Bag
4. Select <no profile>
5. Under File, select Add Data
6. Navigate to and select the disk
    a. Open Volumes
    b. Select the folder that isn’t Macintosh HD or borndigital2. It may have no name, or a unique name made by the creator.
7. Click Open
8. Select Save Bag As
9. Navigate to the borndigital2 server
    a. In Save in, click Browse
    b. Open Volumes
    c. Open borndigital2
    d. Open the appropriate collection folder
10. Enter accession number in the File Name field (e.g. ms0465_med_0012)
11. Click Save
12. You will be returned to the Save Bag Dialog box. Leave default settings. Click OK.
13. You will hear the disk spinning
14. You should receive a notification that says Bag saved successfully. If not, make a note on the appropriate inventory document.
15. Note the transfer status in the appropriate inventory document
16. Eject disk and return to box

DART (Digital Archivist's Resource Tool)

The following instructions assume DART has been installed and the UCSC Spec Coll Bagit profile is loaded, therefore it is recommended to use the born-digital processing computer when using DART. If you would like to use a different computer, you will need to install DART and load the Bagit profile. For installation and profile setup instructions, see the DART Instructions doc. Also see the DART user manual for additional guidance beyond these instructions.

Using DART to transfer digital files[25]

See step 1.8 under Born-Digital Accessioning procedures.

Pre-transfer preparation

1. Prepare an accessioning directory on borndigital2 (or the born-digital computer desktop if running a virus check).
    a. Create a collection-level folder if one does not already exist. Include the collection number and single word title (*UA042_Haraway*).
    b. Create a folder within this folder, and name it with the unique identifier followed by "_SIP" (such as *ua0042_SIP,* or *2021-039_SIP* in the case of an addition to a collection). You will be copying files to this folder, which needs to be empty (otherwise it may copy over existing files).

Transfer tasks

2. Connect source to computer (i.e. external hard drive, or connect to network drive)
3. Open DART> Go to Jobs> select **New**
4. Drag and drop the files you wish to transfer. This can be individual files or whole folders. Click **Next>>**
5. On the Packaging Window:
    a. **Package Format**: BagIt
    b. **Bagit Profile**: select "UCSC Library Digitally Preserved Archival Content" (this is a customized version of the Profile)
    c. **Serialization**: leave blank
        i. Note: .tar is a compression format like .zip. This should only be used for very large transfers. If in doubt, consult with Supervisory Archivist or Digital Preservation Librarian.
    d. **Package Name**: a unique ID for the item you are transferring (e.g. *ua0042_med_0007* for a single disk, or if the entire collection or addition originates from one source use the accession number e.g. *2021-039*.) See Format categories for item-level accessioning for guidelines on assigning unique IDs.

[25] These instructions are for archivists using DART to transfer digital content already in hand to the Library server. We do not yet have a workflow in place for donors to use DART to package content for transfer on our behalf. If this becomes a need, the Supervisory Archivist will develop procedures in line with the Bancroft Library's DART User Guide.

    e. **Output Path:** *Do not use the output path that automatically appears.* Instead, enter the file path to the empty folder that you created in step 1. (e.g. \\artifacts2.library.ucsc.edu\borndigitial2\UA042_Haraway\UA042_SIP)
        i. On a PC: navigate to and open the destination folder, then copy the file path that displays at the top of the File Explorer.
        ii. On a Mac: the easiest way to find the output path is to open the Terminal application and drag the folder you just created on Borndigital2 into the black terminal window. This will display the Mac system path to that directory. Then you can copy and paste it from the Terminal into the DART Output path box.
    f. Click **Next>>**
6. On the Bag metadata window, leave all other fields blank except for the following:
    a. **Bag-Producing-Organization**: University of California Santa Cruz Library
    b. **Contact-Name**: your name (or the name of the person transferring the files)
    c. **External-Description**: a brief description of the contents and the provenance, such as the label on the carrier or brief summary of the sources plus the name of the collection or accession (e.g. “Digital files from Donna Haraway’s personal computer, Donna Haraway papers).
    d. **External-Identifier**: associated collection number. If the collection number has not yet been assigned, leave blank.
7. Click **Next>>** on the Bag Metadata window
8. Click **Next>>** on the Upload Targets window.
9. Check over the Review and Run information. If it’s correct, click **Run Job**. Hit <<Back if you need to correct anything.
10. DART will create the bag and validate it. If the job is completed successfully, the Outcome will read “Job created successfully.” A directory will be created with 4 metadata files and a “data” directory with the actual files in the bag.
    a. You may receive an error when attempting to create a bag. If you receive an error when you attempt to create the bag and you are using your own computer, try first using the Born Digital processing computer to create the bag. If this does not work, consult with the Supervisory Archivist.
    b. One error we’ve experienced is .DS_Store files preventing the bag from being validated. These are ideally deleted during processing. Use TreeSize to identify and delete and try bagging again. If this does not work, consult with the Supervisory Archivist.
11. Proceed to next step in born-digital accessioning procedures (step 1.9).

Using DART to “bag” an AIP

See step 4.4 under Born-Digital Processing procedures.

The following instructions assume the collection is processed and is being prepared for submission to a digital preservation repository (Merritt or Vault).

1. Prepare an empty directory for the AIP within the collection folder on borndigital2 (e.g. UA042_AIP). You will be using DART to create the AIP (a bagged copy of the processed files) to this folder. The folder must be empty, otherwise it may copy over existing files.
2. Open DART> Go to Jobs> select **New**
3. Drag and drop the files you wish to transfer/bag, then click **Next>>**
    a. For collections that have both Objects and Metadata folders (typically if they were transferred using DataAccessioner), you will include both folders in the bag.
        i. In this case, the working copies folder should be renamed as "processed" prior to bagging with DART for preservation (eg. UA042_working_copies is renamed to UA042_processed).
    b. For collections that do not have a designated Metadata folder (typically if they were transferred using DART, or simple drag and drop), you will only include the "data" or Objects folder, which contains the processed files.
        i. We do not retain DART bag metadata created during transfer once the collection is processed.
    c. You can also bag individual files or subfolders folders depending on your needs.
    d. **If you are including multiple files and/or folders, make sure they all show up in the list of what is being transferred. You may need to delete and re-drag.**
4. On the Packaging Window:
    a. **Package Format**: BagIt
    b. **Bagit Profile**: select Bagit Profile for UCSC Library Digitally Preserved Archival Content (this is a customized version of the Profile)
    c. **Serialization**: leave blank
    d. **Package Name**: a unique ID for the AIP you are bagging that includes the collection number_AIP (e.g. *UA042_AIP* for a collection. If you are bagging an addition to an already processed collection, include the accession number like so: *MS465_2021-040_AIP*.)
    e. **Output Path:** *Do not use the output path that automatically appears.* Instead, enter the file path to the empty folder that you created in step 1. (\\artifacts2.library.ucsc.edu\borndigital2\UA042_Haraway\UA042_AIP)
        i. On a PC: navigate to and open the destination folder, then copy the file path that displays at the top of the File Explorer.
        ii. On a Mac: the easiest way to find the output path is to open the Terminal application and drag the folder you just created on Borndigital2 into the black terminal window. This will display the Mac system path to that directory. Then you can copy and paste it from the Terminal into the DART Output path box.
    f. Click **Next>>**
12. On the Bag Metadata window:
    a. **Bag-Producing-Organization**: University of California Santa Cruz Library
    b. **Contact-Name**: your name (or the name of the person transferring the files)
    c. **External-Description**: a brief description of the contents and the provenance, such as the label on the carrier or brief summary of the sources plus the name of the collection or accession (e.g. "Digital files from Donna Haraway's personal computer, Donna Haraway papers").

        i. If you are bagging digitized AV, include the format as well (Example: “Digitized U-matic videocassette from the Gregory Bateson papers, MS098. Label: Asilomar Conference: tape #5, Camera 1 and Camera 2, first 30 minutes, Art-Intro, Paul Watzlawick, first half conference, Friday night, Master Copy”)
    d. **External-Identifier**: associated collection number (e.g. UA42)
    e. **Internal-Sender-Identifer:** use only when bagging individual items like digitized AV. Enter the unique identifier for the item (e.g. ms0098_vid_0006).
    f. Leave all other fields blank
13. Click **Next>>** on the Bag Metadata window.
14. Click **Next>>** on the Upload Targets window.
15. Check over the Review and Run information. If it’s correct, click **Run Job**. Hit <<Back if you need to correct anything.
16. DART will create the bag and validate it. If the job is completed successfully, a directory will be created on borndigital2 with 4 metadata files and a “data” directory with the actual files in the bag.
17. ***NOTE:*** Check the bag to make sure that all of the folders/files you originally dragged into DART in step 3 were transferred correctly.
18. Proceed to next step in born-digital processing procedures (step 4.5).

