I. Summary & Recommendations

**Charge:** “Using existing documentation from the pilot, and in consultation with A&M participating institutions as needed, prepare an implementation plan for FY17-18 that includes timelines and cohorts or groupings of institutions; Using the materials prepared during the pilot, complete an outline of documentation and training needed for implementation.”

The Archival Collection Management Working Group (ACMWG) was charged with creating an implementation plan for ArchivesSpace on behalf of the Content Creation and Dissemination Team. Building on the results of the ArchivesSpace Pilot in fall 2015, the working group has considered the documentation, training, technical preparation and communication requirements for this project, which is to be completed between July 2016 and June 2018. We spoke with nearly all of the participating institutions individually as part of this process. Feedback from those conversations was an important part in creating the Cohort Assignments and in creating the timeline and other more detailed plans included in this report.

The ACMWG recommends that:

- The project be carried out in four phases: Pre-Migration (Jul-Dec 16); Cohort 1 (Jan-Jun 17); Cohort 2 (Jul-Dec 17); and Cohort 3 (Jan-Jul 2018).
- Cohort assignments be made according to the list in Section II.
● Documentation be created by the ACMWG in the Pre-Migration Phase including: Workflow Overview, Migration Preparation Guidelines, AS Configuration and Permission settings Guidelines; AS Usage Manual. See more detail in Section IV.
● Three training sessions per Cohort be offered: Workflow Planning, Migration, and Usage. See more detail in Section IV.
● Training materials for Cohort 1 be created in the Pre-Migration Phase by the CCD Program Manager in collaboration with the ACMWG; additional training materials to be created for later Cohorts according to the Timeline. See more detail in Section IV.
● Creation of Alliance tools for ingest of AS EAD to AW (already approved) be facilitated by the CCD Program Manager during the Pre-Migration Phase
● A new ACMWG be appointed and given a charge to complete the Pre-Migration phase as soon as possible.

Institutional Implementation of ArchivesSpace per Cohort

<table>
<thead>
<tr>
<th>Category</th>
<th># Institutions</th>
<th>Alliance Hosted</th>
<th>Self-Hosted</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cohort 0: Already Migrated</td>
<td>5</td>
<td>1</td>
<td>4</td>
</tr>
<tr>
<td>Cohort 1: Jan-Jun 2017</td>
<td>14</td>
<td>14</td>
<td>0</td>
</tr>
<tr>
<td>Cohort 2: Jul-Dec 2017</td>
<td>6</td>
<td>6?</td>
<td>?</td>
</tr>
<tr>
<td>Cohort 3: Jan-Jun 2018</td>
<td>4</td>
<td>4?</td>
<td>?</td>
</tr>
<tr>
<td><strong>Total Institutions Migrating</strong></td>
<td><strong>29</strong></td>
<td><strong>25?</strong></td>
<td><strong>4</strong></td>
</tr>
<tr>
<td>Institutions not Migrating</td>
<td>9</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

II. Cohorts

Already Migrated (“Cohort 0”)
Institutions in this cohort either arranged their own access to AS or were part of the pilot.
  1. Boise State University *But may participate in Cohort 3 for legacy metadata
  2. Pacific University
  3. Seattle Municipal Archives
  4. Willamette University
  5. Western Washington University

Cohort 1: Jan-Jun 2017
Institutions in this cohort are either migrating from a relatively “clean” Archivists’ Toolkit instance, or want access to a basic instance of AS without migrating legacy metadata at this time.

1. Concordia University, OR
2. Eastern Oregon University
3. Evergreen State College
4. George Fox University
5. Oregon Institute of Technology
6. Pacific Lutheran University
7. Salt Lake County Archives
8. Seattle Pacific University SPU
9. Seattle University SU
10. Tacoma Public Library
11. University of Puget Sound UPS
12. Western Oregon University WOU
13. Whitman College
14. Whitworth University (access to instance, no AT now)
15. Montana Historical Society (access to instance, beginning legacy metadata migration by hand)
16. Utah State University (access to instance, beginning legacy metadata migration by hand)

**Cohort 2: Jul-Dec 2017**

This cohort includes larger institutions that currently use AT or a similar system, but have a large volume of records and/or a complicated migration path.

1. University of Idaho
2. University of Washington UW
3. Washington State University, Pullman WSU
4. Oregon Health & Science University

**Cohort 3: Jan-Jun 2018**

This cohort includes institutions that are migrating from non-AT systems and need to do more extensive transformations of metadata; or need extra time for institutional resource reasons. Note: several institutions in this Cohort have asked for early access to an “empty” instance of ArchivesSpace, so that they can begin entering new metadata there. For these institutions, access to the instance will begin with Cohort 1, but migration of legacy metadata will occur during Cohort 3.

1. Eastern Washington University
2. University of Montana
3. Lewis & Clark College
4. Utah State. Note: Got access to an instance in Cohort 1, but migrates Access metadata in this cohort
5. University of Oregon
6. *Boise State (already migrated, but needs support for legacy metadata conversions)
7. Montana Historical Society Note: Got access to an instance in Cohort 1, but migrates Access metadata in this cohort
8. University of Utah
### Uncommitted or does not plan to use AS

1. Central Washington University - would like to participate but has resource constraints
2. Lane Community College - would like to participate but has resource constraints
3. Montana State University
4. Oregon Historical Society
5. Oregon State University
6. Seattle Museum of History & Industry
7. Confederated Tribes of Siletz

