SFU Archives Standard Digital Transfer:
Procedures for Producers (PRC-57A)

Last updated: January 28, 2021
Status: Revised (v4.2)

# Standard Transfer: Procedures for Producers

Status: under development

These procedures are written for SFU staff and private donors ("producers") who wish to transfer their digital records to the Archives. In the workflow diagram below, actions and decision points by producers are shaded green.

For the same process from the Archives point of view, see Standard Transfer Method: Procedures for Archives.
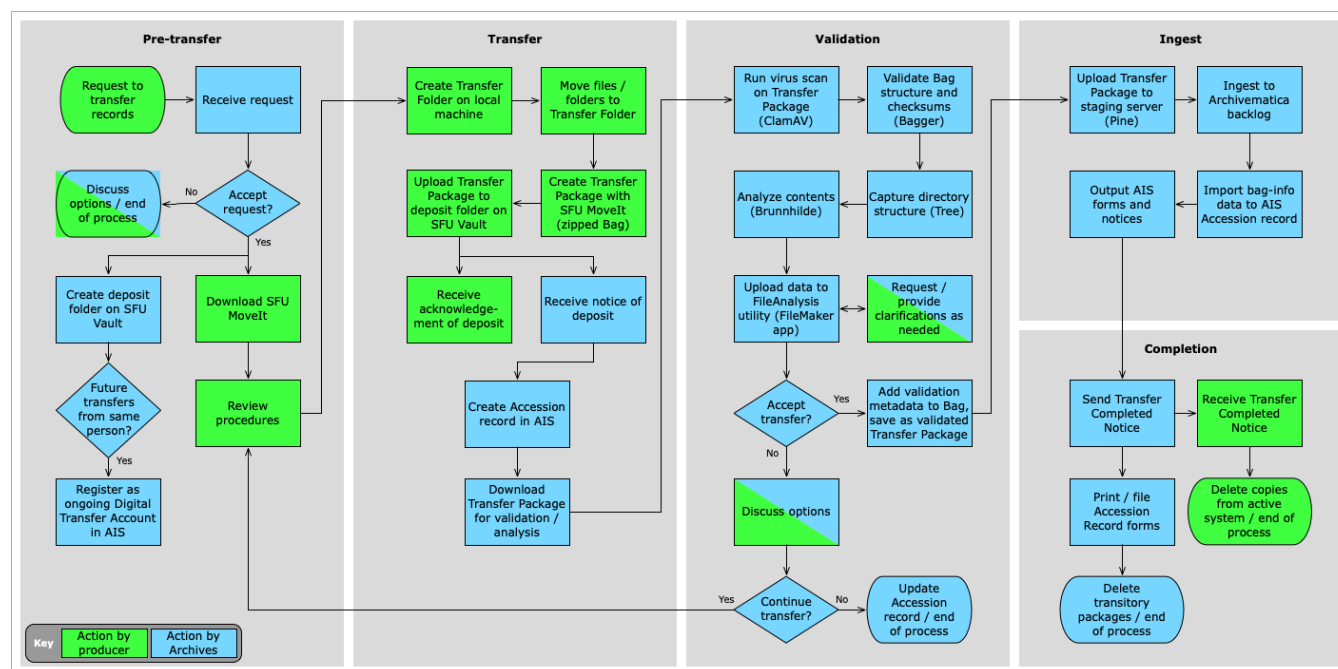
1. Pre-transfer

- 1.1 Request a deposit folder
- 1.2 Download SFU MoveIt
- 1.3 Request an ongoing Digital Transfer Account

2. Transfer

- 2.1 Identify records for transfer

Appendices

Download

- Download the full procedures as a single pdf (snapshot created Jan 28, 2021).

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1. Pre-transfer

Before you make your first transfer, contact the Archives to request a deposit folder on SFU Vault. You will also need to download SFU MoveIt, the Archives' digital packaging tool. If you will be making regular digital transfers, consider requesting a Digital Transfer Account as this will provide you with continuing access to a deposit folder.