Data Accessioner (Mac)

Workflow for using Data Accessioner to copy digital files from CDs, DVDs, 3.5-inch floppy disks on a Mac.

Pre-transfer preparation (staff)

1. Prepare accessioning directory on borndigital2 directory on Artifacts2.
    - Create a collection-level folder (*UA042_SIP*)
    - Create Objects and Metadata folders within this folder.

Transfer tasks (student assistants)

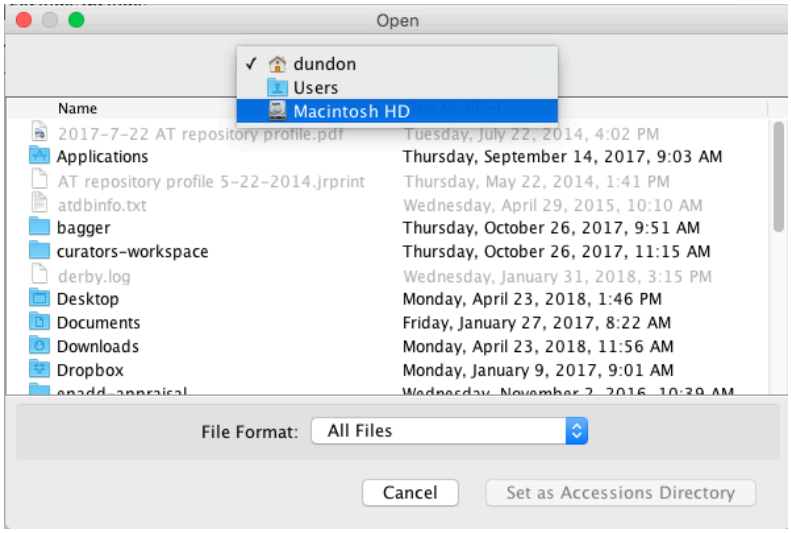
2. Insert disk into external drive

    If copying a floppy disk, turn it over and make sure the tab is in the “locked” (read-only) position. There should be a square hole on the corner of the disk when the tab is locked.

3. Open Data Accessioner

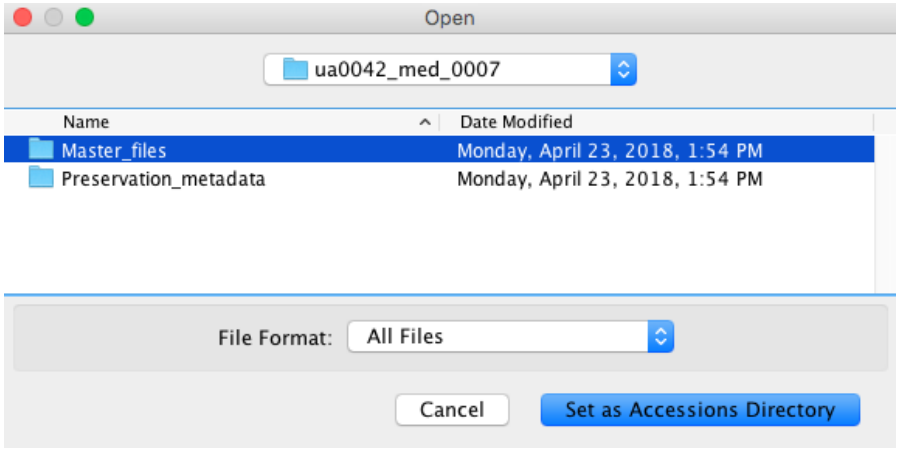
4. Enter the following information into the Data Accessioner form:
    - Your Name: your first and last name
    - Accession Number: unique identifier assigned to the item (such as *ua0042_med_0007*)
    - Collection Title: formal title of the collection (such as *Karen Tei Yamashita papers*)

5. Set up the accessioning destination
    - Click Accession to Directory. This window will appear:



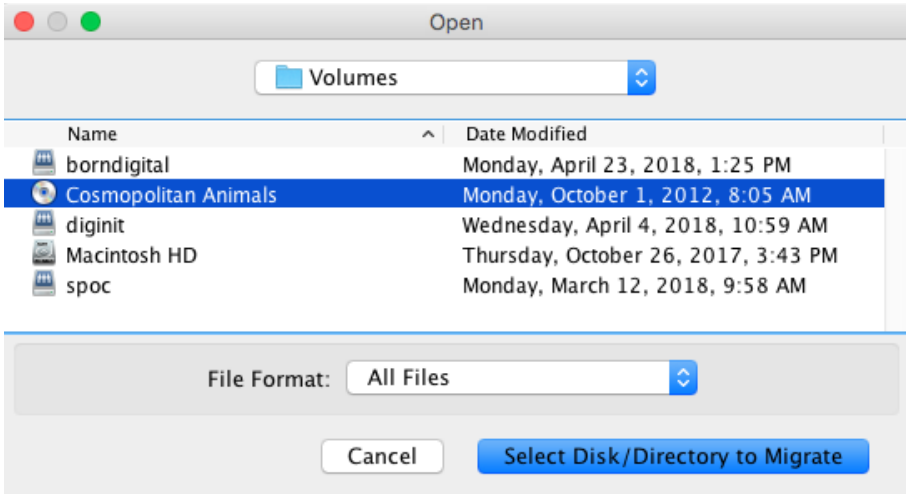
    - Select Macintosh HD
    - Scroll to the bottom. Open Volumes.
    - Open borndigital2
    - Open the appropriate collection folder

