

# UC Santa Cruz

## Library Staff Presentations and Research

### Title

Holistic Approaches to Born-Digital Appraisal and Accessioning: Revising the UC Guidelines for Efficient Archival Processing

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# Holistic Approaches to Born-Digital Appraisal and Accessioning

Revising the UC Guidelines for  
Efficient Archival Processing

March 16, 2021  
OCLC Works in Progress Webinar  
Elvia Arroyo-Ramirez, Kate Dundon, & Shira Peltzman

# Who We Are



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Archivist UC Irvine  
(she/her)



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Supervisory Archivist  
UC Santa Cruz  
(she/her)



Shira Peltzman  
Digital Archivist  
UCLA  
(she/her)

# What we will discuss today

- Background on the UC Guidelines for Efficient Archival Processing
- The revision process
  - Overview of revisions
  - Deep dive on recommendations for born-digital appraisal and accessioning
  - Context and advocacy
- Case studies
- Q&A



**Black Lives Matter demonstration, June 2020.** UCI School of Medicine Leadership Education to Advance Diversity–African, Black and Caribbean (LEAD-ABC) records, AS-220. Special Collections and Archives, The UC Irvine Libraries, Irvine, California.

# Introduction & background

## Guidelines for Efficient Archival Processing in the University of California Libraries

- ▶ 2012: Defense of efficient processing
  - ▶ in tune with MPLP approach
- ▶ 2020: Holistic collection management
  - ▶ relates how accessioning, appraisal, resources, and over collecting impact collection backlogs

Resources concerning emerging best practices for born-digital description, access, and processing published since 2012

- [OCLC's Demystifying Born-Digital series \(2012\)](#)
- [OCLC's Research and Learning Agenda for Archives, Special, and Distinctive Collections in Research Libraries \(2017\)](#)
- [Digital Processing Framework \(2018\)](#)
- [UC Guidelines for Born-Digital Archival Description \(2019\)](#)
- [Levels of Born-Digital Access \(2020\)](#)

# 2020 UC Guidelines revisions project team members

Special thanks to reviewers:

Rachel Searcy (New York University); Chela Scott Weber (OCLC); Jillian Cuellar (Tulane University); Teresa Mora (UCSC); and Heather Briston (UCLA); contributions from David Seubert (UCSB)

Elvia Arroyo-Ramirez (UC Irvine)

Jolene Beiser (UC Irvine)

Courtney Dean (UCLA)

Kate Dundon (UC Santa Cruz)

Audra Eagle Yun (UC Irvine)

Jasmine Jones (UCLA)

Zachary Liebhaber (UC Santa Barbara)

Charlie Macquarie (UCSF)

Laurel McPhee (UCSD)

Lara Michels (UC Berkeley)

Shira Peltzman (UCLA)

Liz Phillips (UC Davis)

# Workplan, revised

*“The decision to integrate this information stemmed from a belief that the Guidelines should speak to the day-to-day experiences of archivists throughout the UC system. The increasing prevalence of born-digital material means boutique, siloed approaches are neither practical nor realistic.”*



**Nduati Macharia**

4th year  
English Major

I was one of few Black students on

Iyanna Blackburn documentary, "The 2%: Navigating UCI as a Black Student".  
AS-221. Special Collections and Archives, The UC Irvine Libraries, Irvine, California.



# Recommended policies

*“Policies are a proactive tool: they are most effective when they are in place and used to guide everyday procedures, not when they are written as a reaction to problems as they occur.”*

## **Recommended policies to support efficient processing and extensible collection management:**

- Access policy
- Collection development policy
- Collection management policy
- Reproduction/publication policy
- Digital preservation policy
- Accepted or Recommended Digital Formats policy

# Recommended policies

- **On digital preservation policies:**

*“If an institution endeavors to collect born-digital material, it is accountable for its processing, availability, and long-term preservation.”*