Steps

- 1.1 Request a deposit folder
- 1.2 Download SFU MoveIt
  - Download
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  - Uninstall
- 1.3 Request an ongoing Digital Transfer Account

1.1 Request a deposit folder

The Archives manages transfer deposit folders on its SFU Vault space. To request a deposit folder, contact the Archives directly (tel. 2-2380 or email archives@sfu.ca or moveit@sfu.ca).
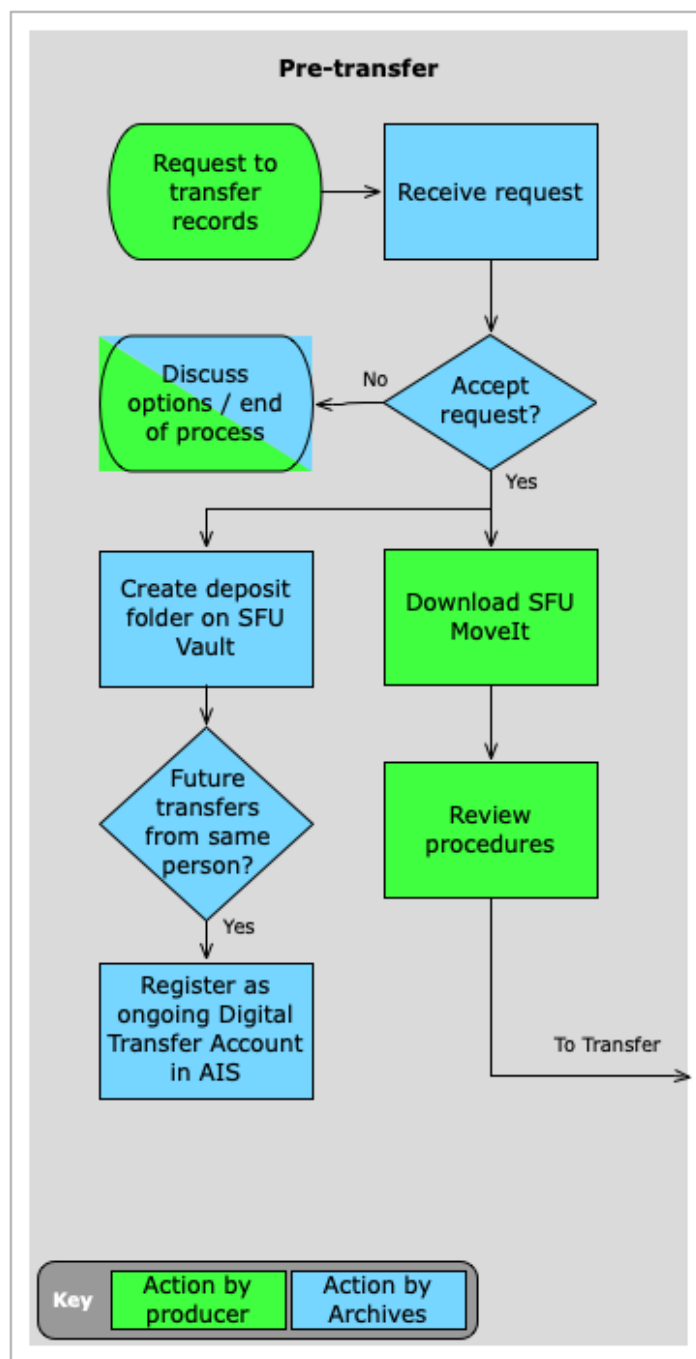
Note that the Archives tries to limit the number of transfer contacts per department or organization in order to centralize the transfer process for a given unit.

- This is to avoid duplication of effort, reduce the likelihood that the same materials will be sent by different people, and facilitate communications relating to transfers, holdings, retrievals, and changes to tools and processes.

On approval, the Archives creates a deposit folder and sends you a confirmation email with the folder name and a link.

- Folder names typically following a standard naming convention: `Deposit_<<OrgDeptName>>`.

1.2 Download SFU MoveIt

SFU MoveIt is a small, open-source desktop utility for packaging files in standardized containers ("bags") that follow the BagIt File Packaging Format. It was developed by Alex Garnett, SFU Research Data Management & Systems Librarian.