- Select (single click) the Objects folder
- Click Set as Accession Directory

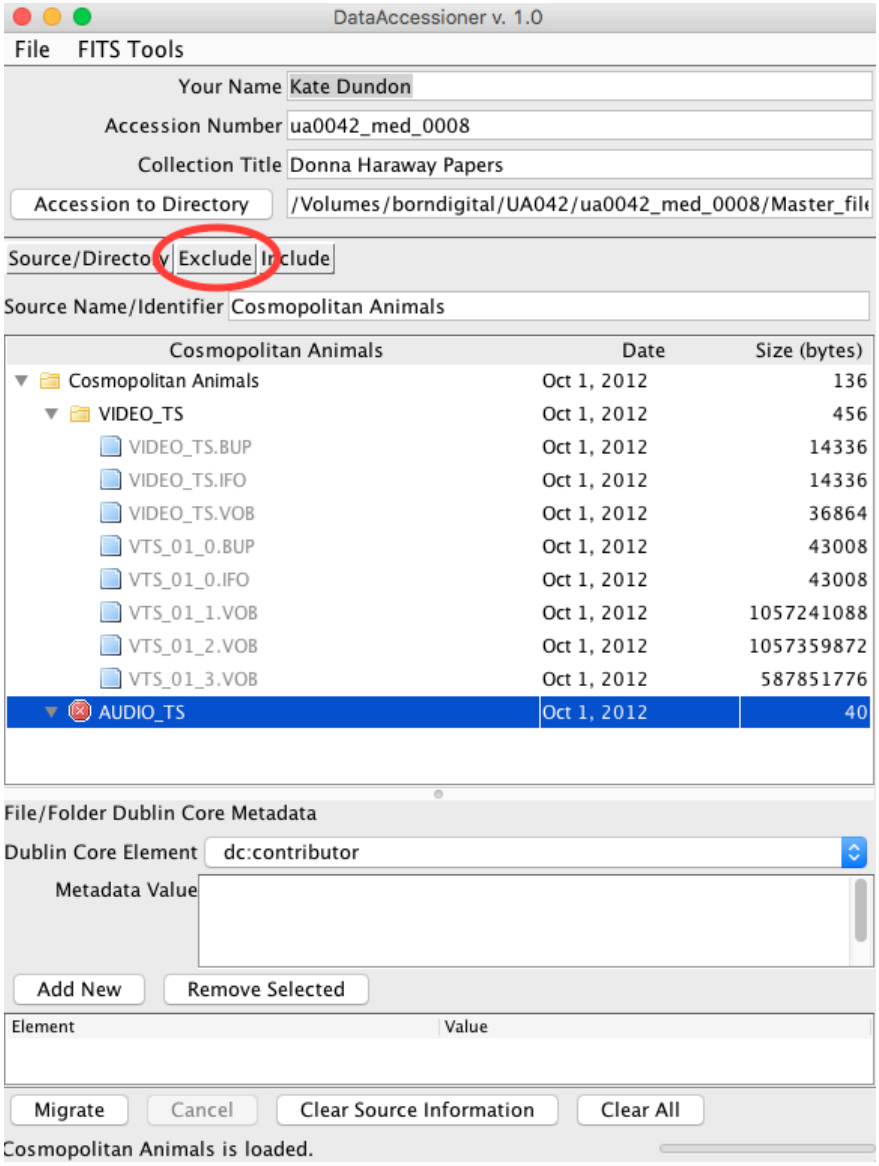


- The directory path should now appear in the Accession to Directory field (such as */Volumes/borndigital2/UA042/Objects*)

6. Identify the source from which to accession
   - Click Source/Directory
   - Select Macintosh HD
   - Scroll to the bottom. Open Volumes.
   - Select (single click) the disk you have inserted
   - Click Select Disk/Directory to Migrate



7. A list of the files on the disk will appear in Data Accessioner. Click the arrows on each folder to open all the directories



8. Review the list for empty files or directories. If there is a file or folder with 0 bytes, single click it, and click exclude. A red X will appear next to the file. This signifies that it will not be transferred. Do the same for any “thumbs.db” files (these are empty system-generated files).

9. Once you have finished excluding files, double check that you have entered the correct accession number and are accessioning the files to the correct directory. Click Migrate.

    - You may get an illegal character error if the source name/identifier has a **:** or other “illegal” character in it. Click OK, remove the disallowed character, and click Migrate.

10. The Migration status will appear at the bottom of the Data Accessioner window. Once complete, it will read “Success!”
11. Enter yes in the transfer complete column in the collection inventory. If it does not succeed, enter no or partial in the column, and record the error message in the transfer notes.
12. Eject disk and return to box
13. Move the metadata .xml file created by Data Accessioner into the Metadata folder for that collection.

Data Accessioner (Windows)

Workflow for using Data Accessioner to copy digital files from CDs, DVDs, 3.5-inch floppy disks on a PC

Pre-transfer preparation (staff)

1. Prepare accessioning directory on borndigital2 directory on Artifacts2.
    - Create a collection-level folder (*UA042_SIP*)
    - Create Objects and Metadata folders within this folder.

Transfer tasks (student assistants)

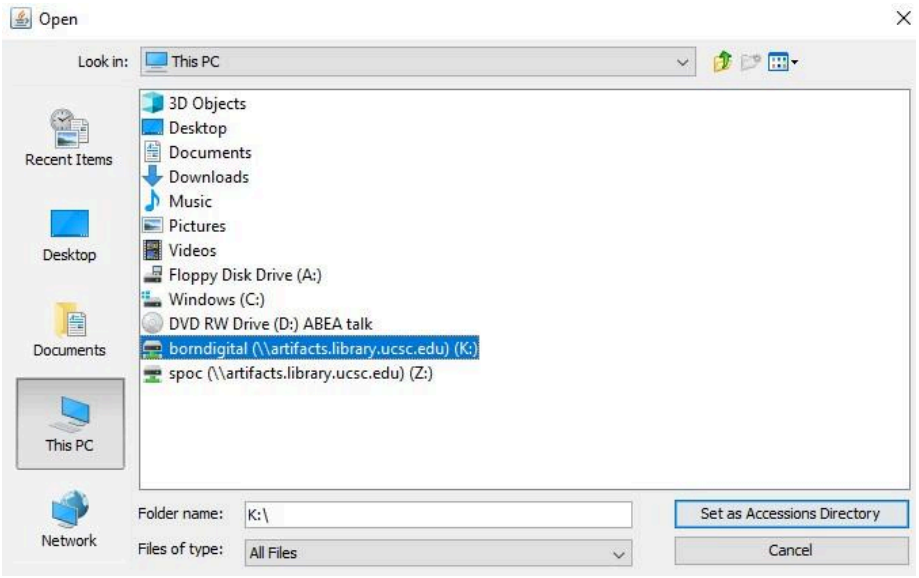
2. Insert disk into external drive

    If copying a floppy disk, turn it over and make sure the tab is in the “locked” (read-only) position. There should be a square hole on the corner of the disk when the tab is locked.

3. Open Data Accessioner

4. Enter the following information into the Data Accessioner form:
    - Your Name: your first and last name
    - Accession Number: unique identifier assigned to the item (such as *ua0042_med_0007*)
    - Collection Title: formal title of the collection (such as *Karen Tei Yamashita papers*)

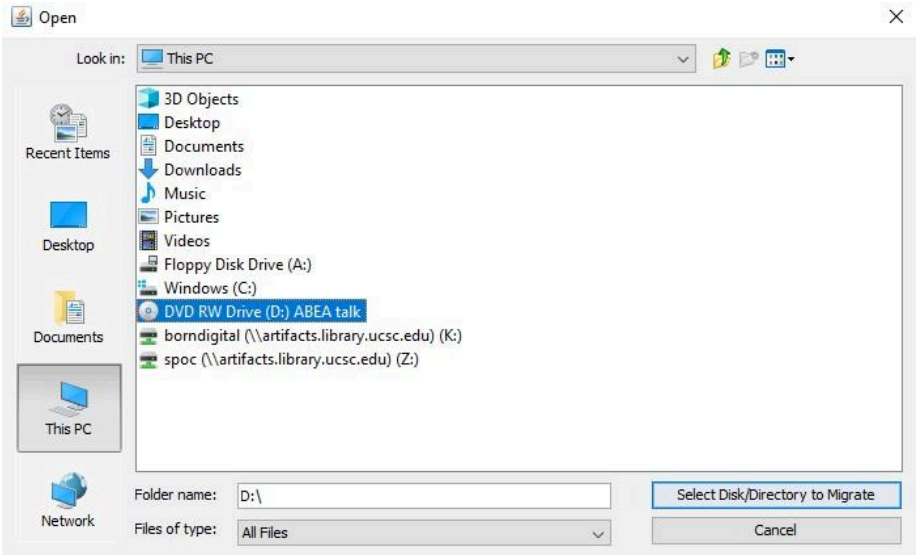
5. Set up the accessioning destination
    - Click Accession to Directory. This window will appear:



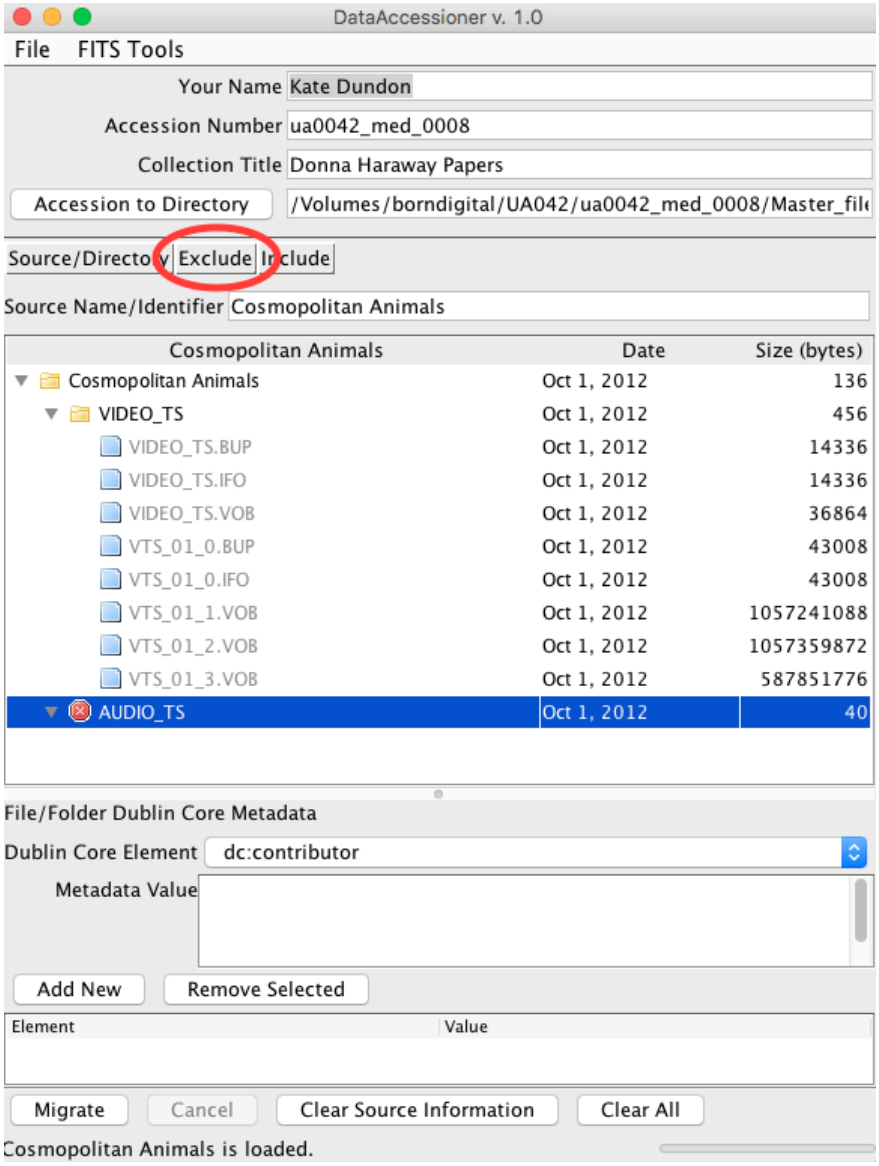
    - Select This PC
    - Open borndigital2
    - Open the appropriate collection folder
    - Open the Objects folder

- Click Set as Accession Directory
- The directory path should now appear in the Accession to Directory field (such as */Volumes/borndigital2/UA042/UA042_SIP*)

6. Identify the source from which to accession
    - Click Source/Directory
    - Select This PC
    - Open the disk you have inserted
    - Click Select Disk/Directory to Migrate



7. A list of the files on the disk will appear in Data Accessioner. Click the plus signs on each folder to open all the directories on the disk



8. Review the list for empty files or directories. If there is a file or folder with 0 bytes, single click it, and click exclude. A red X will appear next to the file. This signifies that it will not be transferred. Do the same for any “thumbs.db” files (these are empty system-generated files).

9. Once you have finished excluding files, double check that you have entered the correct accession number and are accessioning the files to the correct directory. Click Migrate.

    - You may get an illegal character error if the source name/identifier has a **:** or other “illegal” character in it. Click OK, remove the disallowed character, and click Migrate.

10. The Migration status will appear at the bottom of the Data Accessioner window. Once complete, it will read “Success!”

11. Enter yes in the transfer complete column in the collection inventory. If it does not succeed, enter no or partial in the column, and record the error message in the transfer notes.

12. Eject disk and return to box

13. Move the metadata .xml file created by Data Accessioner into the Metadata folder for that collection.

DROID

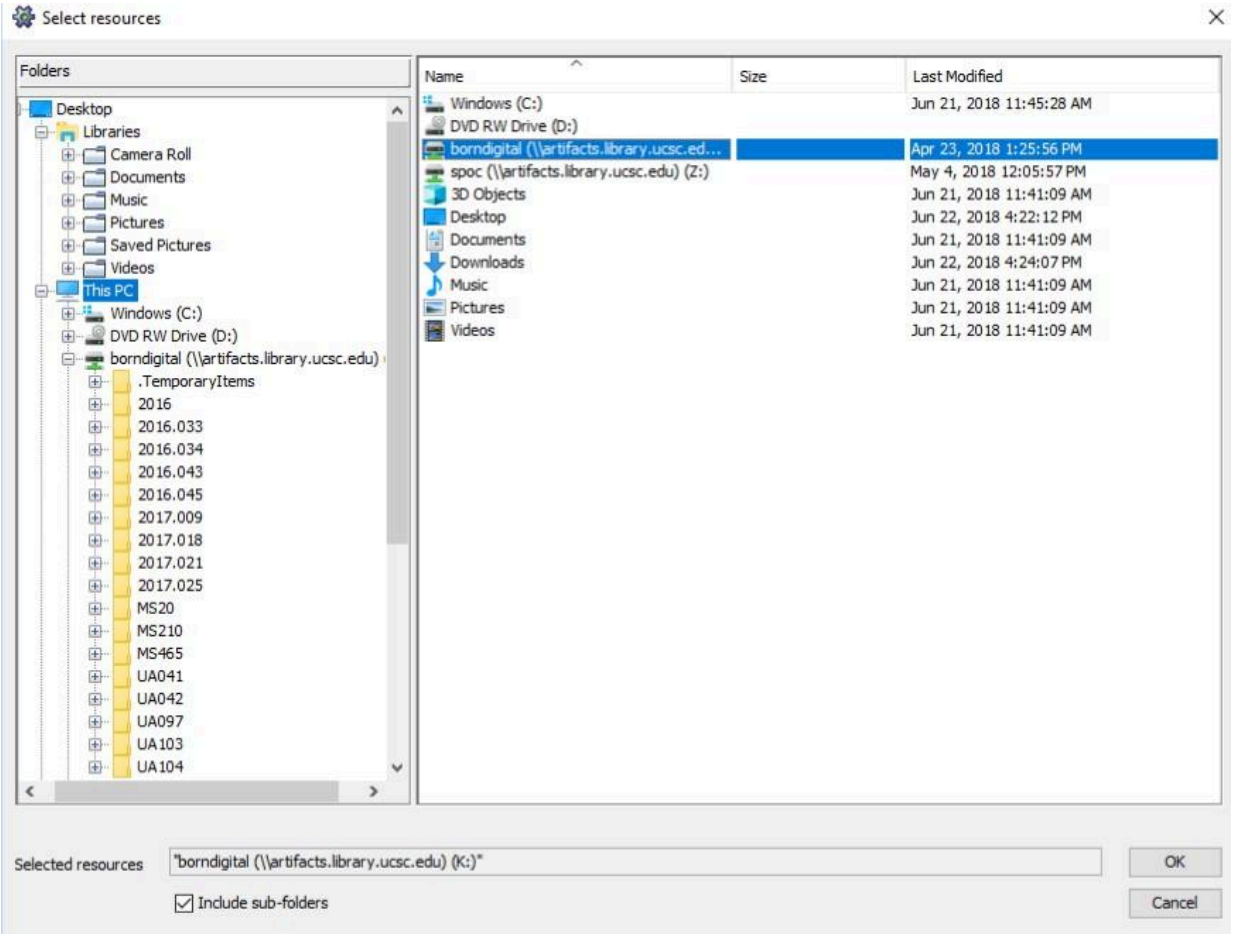
Workflow for DROID (Digital Record Object IDentification)

(For additional guidance, see DROID demo)

Open DROID (droid-ui-6.1.3.jar)

1. Analyze captured content

- Add the item you wish to identify by clicking Add (green plus)
- Navigate to the folder named with the item's accession number (such as ms0465_med_0048) within the Objects folder (go to This PC > borndigital2 > select the appropriate collection folder, then Objects)
- Make sure the "Include Subfolder" box is checked
- Click OK



2. Click Start. Status bar at bottom will show progress.

3. Export the profile (file manifest)

- When profile is complete, click Export

- Select the untitled profile you just created
- Select One Row Per File
- Click Export Profiles
- File name: enter the accession number for the item + manifest (ms0465_med_0048_manifest.csv)
- Files of type: csv
- Save the file to the Metadata folder for that collection
- Click OK

4. Run report

- Click on Reports
- Select profile
- Select Comprehensive breakdown
- Click Report on profiles
- Under Unreadable files, look if there are any problem files:
    - If Profile totals is 0, there are no unreadable files.
    - If there is a number under Profile totals, make a note of the number of unreadable files in the collection spreadsheet.
- Under File count and sizes, find the total number of files on the disk and total size of disk:
    - In Profile totals row, Count= file count, and Sum= size (in bytes)
    - Record these in the collection inventory under Actual GB and Number of files
- Under File sizes per extension, find the file formats present on the disk:
    - Each table represents a file extension (.doc, .jpg, .ppt, etc)
    - Review the tables in this section, and enter the file extensions in the collection inventory, separated by a comma
- Click Export
- File name: include the collection number + report (ms0465_DROID_report)
- Files of type: pdf
- Save the file to the Metadata folder for that item on borndigital2

5. When closing DROID, select Don't save when the save profiles window appears.

Using the .csv manifest in processing

Identify empty files:

- Sort spreadsheet by size. Identify and delete those with 0 bytes
- Sort spreadsheet by Format_Count. Identify and delete those with 0 (0 formats)

Identify large files: Sort spreadsheet by size. Review any particularly large files.