**Eiko Ishioka papers.** Costume design sketches and reference photographs for *Spider-Man: Turn Off the Dark* uclalsc\_2288\_0143\_0008

# Recommended policies

- **On accepted or recommended digital formats policies:**

*“Organizations should avoid collecting material that they cannot make accessible or preserve.”*



**Eiko Ishioka papers.** Behind the scenes photographs of the filming of *Mishima: A Life in Four Chapters*. uclalsc\_2288\_0261\_0048

# Appraisal: recommendations for selectors

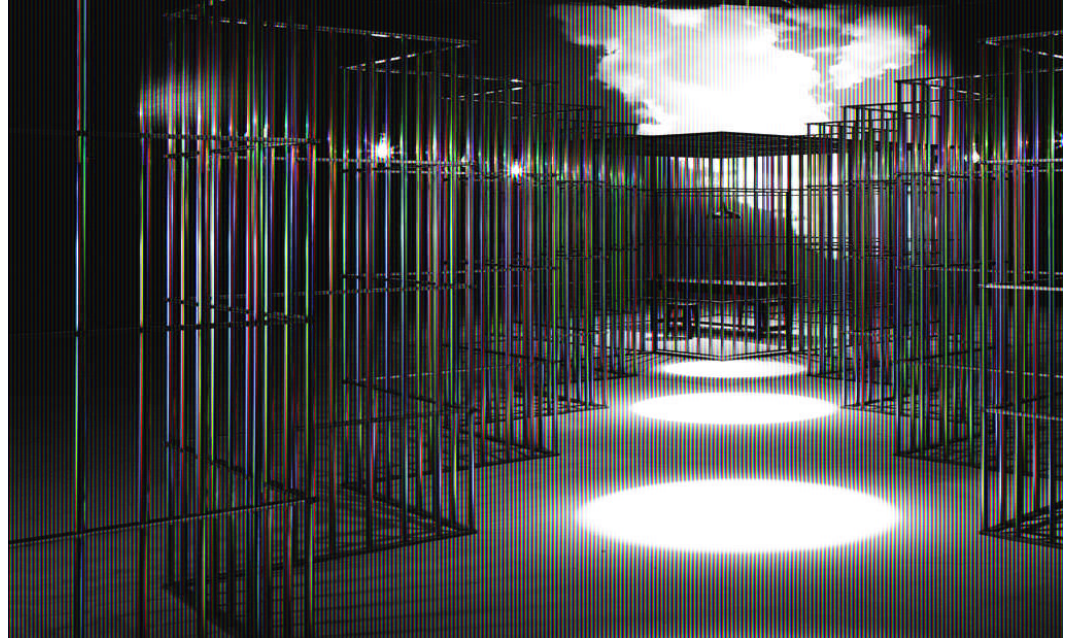
- Pre-custodial appraisal is critical
- All impacted stakeholders to be involved in appraisal, especially when it comes to digital materials
  - Importance of communication between selectors and archivists responsible for digital collections
- Be realistic; formats impact appraisal!

# Appraisal: recommendations for born-digital

- Appraising digital content at a high level means surveying carriers, disk-images, and directories, not individual files.
- Focus on selection decisions and identifying accepted formats
- Avoid renaming or rearranging files at this stage

# Accessioning

*"One cannot simply put a hard drive in a box, file a deed of gift, and complete an accession record to achieve the intellectual control and foundation for iterative processing sought by accessioning."*



**Eiko Ishioka papers.** Behind the scenes photographs of the filming of *Mishima: A Life in Four Chapters*. uclalsc\_2288\_0261\_0048

# Accessioning: baseline steps for born-digital

1. Assign unique IDs.
2. Run virus scan, depending on pre-existing campus-wide security protections.
3. Transfer files off carriers.
4. Perform a cursory review of files for PII using either automated tools for text-heavy collections or a visual/aural spot check for AV contents.
5. Generate a file list and hash values.
6. Package content for storage and possible access.