- For more information about the app, see the SFU MoveIt page on the Archives' website.
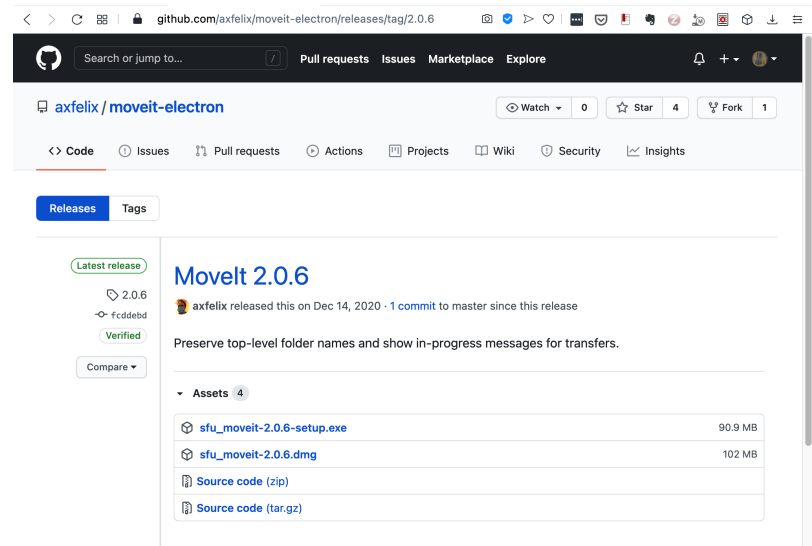
Download

To download the app, go to the developer's GitHub download page for the latest release (version 2.0.6).

- Select the version for your operating system: Mac = `dmg` file, Windows = `exe` file.
- When download is complete, double-click the `dmg` or `exe` file and move the application icon to a location on your computer.
- The app can be stored and run from any location on your machine, but Archives recommends storing it in your standard `Applications` folder (Mac) or `Programs` folder (Windows).

Security warnings

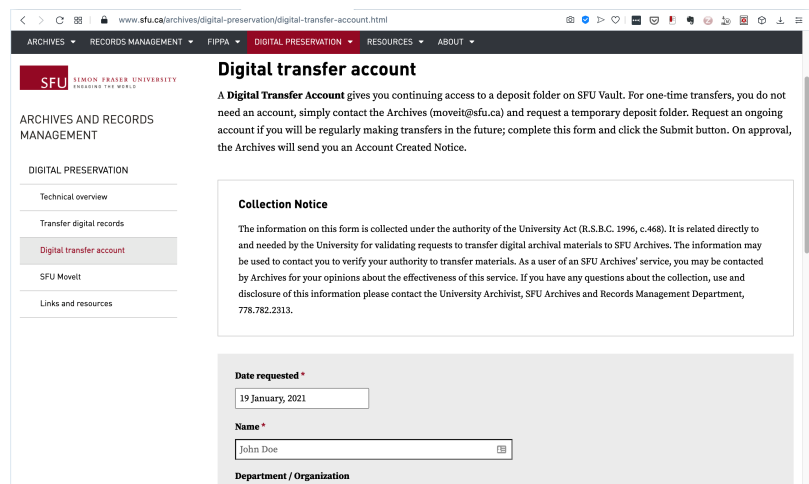Note that you may get security warnings when you first open the app.

- The Mac version is an Apple "signed" or certified app, but the first time you open it you may be prompted to confirm permissions to run the software.
- With the Windows version, you may have to click through several security warnings to open the application the first time.

Uninstall

To uninstall SFU MoveIt, simply drag the application icon to your `Trash` or `Recycle bin`.

1.3 Request an ongoing Digital Transfer Account

With a one-off transfer, your access to the deposit folder is temporary and expires on completion of the transfer. If you will be regularly sending digital records to Archives, you should request an ongoing **Digital Transfer Account**. This provides you with continuing access to a deposit folder.

Request an account by contacting the Archives directly or by completing and submitting the online request form on the Archives' website

- On approval, you will no longer be required to contact the Archives in advance of a transfer, you simply access the deposit folder as needed.

If you have an SFU email address, the Archives can set up a share for you on the deposit folder.

- With a share, you can install the SFU Vault desktop application on your computer so that the shared deposit folder (typically named `Deposit_<<DeptOrgName>>`) will appear as a directory in your local file system and syncs with the remote folder on Vault.

- For more information on SFU Vault, see the help and information pages maintained by SFU ITS.

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2. Transfer

The **transfer phase** begins when you are ready to send digital records to the Archives. You identify and gather the records for transfer, package them with SFU MoveIt, and upload the transfer package to the deposit folder on SFU Vault. For handy reference, download and retain the Digital Transfer Checklist (pdf).

Steps

- 2.1 Identify records for transfer
  - SFU departments
  - Private donors
  - File formats
- 2.2 Create transfer folder(s)
  - Transfer folder
  - Passwords and encryption
  - How many transfer folders?
  - Large transfers
- 2.3 Create a transfer package with SFU MoveIt
- 2.4 Upload the transfer package to SFU Vault
  - SFU Vault desktop version
  - SFU Vault web version with transfer account
  - SFU Vault web version with no transfer account
  - Notification

2.1 Identify records for transfer

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

SFU departments

Determine whether there is a **Records Retention Schedule and Disposal Authority** (RRSDA) that applies to the records.