Identify files with incorrect file extension: Sort by Extension_Mismatch. Identify and correct wrong or dropped file extensions.

Identify duplicate files: Use Conditional Formatting in Excel to identify duplicate hash values. Delete duplicate files.

ePADD

ePADD instructions TBD. See processing notes in the interim.

ePADD processing notes (Hayden White)

ePADD processing notes and presentation notes (Helene Moglen)

Email processing notes for Donna Haraway (ask Alix)

Exact Audio Copy

Workflow for using Exact Audio Copy (EAC) to copy digital audio files from CD[26]

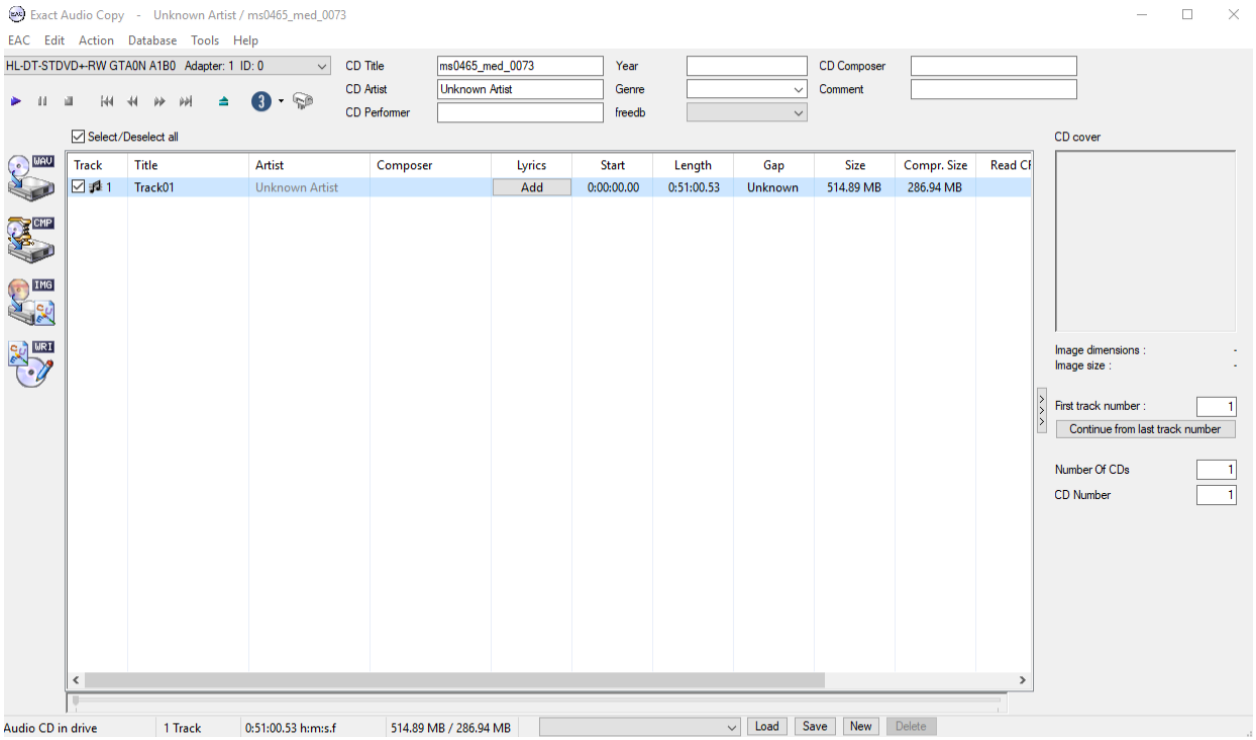
1. Open Exact Audio Copy
    - If it does not recognize audio tracks, the bottom left corner will print 'No audio CD in drive'. If this is the case, it may not contain audio data.

2. Confirm that "Secure modes" is selected
    - Under EAC menu option, select Drive Options
    - Secure mode should be selected. 'Drive has 'Accurate Stream' feature' should be checked.
    - Click OK

3. Enter the unique ID for the item in the CD Title field (such as ms0465_med_0073).

4. Delete Unknown Title and Unknown Artist from Title and Artist fields.

5. Select the track(s)



6. Under Action, select "Copy Image and Cue Sheet' and Uncompressed

7. Navigate to the appropriate collection/item folder on borndigital2. Save files in Objects folder. A progress bar will display.

8. Once copying is complete Click OK

[26] These procedures are based on Yale University's *Disk Imaging & Content Capture Manual*.

9. A dialog box will appear with Status and Error Messages. Select “Create Log” at the bottom. Save the log file to the Metadata folder.
10. Click OK
11. Delete Cue sheet

Fixity

Workflow for setting up a new report (Mac). See user guide on product website for more information.

1. Under file, select New Project.
2. Name the project with the same file name as the SIP, such as MSXXX_SIP or MSXXX_[collection key word])
3. Select Monthly scheduling.
4. Scheduler Run Time: enter 1:00 (1:00am)
5. Scheduler Run On: enter 1 (first of the month)
6. Check Run when on battery power, If missed run upon restart, and Email only upon warning or failure.
7. Select the directory on which you wish to run reports. For processed collections, this should be the final AIP. If you wish to include more than one AIP, such as if there are multiple AIPs in a single collection, you may add more directories here.
8. Enter recipient email address. (Currently, these are Supervisory Archivist, dundon@ucsc.edu and Digital Preservation Librarian, chesley@ucsc.edu.)
9. File > Save settings (the following preferences cannot be configured until you have saved)
10. Under preferences:
    a. Ensure email access is configured
    b. Set the reports and history location to borndigital2/1Admin/Fixity
    c. Select Checksum Algorithm md5 (must save project settings first. And check that the correct project is selected). Save and Close.
    d. Filter Files: check ignore hidden files. Save and Close.
11. Under File:
    a. Select Save Settings
    b. Select Run Now
12. Check that the reports appear in the Fixity folder.

MailBag

See MailBag instructions by Alix Norton.