# Processing

- Encourage logical file transfer; discourage disk imaging except when appropriate.

cheeky(-ily)  
cheerless  
cheery [a cheery feeling]  
cherishable  
chewy  
Chiclet-toothed ("leonine, Chiclet-toothed Burt Lancaster..")  
chimerical  
chipper  
chiseled

**Susan Sontag papers.** Screenshot of a 72 page-long alphabetical list of Sontag's favorite adjectives. uclalsc\_0612



# Processing

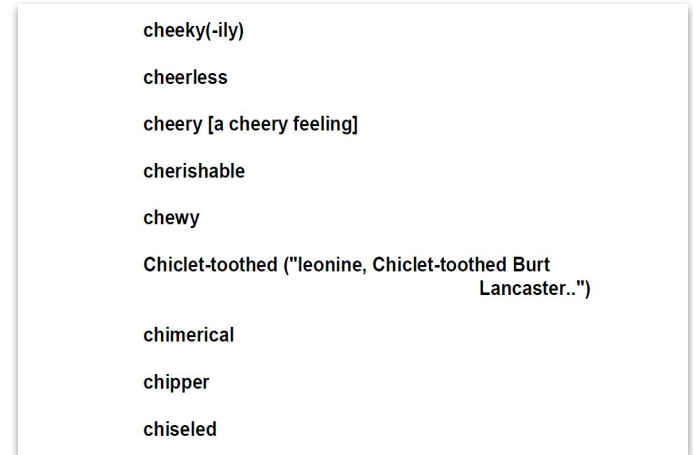
- Encourage logical file transfer; discourage disk imaging except when appropriate.
- Prioritize readily accessible content for processing.

cheeky(-ily)  
cheerless  
cheery [a cheery feeling]  
cherishable  
chewy  
Chiclet-toothed ("leonine, Chiclet-toothed Burt Lancaster..")  
chimerical  
chipper  
chiseled

**Susan Sontag papers.** Screenshot of a 72 page-long alphabetical list of Sontag's favorite adjectives. uclalsc\_0612

# Processing

- Encourage logical file transfer; discourage disk imaging except when appropriate.
- Prioritize readily accessible content for processing.
- Push back on idea that it's possible to easily quantify born-digital

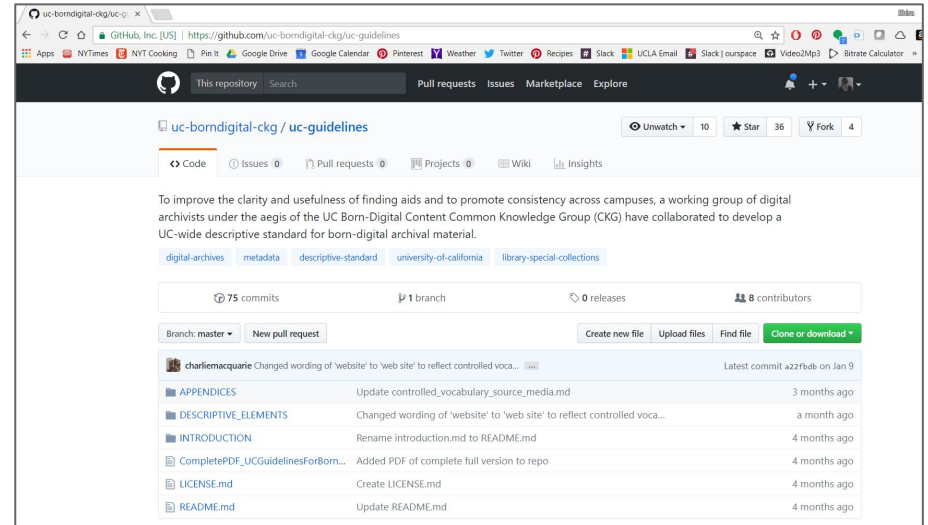
A screenshot of a list of adjectives from Susan Sontag's papers. The list is alphabetical and includes: cheeky(-ily), cheerless, cheery [a cheery feeling], cherishable, chewy, Chiclet-toothed ("leonine, Chiclet-toothed Burt Lancaster.."), chimerical, chipper, and chiseled.