- University records can only be transferred to Archives if there is an existing RRSDA that applies to them; for a list of all RRSDAs, see the online [Directory of University Records (DUR)](#).
- Your records may not be eligible for transfer if your department is not the Office of Primary Responsibility (OPR) for them; i.e. your records are copies of the authoritative records that will be transferred by another department.

Confirm that the RRSDA's "final disposition" is **archival**.

- Your records will not be eligible for transfer if they are scheduled for destruction and should be destroyed, not transferred, at the end of the retention period.

Determine whether the total retention period has expired.

- Digital records should normally be sent to Archives only after the expiry of the total retention period set out in the RRSDA (= **active** + **semi-active** retention periods).
- This differs from the situation with paper records, which may be sent to the University Records Centre (URC) for **semi-active** offsite storage at the end of their **active** retention period.
- The Archives does not currently provide semi-active storage for digital records.

In some circumstances the Archives will accept digital records before their semi-active expiry date.

- In those cases, the Archives will treat the records as **archival**, i.e. fully under the control of the Archives rather than the department.
- Requests are handled on a case-by-case basis in consultation with the department.

Private donors

Determine whether there is an existing Donation Agreement that covers the records.

- All private donations must be negotiated with SFU Archives and the terms and conditions set out in a signed Donation Agreement before the records can be transferred.
- Consult the Donor resources section of the Archives' website or contact an archivist for more information about donating materials to SFU Archives.

File formats

You should be aware of the file formats of the records you are transferring and whether or not those formats are currently supported by the Archives' preservation program.

In order to ensure the long-term accessibility of digital materials, the Archives develops a preservation and access plan for each file format we take in; these plans are embodied in the Format Policy Registry (FPR), along with recommendations for **Preferred** or **Acceptable** formats.

- If the file formats you wish to transfer are not on the FPR or appear there under `Level of support` as "Watch" or "Bit-level" it means that the Archives cannot presently guarantee that files in those formats will continue to be accessible (renderable) in the future.
- You can still transfer non-preferred formats, but you should consult with an SFU archivist to discuss the implications. See also the **Explanations** section of the FPR for more detail.

2.2 Create transfer folder(s)

Gather the materials for transfer.

Transfer folder

Create a transfer folder on your local machine to collect all folders and files you will be transfer.

- This step segregates the material for transfer from other records that will remain in your active system: this will facilitate their eventual deletion at the end of the transfer process.

When moving folders and files **it is critical not to overwrite the timestamps for dates of file creation and modification.**

- The `modified date` of a file provides useful contextual information that should be preserved.
- If you copy files from an external server or hard drive onto your computer, `created` and `modified` dates will likely be overwritten with the date of the copying (from the standpoint of your computer, the date of copying is the date of creation).
- To avoid this, use an FTP client (e.g. Cyberduck) to move files; change the settings in the app's preferences so that it preserves timestamps.
- In Cyberduck for example, you do this by navigating to `Preferences > Transfers > Timestamps` and checking the box `Preserve modification dates` for both uploads and downloads.

All materials for a single transfer must be placed inside one folder.