HandBrake

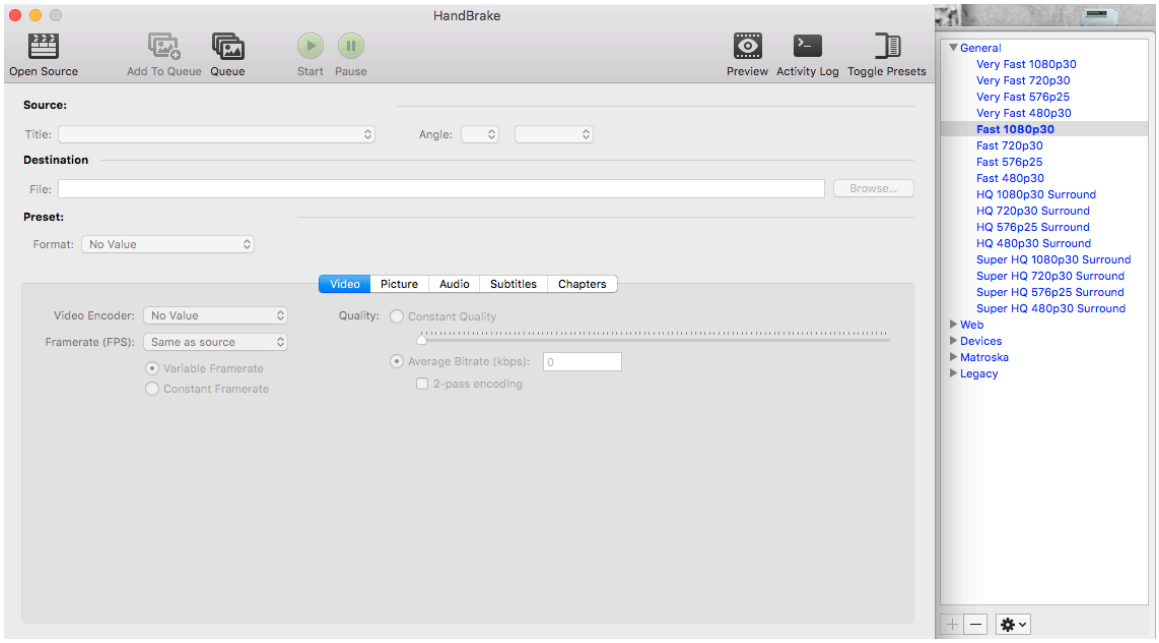
Workflow for using HandBrake to copy digital video files from DVDs (Mac and PC)

Pre-transfer preparation (staff)

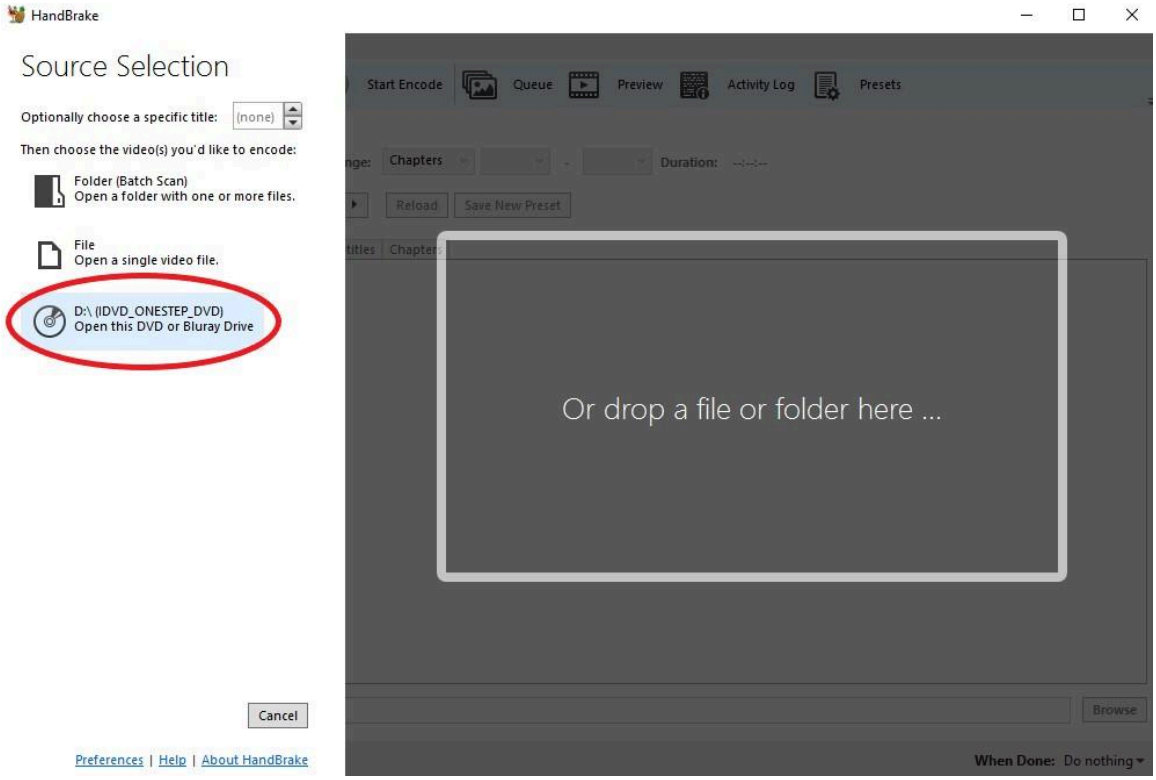
1. Prepare accessioning directory on borndigital2 directory on Artifacts2.
    - Create a collection-level folder (*UA042_SIP*)
    - Create folders for each item, named with the unique id (*ua0042_med_0001*)
    - Create Objects and Metadata folders within each item folder.
        i. For high value content, or content for which there is a particular concern about documenting authenticity of the original file, create Pre_transfer_checksum and Post_transfer_checksum folders within the Metadata folder.

Transfer tasks (student assistants)

2. Insert DVD into drive
3. Open HandBrake
4. Click Open Source in the upper left corner



(Mac)



(PC)

5. Select the disk you have inserted (*Mac:* under Devices; *PC:* Open this DVD or Bluray). Make sure to select the entire disk (both Audio and Video).

6. Select the destination of the copied files.

   Mac:

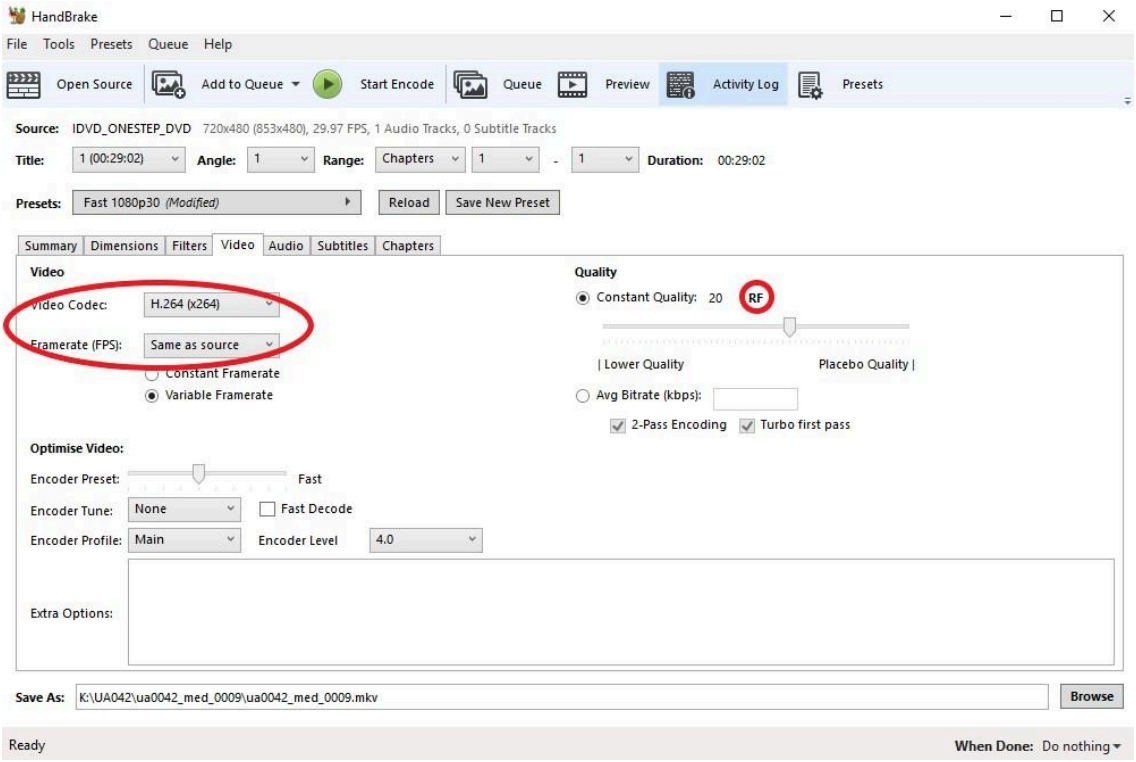
   - Click Browse under Destination
   - Leave the existing title of the disk in the Save As field.
   - Navigate to the borndigital2 file share, open the appropriate collection folder, then open the appropriate item folder. Select (single click) the Objects folder.
   - Or, enter the file path directly in the file destination field, such as /Volumes/borndigital2/UA042/ua0042_med_0008/Objects/Cosmopolitan Animals.m4v