cheeky(-ily)  
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**Susan Sontag papers.** Screenshot of a 72 page-long alphabetical list of Sontag's favorite adjectives. uclalsc\_0612

# Description

- Cross reference advice in UC Guidelines for Born-Digital Archival Description
- Recommend noting born-digital material at the collection level whether or not it has been processed



UC Guidelines for Born-Digital Archival Description  
<https://escholarship.org/uc/item/9cq222jc>

# Context

*“Born-digital processing is archival processing, and thus should be fully operationalized within archival programs.”*



**UCSC produce stand, 2005.** Courtesy Special Collections, University Library, University of California Santa Cruz. Center for Agroecology and Sustainable Food Systems records.

# Context

Traditional staffing models and collection workflows can no longer remain insulated from born-digital stewardship responsibilities.



**Still from *Adjustments: a Look at the Challenges and Difficulties New Students Face in a University Environment*, 2000.** Courtesy Special Collections, University Library, University of California Santa Cruz. Kresge College records.

# Context

*“...one person cannot be entirely responsible for a robust and responsible electronic records program. It must become a distributed responsibility, and all aspects of the archival enterprise must be reconsidered to account for this.”*

- Chela Scott Weber, *Research and Learning Agenda for Archives, Special, and Distinctive Collections in Research Libraries* (OCLC, 2017)



**UCSC Student Center, 2002.** Courtesy Special Collections, University Library, University of California Santa Cruz. Public Information Office records.

# Impact on UC

A movement toward  
sustainable  
operationalization of  
born-digital collections care

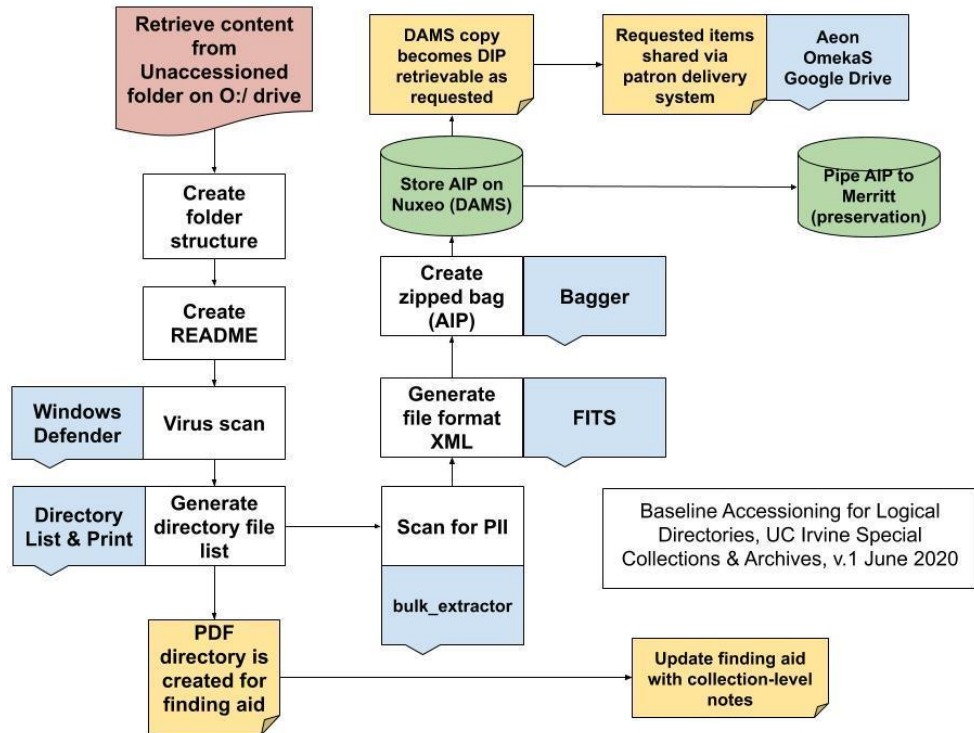


**Display at Frida Ball, 2005.** Courtesy Special Collections, University Library, University of California Santa Cruz. Resource Center for the Americas records.