- When packaging materials with SFU MoveIt (in), you will be prompted to select a folder (not an individual file), and you can only select one folder (rather than make multiple selections).
- It is fine to include sub-folders in the transfer folder.
- When grouping materials into a single folder, leave files nested in their original folder / sub-folder hierarchies whenever possible.
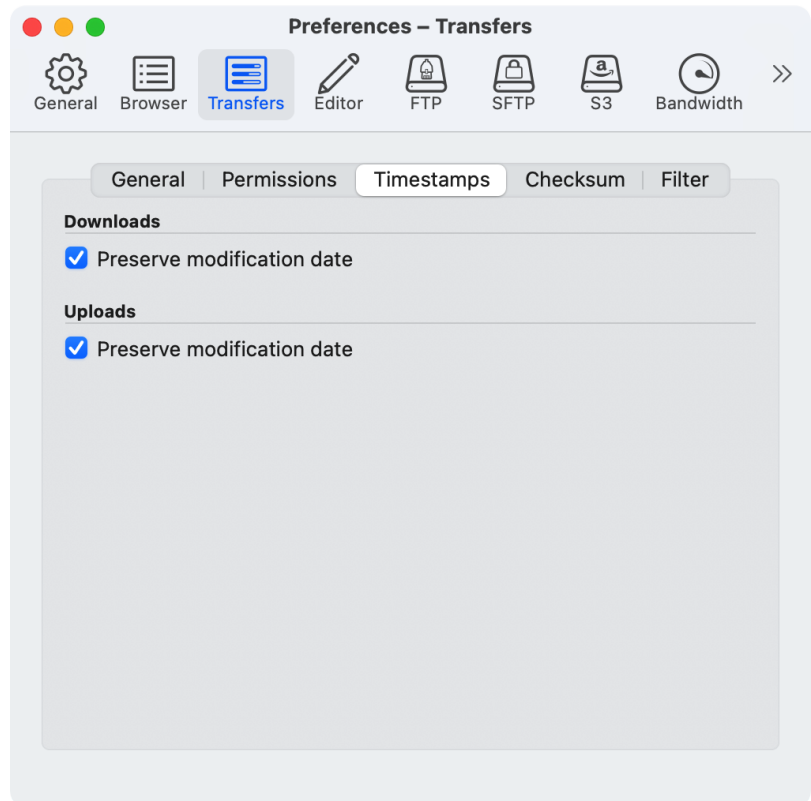
- The original directory structure conveys important contextual information about the files and it will be lost if the directory is arbitrarily flattened out.

Passwords and encryption

Remove any passwords or encryption on files before transfer.

- Password-protected or encrypted files will be inaccessible in the future without the password or encryption key.
- The Archives' preservation system is not set up to manage password-protection on individual documents.
- If there are reasons for restricting access to files, communicate this directly to the archivist; the Archives can manage access restrictions without password-protecting individual documents.

How many transfer folders?

Determine the number of transfer folders / packages you will need.

- You can structure your transfer as one large package or break it down into as many separate packages as you like.

There are a number of situations in which you might want to create multiple transfer packages. Examples:

- You are working on a transfer project on and off over several weeks and you want to push things out as you go.
- Different persons are responsible for different parts of the transfer.
- Different retention schedules (RRSDAs) apply to different parts of the transfer; materials covered by different RRSDAs must be packaged separately (1 RRSDA = 1 transfer folder).
- File sizes are very large (e.g. audio and video materials) and you want to break up the transfer into several parts.

Large transfers

In general it is fine to use SFU MoveIt to create large packages (up to 10 GB) and upload them to SFU Vault. But the larger the transfer folder, the greater the processing time for packaging (for SFU MoveIt) and the longer the upload time (for SFU Vault).

- A single transfer folder cannot exceed 10 GB.
- Packaging and upload times depend on the resources of your computer and the speed of your internet connection respectively.
- **For optimum processing and upload speeds, we advise keeping folder size to under 2 GB.**

It will not always be feasible to keep transfer folder size below these thresholds, e.g. if you are transferring audio-visual materials.

- You should still package the materials with SFU MoveIt as described in the next section, but there may be better alternatives than SFU Vault for transfer.
- E.g. copy the transfer package to an external drive for pick-up or delivery.
- Consult with an archivist about the best transfer method for packages larger than 2 GB.

2.3 Create a transfer package with SFU MoveIt

Use SFU MoveIt to create the transfer package.

Open the app by double-clicking the `sfu-moveit` application icon.

Enter information about the transfer in the fields provided.

- [Appendix A, Transfer metadata](#) describes fields in more detail.
- Note that the first time you open SFU MoveIt, your contact information fields will be blank; subsequently the values from your previous session will be saved and entered as the default.

Click the `Create Transfer Package` button.

- You will be prompted to select the target transfer folder.
- You can only select one transfer folder per package (but there is no limit to the number of sub-folders it may contain); see the section above on [How many transfer folders?](#)

SFU MoveIt will display a notification message when it has completed packaging.

- Find the transfer package on your desktop as a single zip file.
- The name of the zip file is based on the value you entered as the `Transfer title` (**not** on the transfer folder name).

- [Appendix B, Anatomy of the transfer package](#) provides more information about the transfer package and its structure.
- Note that the transfer package is a **copy** of the target transfer folder; the original target folder and files are left in place.

2.4 Upload the transfer package to SFU Vault

Upload the transfer package (zip file) to the deposit folder you were assigned in step 1.1 above ([Request a deposit folder](#)). How you access this folder depends on whether or not you have an ongoing **Digital Transfer Account** and whether you are connecting to Vault via the desktop or web version.

