Guidance and GUls
Developing an E-Records Transfer Process
NHPRC Grant

Wisconsin State Preservation of Electronic Records Project

WiSPER
Key Project Pieces

- State Agency e-record identification and management
- Content transfer and acquisition from agencies
- E-Records management testing at the agency level
- Repository development
- Access to state records (web, reading room, catalog)

Year 1  ✓
Year 2  ✓
Year 3  ✓
Key Project Pieces

✅✅ Content transfer and acquisition from agencies
Transfer Piece

Tool (GUI)

Guidance

Best practices
Transfer instructions
Forms and templates
Exactly

- Free, open source
- Safe remote transfer of digital data
- Features:
  - “Enhanced” BagIt packages (bags)
  - Customizable metadata templates
  - Fixity checking
  - Email notifications
  - Supports FTP/SFTP transfer
  - Integrates into file sharing workflows with Dropbox, etc.
Bag Structure

```
<bag> /
|   bagit.txt Bag declaration – required BagIt element
|   bag-info.txt Bag metadata – optional BagIt element
|   manifest-md5.txt Payload manifest – required BagIt element
|   tagmanifest-md5.txt Tag manifest – optional BagIt element
|   data /
|       [payload files]
```
Exactly Bag Structure

<bag> /
|   bagit.txt                      Bag declaration – required BagIt element
|   bag-info.txt                   Bag metadata – optional BagIt element
|   bag-info.csv                   Bag metadata (csv) – Exactly
|   bag-info.xml                   Bag metadata (xml) – Exactly
|   manifest-md5.txt               Payload manifest – required BagIt element
|   tagmanifest-md5.txt            Tag manifest – optional BagIt element
|   FileSystemData.txt             File system information – Exactly
|   TransferComplete.txt           Transfer report – Exactly
|   data /                         Payload directory – required BagIt element
  |   [payload files]
Exactly GUI

[Image of the GUI interface with options for title, source, destination, and file transfer settings]
Exactly and Dropbox

• Requires:
  – Both parties have Dropbox accounts
  – Shared folder between sender and recipient
  – Local Dropbox directory watched by Dropbox application

• Dropbox: cloud transfers, easy to use, built-in encryption

• Exactly: fixity checking, error logging, automatic notifications
Transfer Workflow

1. Agency wants to transfer e-records
2. Transferring Electronic Records
3. GRS/RDA
4. Agency contacts State Archives
5. Electronic Records Survey
6. State Archives accepts e-records transfer
7. Preparing Electronic Records for Transfer
8. Agency prepares e-records
9. State Archives places Exactly template in Dropbox
10. Exactly Template
11. State Archives shares Dropbox with agency
12. Exactly auto confirmation email to agency
13. Exactly auto notification email to State Archives
14. State Archives receives and inspects transfer
15. State Archives notifies agencies that transfer was successful
16. Successful transfer confirmation
17. Copy of Transfer Agreement
18. Agency deletes files from drives
19. Transfer Records with Exactly
20. Transfer Agreement

Flowchart diagram showing the steps involved in transferring electronic records from an agency to the State Archives.
Transfer Workflow

Contact ➔ Prepare ➔ Transfer ➔ Delete
Electronic Records Survey

- **Surveys information about:**
  - Content (records creators, records schedules, date range)
  - Format
  - Access (statutory restrictions, PII)

- Collected via email
Transfer Workflow

Contact → Prepare → Transfer → Delete
Preparing Electronic Records for Transfer

• **Guidance on:**
  – Creating inventories
  – Items to purge
  – Making sense of your records
  – Special handling
Transfer Workflow

Contact ➔ Prepare ➔ Transfer ➔ Delete
Electronic Records Transfer Agreement

• **Covers:**
  – Practices specific to processing e-records
  – Privacy
  – Due diligence
  – Storage media

• **Included in transfer**
Transfer Records with Exactly

- Step-by-step instructions on downloading and using Exactly

- Supplements Exactly User Guide with:
  - Setting up Exactly with Dropbox
  - Metadata instructions (data dictionary)
Exactly Metadata Template

- XML file created in Exactly
- Specifies:
  - Metadata fields
  - Email settings
  - FTP/SFTP settings
- Placed in shared Dropbox folder and imported by agency
- Also available as PDF form
• After automated confirmation from Exactly AND confirmation from State Archives

• State Archives becomes official owner of the records – all others must be deleted
Website

https://www.wisconsinhistory.org/Records/Article/CS15415
Next Steps & Challenges

• Process needs to be tested!

• May be revised, depending on feedback

• Cannot be used for all transfers
  – Former governor’s office records

• Currently, Exactly imposes 200GB limits on transfers – will be expanded in next release

• Digital preservation software TBD – how will it integrate?
Questions?

Hannah Wang
Electronic Records Project Archivist
hannah.wang@wisconsinhistory.org

Sarah Grimm
Electronic Records Archivist
sarah.grimm@wisconsinhistory.org

https://www.wisconsinhistory.org/Records/Article/CS15415