# Case Study: UC Irvine

## Baseline Accessioning Workflow for Logical Directories

- Developed in tandem with the Guidelines revisions.
- Takes the guidance outlined in the Guidelines to *\*not\** disk image certain formats like USBs.
- All materials are accessioned at the baseline level, archivists review for access when PII is found. Further processing occurs as needed.
- Exposes directory (at file level) information for access.





# Case Study: UCLA

## Private, Confidential, or Sensitive Materials

Please indicate below the types of private, confidential, and/or sensitive materials the files may include.

Types of private, confidential, sensitive information	What kinds of files contain this information?	Where are we likely to find these files?
<input type="checkbox"/> Social Security numbers		
<input type="checkbox"/> Passwords or pins		
<input type="checkbox"/> Credit card numbers		
<input type="checkbox"/> Financial records		
<input type="checkbox"/> Student records		
<input type="checkbox"/> Medical records		
<input type="checkbox"/> Employment records		
<input type="checkbox"/> Confidential government files (tax returns or social security forms)		
<input type="checkbox"/> Materials covered by attorney-client		

What else can you tell us about the digital material in this collection?

## Scope and content

Provide information about the formats and contextual information -- such as information about creators and the functions from which these materials were created -- included in this collection.

Digital Materials

What are the file types and programs represented in this acquisition? In general, LSC does not accept files that cannot be accessed or preserved via available technology at UCLA or reasonable vendor intervention, including password protected files. Please see [Accessing Born-Digital Material](#) for a list of the types of material and file formats that we can accept.

What are the main activities that generated these digital files? (Example: writing, research, lecturing, other professional activities)

Think about each of the main activities you listed; what kinds of records were created, maintained, and used in the course of each of these activities?

What is the content of the digital files? (Example: drafts of writings, research notes, lecture notes, journals, diaries, correspondence, photographs, business records)

## Context of creation

For what purpose were these materials created? How were they created and used? If digital material is present, comment on the programs used to create specific file types.

# Case Study: UCLA

## Benefits

This solution solves several problems simultaneously: first and foremost, it circumvents the need for donors to have Box/Gsuite credentials since we will be using our own. Secondly, it should help lower the technical barrier for the Donor since we will be doing everything on their behalf. Thirdly, it still allows Donors to feel as though they have agency and are in charge of the situation as they will be able to view all of our actions in real time. Finally, it relies on existing UCLA infrastructure that is actively used and well documented and for which there is support should we need it.

## Workflow

1. **Pre-acquisition intervention:** The Accessioning Archivist, Curator, and the Digital Archivist would work with the Donor to fill out the Digital Materials Survey.
2. **Prior to transferring digital files:**
  - a. Confirm there is an approved curatorial proposal form.
  - b. Confirm there is a signed donor agreement that has been sent to Gifts.
3. **Schedule a transfer appointment:** When a Donor was ready to deposit their files, they would schedule a transfer appointment with the Digital Archivist. (The Accessioning Archivist would also attend). Before the session begins, the Digital Archivist would make sure that the Donor understood that *they* are in control: the ground rules would be that we don't open any files or folders unless the donor gives us permission to do so.
4. **Identify files for transfer:** During the Transfer Appointment, the Digital Archivist would use a remote desktop support application called Zoom to access the Donor's computer. Once the Digital Archivist initiates the session, the Donor explains which files we should acquire and where to find them.
5. **Remotely transfer files to LSC departmental Box account:** The Digital Archivist logs into 'LSC Born-Digital Accessions' Box folder (<https://ucla.app.box.com/folder/117328750459>) and uploads the selected files.
6. **Create collection-level records:** Accessioning Archivist would create an accession and resource record in ArchivesSpace, OAC finding aid, and MARC catalog record for the collection.
7. **Package files in Archivematica:** Digital Archivist and/or Accessioning Archivist would download the files from Box and package content in Archivematica *without reviewing it*; LSC is relying entirely on the descriptive information gathered during the pre-custodial intervention via the Curatorial Proposal Form and Digital Materials Survey.
8. **Update collection-level records:** Digital Archivist and/or Accessioning Archivist would update finding aid to reflect the status of accessioned born-digital material.