SFU Vault desktop version

If you have a [Digital Transfer Account](#) and you have installed the desktop version of SFU Vault, the deposit folder should appear in the directory system on your local computer (accessible via Windows File Explorer or Mac Finder).

- The deposit folder is typically named `Deposit_<<OrgDeptName>>` .

Drag the transfer package to the deposit folder.

MoveIt

MoveIt

Contact Name

Hiliary Jenkinson

Position / Title

Graduate Secretary

Department / Organization

Department of Geography

Email Address

hj33@sfu.ca

Telephone

2-8888

Record Creator

Department of Geography

RRSDA Number

Internal SFU Users Only. See Overview.

1999-003

Transfer Title

Committee records

Date Range

From: 2011 To 2016

Records Description

Agendas, minutes and supporting papers of the departmental Graduate Studies Committee, Undergraduate Studies Committee, and Communications and Events Committee

Other Metadata Available?

e.g. file lists, indices, documentation.
If so, please provide a brief description.

Create Transfer Package

- The application will synchronize your local folder with the deposit folder on Vault.

- Depending on the size of the file, the sync operation may take some time.

- Note that SFU Vault may turn off synchronization for very large files; you should be able to override this and manually start the sync.

- For troubleshooting consult the SFU Vault help pages maintained by ITS.

SFU Vault web version with transfer account

If you have a Digital Transfer Account but you have not installed the desktop version of SFU Vault, access your deposit folder via your web browser.

Open the url https://vault.sfu.ca.

- Enter your SFU computing credentials (account name and password).

- In the sidebar along the left, click the `Shared with you` link.

- Click the deposit folder that will appear in the list.

- Drag the transfer package to the folder or use the upload icon.

- Upload may take some time for large file sizes.

- Archives recommends keeping transfers to under 2 GB per package; up to 10 GB is possible, but upload times will be long (see the discussion above, How many transfer folders?).
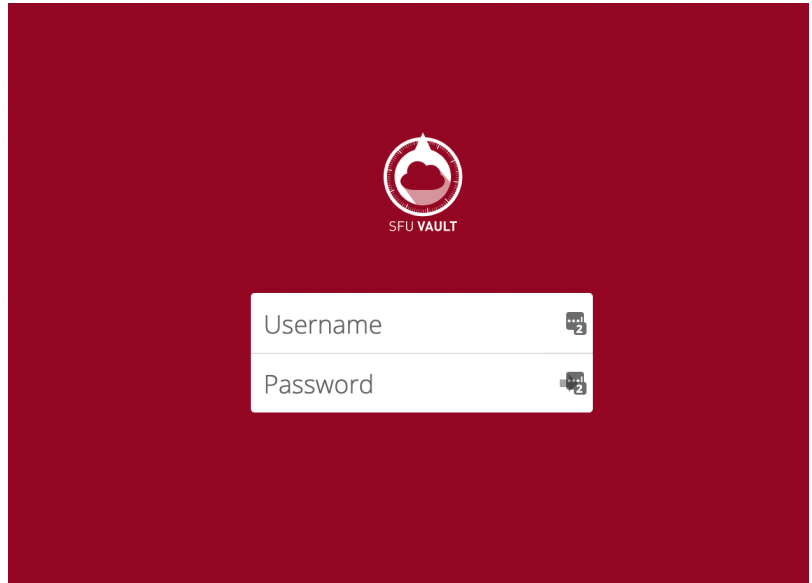
SFU Vault web version with no transfer account

If you not have a Digital Transfer Account, access your one-time deposit folder via your web browser.

- Open the url link you received from the Archives in step 1.1 above.

- Drag the zip file to the folder or use the upload icon to copy the transfer package to the deposit folder.

- See the note above for large file sizes.

Notification

An archivist will send you an email confirming receipt of your transfer.

- The Archives receives automatic notification from SFU Vault whenever new files have been added to a deposit folder, but there can be a time lag.
- **If you do not receive a confirmation email within several days of your deposit, please email the Archives directly** (moveit@sfu.ca); it may indicate a problem with the automated notice system.
- Do not re-send the transfer; wait until you hear back from an archivist.

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3. Validation and ingest

Validation and ingest are operations done by Archives and typically do not require any action on the part of producers. Archives may, however, contact you during these phases to request clarifications or in the event that there are problems with the transfer. For more information about these processes, see the point-of-view procedures for archivists, step 3 (validation) and step 4 (ingest).