   PC:

   - Click Browse in lower right (Save As)
   - Select the borndigital2 file share on the Artifacts2 server
   - Open the appropriate collection folder, then open the appropriate item folder. Select (single click) the Objects folder.
   - Enter the unique ID under File Name (*ua0042_med_0001)*
   - Save as type: mkv
   - Click Save

7. Mac: In the main HandBrake dashboard under Format, select MKV File

8. Under Video tab:
    - Set Video Encoder/Codec to H.264
    - Set Framerate to Same as source
    - Set Quality to Constant Quality (default)
    - Set RF to 20 for a standard DVD and to 21 for a BluRay disk (a lower RF number means higher quality)
    - Leave all other default settings



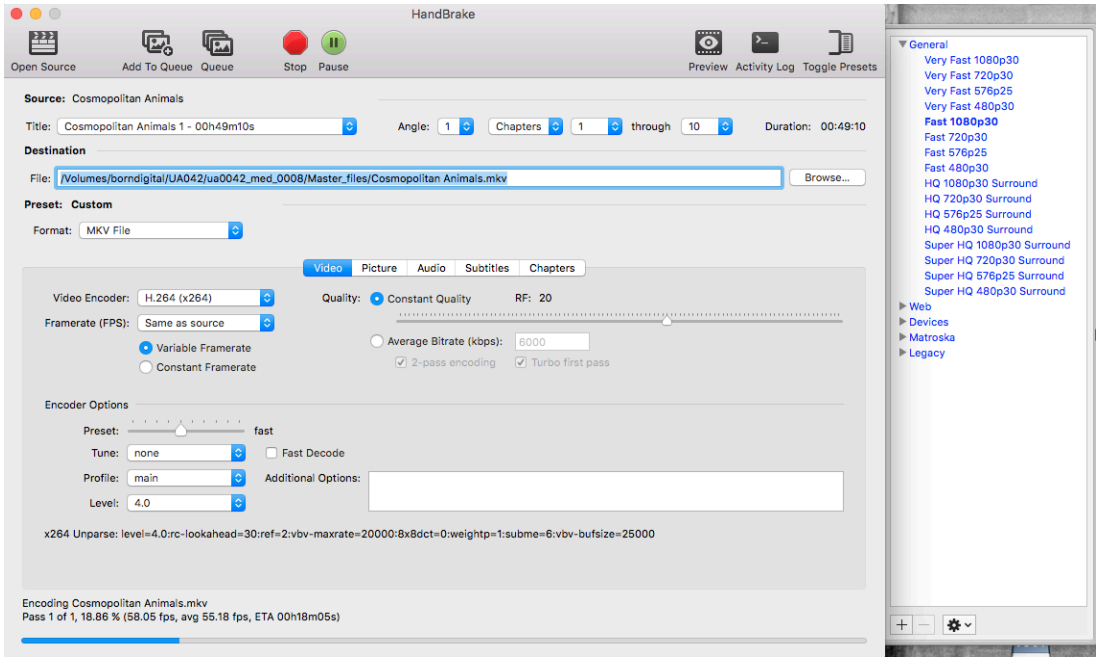
(PC)

9. Under Audio tab:
    - Set Codec to AAC (Core Audio/avcodec)
    - Set Sample Rate to Auto
    - Set Bitrate to 128
    - Leave all other default settings

10. *Mac*: Select Start / *PC:* Select Start Encode (green button)

11. If more than one file needs to be copied from the same DVD, under the Source Title arrow, select the next file and select the "Add to Queue" tab. Continue this process until all files are selected and in the queue.

12. The transfer status will display at the bottom of the HandBrake Window. When the transfer is complete, it will read “Encode Finished.”



(Mac)

13. Eject the disk and return to box
    - *Mac:* right click on disk icon on desktop and select eject
    - *PC:* Open This PC, right click on the DVD Drive, select eject

Post-transfer accessioning tasks (staff)

14. If immediately prioritized for access, convert the .mkv file into an .mp4 file for access. Place .mp4 in an Access_files folder.

Print Window

Use the following settings to create a file directory PDF for public access to born digital files via a finding aid

Layout

- Leave default font and size
- Expand all folders

File Information

- Select desired sorting option
- Check Bold Folder Names

Icons & Headers

- Check Print Date and Large Folder Name only. Uncheck all other options.
- Include Icons and select Use Quicklook if the directory contains images you wish to make available as thumbnails.

Style

- Full list

Save the PDF with the collection number + name of AIP + directory.

Example: ms0465_series4_digital_files_directory.pdf

TreeSize Pro

See the TreeSize user manual for more info on TreeSize.

How to run a scan in TreeSize Pro (windows only):

1. Click on Select Scan Target in the left top corner.
2. A pop-up window appears. Click on Directory in the left navigation panel.
3. Under This PC, find the borndigital2 server, then click the arrow/carat to the left of it in order to expand that directory.
4. Locate the Objects folder within the appropriate collection folder. Click on the folder once to highlight it, then click Confirm Selection.
5. Wait for the scan to complete. For large collections it can take time.

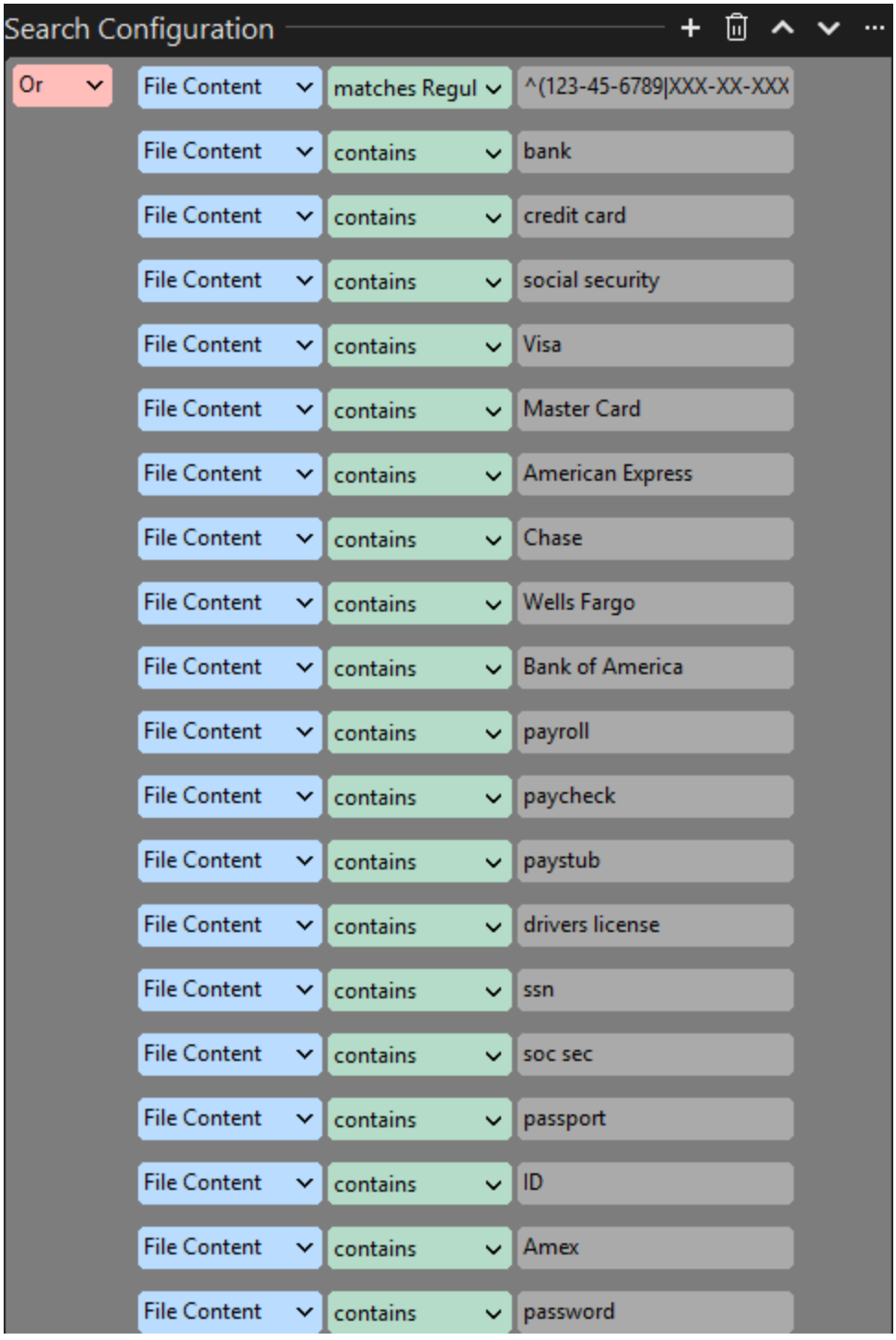
See step 2.1 in Born-Digital Processing Procedures for instructions on how to identify duplicate files, review file formats and file size, etc. in TreeSize.