# Case Study: UC Santa Cruz

## About This Document

### General Accessioning Workflow

#### Born-Digital Accessioning Procedures

- Accessioning born-digital records from physical carriers in hybrid collections
- Accessioning born-digital records from network transfer, external hard drive or computer
- Accessioning single born-digital files not associated with a collection
- Born-digital acquisition guidelines
- Born-digital transfer sources
- Born-digital transfer methods and capabilities

#### Processing Workflows

- Processing procedures for all collections
- Integrating accruals to processed collections
- Born-digital processing procedures

#### Creating a Processing Plan

- Determining level of effort for born-digital processing

#### Efficient Processing Principles

#### Creating the Finding Aid

- Required collection-level identity elements
- Order and labeling of collection-level notes
- Use and language of notes
  - Abstract
- Conditions Governing Access (Access Restrictions)
  - Processed collections with no restrictions
  - Unprocessed, partially processed, or restricted collections
- Conditions Governing Use (Use Restrictions)

## Deaccessioning Procedures

### Other Guidelines, Manuals, Policies, and Standards

- UCSC
- UC Libraries
- National
- Description resources

### Appendix

- Format categories for item-level accessioning
- Restriction periods
- Standard extent measurements
- Templates

- Born-Digital: definitions of SIP, AIP, DIP
- Born-Digital: estimating media storage capacity
- Born-Digital: file naming conventions for documentation
- Born-Digital: command line guide
- Born-Digital: tool guides

- Bagger
- Bulk Extractor
- Data Accessioner (Mac)
- Data Accessioner (Windows)
- DROID
- ePADD
- Exact Audio Copy
- Fixity
- HandBrake

# Case Study: UC Santa Cruz

## Transfer records and gain administrative control

- Gift or transfer paperwork completed
- Baseline accession record created
- Carrier transfers: Carrier level pre-file transfer appraisal completed
- Carrier transfers: Significant separations documented in Deaccessioning subrecord in Accession record
- Collection folder prepared on borndigital2
- Carrier transfers: Carriers pulled and inventoried
- Network and HD transfers: checksums created for files pre-transfer
- Files transferred to borndigital2
- Network and HD transfers: checksums created for files post-transfer
- Network and HD transfers: pre and post checksums compared
- Transfer outcome documented in Capture event record in Accession record
- Post- file transfer appraisal completed
- Extent determined and documented in Extent subrecord in Accession record
- Dates determined and documented in Dates subrecord in Accession record
- Location of files documented in Digital Object Record Instance in Accession record

## Stabilize content

- If NOT prioritized for immediate processing: Fixity report set up
- Carrier transfers: Carriers returned to physical collection

## Gain intellectual control and prepare for processing

- Resource record created
- If NOT prioritized for immediate processing:
- Record any processing observations
- Catalog record requested
- Catalog record created

# What's next for the UC Guidelines

Guidelines for Efficient Archival Processing  
in the University of California Libraries

[bit.ly/UC-Guidelines](https://bit.ly/UC-Guidelines)

Version 4  
May 2020

# Thanks!

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Shira Peltzman, UCLA Library, [speltzman@library.ucla.edu](mailto:speltzman@library.ucla.edu)