Steps

- 3.1 Validation
- 3.2 Ingest

3.1 Validation

Validation is the process by which an archivist decides whether or not to accept a transfer. It answers two questions:

1. Was the transmission of data successful? Yes = no data was lost or corrupted during upload.
2. Are the contents of the transfer acceptable for permanent preservation in the Archives? Yes = the records have enduring archival value.
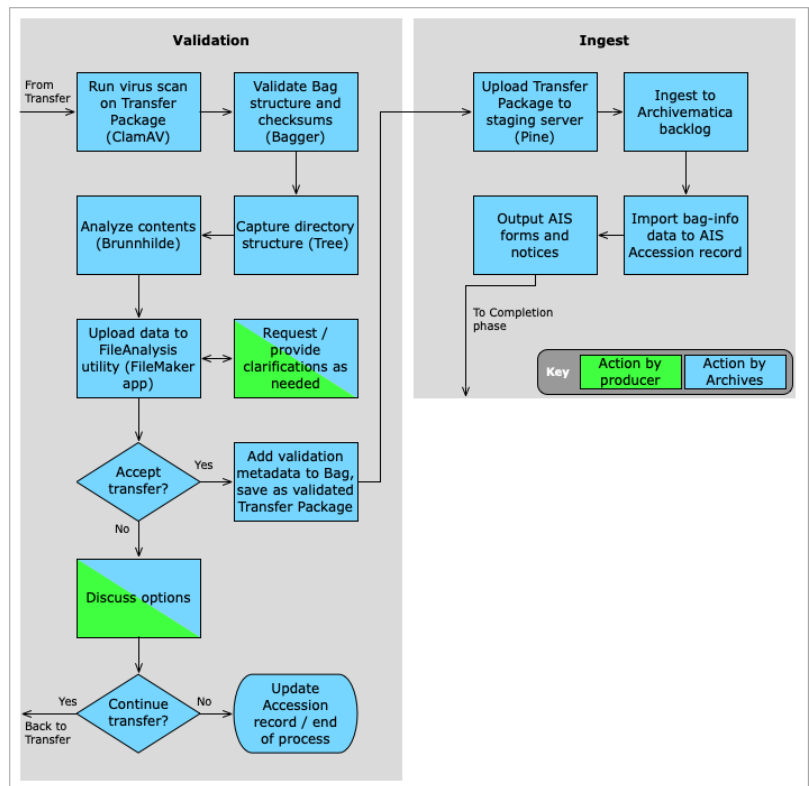
To validate data transmission, the Archives uses a tool called Bagger to compare pre- and post-transfer checksums on each file to verify data integrity. The Archives also runs a virus scan during this stage to identify any infected files or malware.

- For more information about checksums, see Appendix B, Anatomy of the Transfer Package.

To validate the contents of the transfer, an archivist will typically inspect and review the files themselves (or at least a sample). There are various reasons the Archives may reject a transfer on the basis of its contents. For example:

- The records do not match the description (e.g. they are described as "committee records" but are in fact financial receipts).
- The records are scheduled for destruction rather than archival transfer.
- The records were already previously transferred.
- The files are encrypted or password-protected.
- See the discussion in section 2.1 above for more information about records that are suitable or not suitable for archival transfer.

The Archives will never simply reject a transfer without first contacting you to request clarification, explain our reasoning, or discuss options.

3.2 Ingest

Ingest is the process of committing your transfer to the Archives' digital repository for long-term preservation. An archivist registers the transfer as an **Accession**, assigns it a unique accession number, and processes the transfer through Archivematica, the Archives' digital preservation software.

Archivematica runs a number of actions on the files. Among other things, it:

- Extracts any packages included in the transfer (e.g. uncompresses zip files).
- Assigns a unique ID to each digital object.
- Creates or checks previously created checksums for each object.
- Sanitizes file names (removes any special characters that may cause problems).
- Identifies file formats.
- Extracts technical metadata.

Metadata and a log of all actions are structured according to the [PREMIS data standard](#) and written to a [METS file](#) added to the transfer package. At the end of this process, the package is moved to disk space in the **Backlog storage** component of the Archives' digital repository.

- The Archives' storage spaces are provisioned and backed up by the university's [IT Services department](#).

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4. Completion

Completion is triggered when you receive a **Transfer Completed Notice** from the Archives. This signals that the Archives has accessioned the records into its preservation system and assumed custody and control over them. Retain the Notice for your own files and, if appropriate, delete the records you transferred from your active system. For more information about what happens to the records post-transfer, see Appendix C; this include a section about how to make retrieval requests.