How to create a PDF file directory in TreeSize Pro:

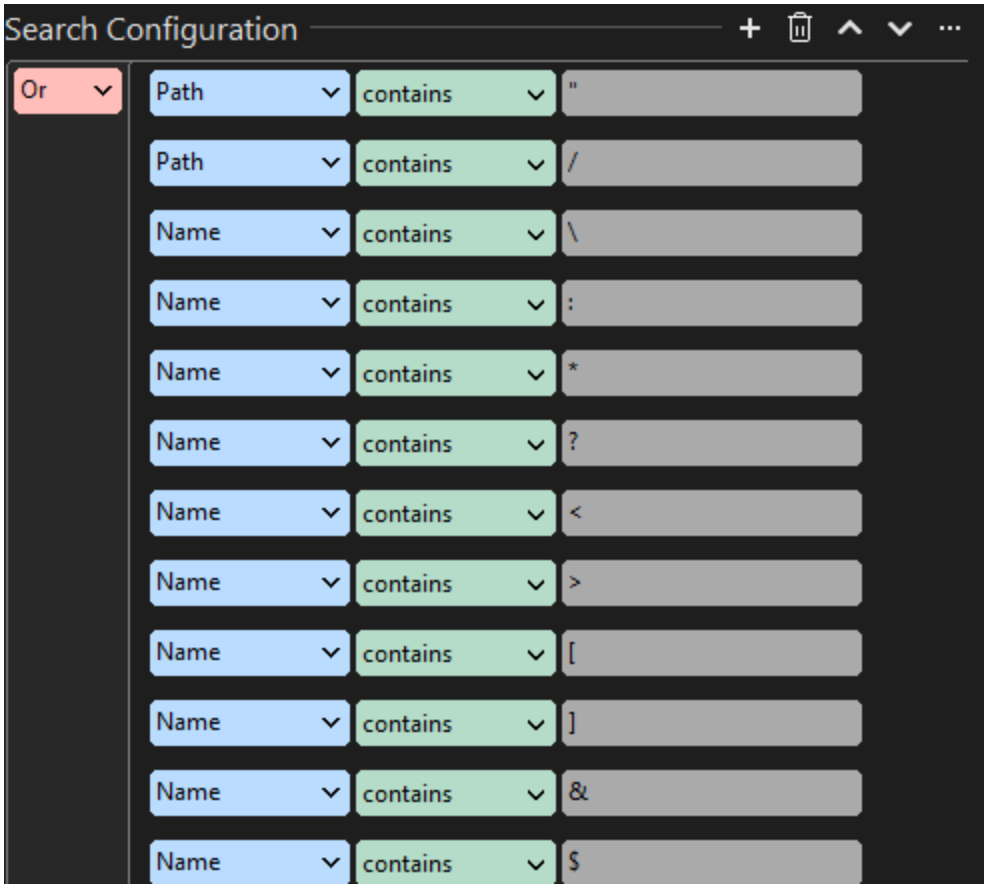
1. Follow the steps above to run a scan of the file directory.
2. Find the Export icon at the top of the screen and click the arrow/carat just below the icon. Click on the PDF File option.
3. Type in the file name for the PDF file directory (e.g. ms465_ser1.6_directory.pdf).
4. On the left pane of the screen, navigate to the spoc server, then find the collection folder. Click on that folder to save the file there.
5. Click on Customize Export at the bottom of the screen.
6. On the “Options - Export” screen that appears, select the following options
    a. Charts and Lists to include: *Directory Tree*
    b. Export Depth: *Full directory tree*
    c. Exported Elements: *Single Files* and *[Files] node*
    d. Exported Columns: *Name, Size, Files, Last Modified, File Extension*
    e. Page Setup (inches): Margins at *0*, *Portrait*
7. Click Apply, then click OK.
8. Make sure the file name and the save destination are correct. Check “Open file after saving.” Click OK.
9. The PDF will take a few seconds to generate, and there will be a progress bar. The file will open after it saves - scroll through and make sure the file names are legible, and the PDF has all the information you need.
10. If the columns are not the right size, or you’d like to make other sizing changes, you can redo the PDF and change the export options. For example, under Exported Columns, you can click once a specific component like File Extension to highlight it in blue, then an option appears directly underneath that allows you to change the width of that column. Under Page Setup, you can change the size of the margins and the orientation of the page (portrait or landscape).

TreeSize Pro search templates:

PII:



Disallowed characters (for Merritt):


Search Configuration
Or
Path contains "
Path contains /
Name contains \
Name contains :
Name contains *
Name contains ?
Name contains <
Name contains >
Name contains [
Name contains]
Name contains &
Name contains $

Legacy Merritt submission procedures (for reference purposes)

From 2018-3/2024, all processed born digital content was deposited to Merritt for long-term preservation following this procedure:

1. Archivist zips the AIP using 7zip on the PC workstation and leaves this zipped copy on borndigital in the collection folder.

    a. Right-click on the AIP folder
    b. Select (or point to) Send to
    c. Select Compressed (zipped) folder
    d. A new zipped folder with the same name will be created in the same folder.

2. Supervisory Archivist submits the AIP to Merritt. Content can be submitted to Merritt in two ways: uploading via the Merritt User Interface or by placing files on a web server and submitting a manifest.

    e. The Merritt User Interface is the simplest option, but is restricted to maximum 30GB deposits. See instructions under Adding Objects in the Merritt user documentation. Provide the following information in the upload form (example):
        i. Title: Research Center for the Americas records: born-digital
            1. Create a specific title that describes the born-digital component of the collection so that it can remain distinct from other parts of the collection that are deposited in Merritt (such as digitized materials).
        ii. Creator: University of California, Santa Cruz. Research Center for the Americas.
        iii. Date: 1998-2018
        iv. Local ID: UA120
    f. The manifest option is necessary for deposits larger than 30GB, or files that otherwise cause issues during the interface upload process. See instructions under Manifests in the Merritt user documentation. Basic workflow:
        i. Copy the zipped AIP to the transfer folder on diginit2 (smb://artifacts2.library.ucsc.edu/diginit2/transfer)
        ii. Connect to CDL's Merritt Checkm Creator and Validator and choose Create Manifest CSV from template.

iii. Download the “mrt-container-batch-manifest: ingest the contents of one or more container file into one object per container file”.
iv. Open the file in Excel and fill out csv template (example):
nfo:fileUrl: https://transfer.library.ucsc.edu/MS387_AIP.zip
nfo:fileName: MS387_AIP.zip
mrt:localIdentifier: MS387
Mrt:creator: Gerdes, Ingeborg
Mrt:title: Ingeborg Gerdes Photographs and Papers: Digital Files
Mrt:date: 2004-2020
v. Save the csv file, include the MS number in the filename. Example: mrt-container-batch-manifest_MS387
vi. Go Back to the Merritt Checkm Creator and Validator and choose Import CSV (to convert to Checkm). Load your own CSV File.
vii. Parse CSV
viii. Parse Manifest
ix. Checkm analysis
    1. Fix errors
x. Checkm data
xi. Download checkm file
xii. Go the Merritt web dashboard and “Add Object”

3. Supervisory Archivist confirms deposit and adds the ARK as a File Version in the Digital Object record.

Note: In 2019-2020 it was standard practice to set up a Fixity report at this point for processed collections on the Library server. As of 5/2021, this is no longer standard practice, as Merritt performs fixity checks on deposited processed collections. -KD