Steps

- 4.1 Receive completion notice
- 4.2 Delete transferred records
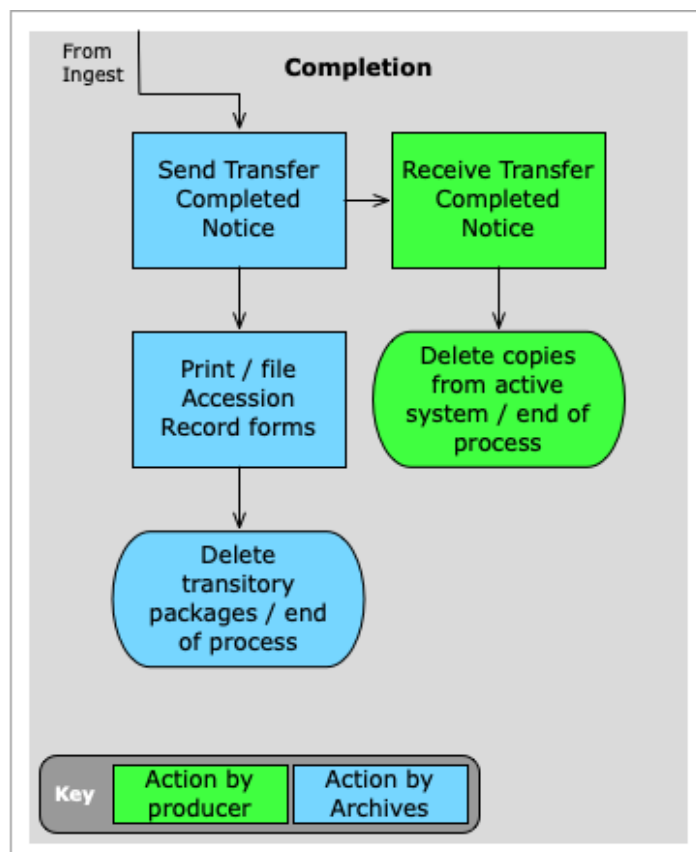
4.1 Receive completion notice

The Archives will notify you by email when it has completed validation and ingest of your transfer.

- The email includes a formal **Transfer Completed Notice** (pdf) as an attachment.
- The Notice includes a list of all files included in the transfer.
- Retain the Notice for your records: you will need to refer to it later if you request a file retrieval (see Appendix C)

4.2 Delete transferred records

The records have now passed into the custody and control of the Archives and can be deleted from your active system. The materials you should delete include:

- The **Transfer folder(s)** you created in step 2.2
- The **Transfer package(s)** created with SFU MoveIt in step 2.3.

For **university departments** deletion ensures that:

- You will not unintentionally re-transfer the same records at a later date.
- You are in compliance with the applicable records retention schedule.
- You minimize the risk of unauthorized access, use or disclosure of any personal or confidential information contained in the records.

Private donors should discuss with an archivist the expectations for donor copies of transferred materials.

- In some cases donors and the Archives may agree that the donor will retain their own copies of digital records transferred to Archives.
- Decisions should be set out in the **Donation Agreement**, but as this is relatively new practice by the Archives older agreements will not explicitly include this.
- If in doubt, contact the Archives to discuss.

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DOCUMENT CONTROL

Version history			
Version	**Date**	**Finalized by**	**Version notes**
4.2	Jan 28, 2021	Richard Dancy	Updated for SFU MoveIt v2; text maintained on GitHub
4.1	Jun 3, 2020	Richard Dancy	Minor editorial changes, corrections.
4.0	May 14, 2020	Richard Dancy	Completely revised for new release of SFU MoveIt (v2). Integrated materials formerly included in GDL-44, SFU MoveIt User Guide (now retired).
3.0	Apr 7, 2017	Richard Dancy	Revised to reflect use of web-form in place of PDF form; control number changed from PRC-57A to PRC-57 (discontinued separate documents for producer / archivist point-of-view).
2.0	Aug 12, 2016	Richard Dancy	Revised to reflect use of SFU Vault as the primary transfer method; extended scope of audience to all producers (SFU departments and private donors); renumbered document PRC-57A (using "-A" code) so that Archives' point-of-view procedures are conceptually linked (as PRC-57B).
1.0	Jul 6, 2016	Richard Dancy	First iteration finalized.