### III. Timelines

#### Pre-Migration Preparation

<table>
<thead>
<tr>
<th>Month</th>
<th>Activity</th>
</tr>
</thead>
</table>
| Jul-2016| ● CCD shares Implementation Plan to A&M participants (July 1 A&M Update)  
        | ● CCD recruits/appoints New ACMWG members and provides them with a new charge running from Jul-Dec 2016.  
        | ● ACMWG contacts larger institutions that have already been using AS (e.g. Yale, CDL, Harvard, BYU) for feedback and lessons learned, to facilitate planning for larger Alliance institutions  
        | ● ACMWG plans details of August-September work                                                                                                                                 |
| Aug-2016| ● ACMWG members and/or task captains begin pre-migration documentation tasks. (See “Documentation and Training” section below for a list of the documents needed.)  
        | ● CCD Program Manager begins work with LibraryHost and Alliance Business Manager on contracts  
        | ● CCD Program Manager begins coordinating Webinar creation tasks                                                                                           |
| Sep-2016| ● ACMWG continues documentation and webinar creation tasks  
        | ● CCD Program Manager begins coordinating with Alliance Systems staff on creation of AS2AW tool                                         |
| Oct-2016| ● ACMWG continues documentation tasks and webinar creation. Final version of “Workflow Overview” due.  
        | ● Final call for changes to Cohort assignments  
        | ● CCD Program Manager finalizes contracts with LibraryHost  
        | ● CCD Program Manager facilitates setup of an AS listserv for program participants                                                                                     |
| Nov-2016| ● ACMWG: Drafts of all remaining documents due. Drafts put out for comments.  
        | ● CCD Program Manager (plus an assistant from ACMWG?) provides advance                                                                                                                                 |
A training webinar on workflow management using AS.
- CCD Program Manager surveys Cohort 1 institutions + Advance Cohort 3 for the default settings and text they will need in their instances

| Dec-2016 | ACMWG completes documentation tasks. Final versions of all documents uploaded to the Alliance documentation center.  
Instances installed by LH: Cohort 1 + Advance Instances from Cohort 3  
LH/CCD PM configures instances with defaults  
Charge for ACMWG ends. New ACMWG members recruited / appointed by CCD and provided with a new charge running from Jan-Jun 2017, to support Cohort 1 migration and Cohort 2 pre-migration. |

### Cohort 1

| Jan-Feb-Mar 2017 | Trainings (2): Cleanup/Metadata Preparation; Usage of AS  
Cleanup of AT metadata  
Practice using empty AS instances as local sandbox  
Revision of workflows |
| Mar-Apr 2017 | Cleanup & Prep  
Cutoff date for inputting new records into AT  
Actual migration  
COHORT 2 prep work: survey Cohort 2 for default preferences |
| May-Jun 2017 | Post-migration cleanup  
Troubleshooting and making sure usage is working  
COHORT 2 prep work: LH installs instances; LH/CCD PM configures instances with defaults |

### Cohort 2

| Jul-Aug-Sep 2017 | Trainings (2): Cleanup/Metadata Preparation; Usage of AS  
Cleanup of AT metadata  
Practice using empty AS instances as local sandbox  
Revision of workflows |
| Sep-Oct 2017 | Cleanup & Prep  
Cutoff date for inputting new records into AT  
Actual migration  
COHORT 3 prep work: Survey Cohort 3 for default preferences may offer advance training on metadata cleanup for Cohort 3 institutions that are migrating from non-AT systems |
### IV. Documentation & Training Outline

**Documentation**

Note: CCD and/or ACMWG may wish to appoint “task captains” to take ownership of specific sections of this documentation, e.g. 1-2 editors on the Usage Manual sections; 1-2 editors on Workflow; etc.

- **AS Workflow Overview** (highest priority)
- **AT Clean-Up / Migration Preparation Guidelines**
- **AS Configuration settings document** for audiences of both self-hosted and Alliance-hosted AS. Include (minor) attention to defaults for public portal.
- **AS Permission settings Guidelines**
- **AS Usage Manual** for entering content according to Alliance EAD Best Practices. Documentation needed for each module of AS: Accessions, Resource Records, Agents & Subjects, Digital Objects. Note: these can be compiled partially from the AT best practices manual.
- **Short document** on the public side of AS, noting limited support by Alliance

**Training: General Notes**
Combination of recorded webinars + Live Go-to-Training

Recorded trainings vs. live -- what's included in each (recordings: lecture-style content demonstrating how to do things; workshops: work through examples, discuss, check and enhance understanding)

Assuming that the CCD Program Manager is the trainer, she will need partners to assist with creating training content / answering questions

Approximate time per training

The training will be similar to the current Archivist’s Toolkit training, an outline of which follows. Trainees in the AT series have a packet with instructions, workshop materials, and the examples with which they are working. (This training is on the Archives West utility site; when it was produced it was important to not compete with other AT training and to focus on our participating institutions.)

Part 1: Getting Started. Workshop supported by the following recordings:
- DACS and AT
- Installing and upgrading client software
- Repository records
- User records
- Location records
- Implementation choices

Part 2: Subject, Name, and Accession Records. Workshop supported by the following recordings:
- Subject records
- Name records
- Accession records

Part 3: Resource Records (Single-Level). Workshop and recording

Part 4: Resource Records (Multi-Level) and Linking. Workshop supported by the following recordings:
- Resource records (multilevel)
- Linking records

Part 5: Digital Objects. Workshop and recording.

Part 6: Exports, Imports, and Reports. Workshop supported by the following recordings:
- Export
- Report
- Import/data cleanup

Part 7: Additional recordings (watch anytime, as needed)
- Customization
- Assessment
- AT2NWDA tool
The training will also be similar to the current EAD training, an outline of which follows. For this training, participants get what they need from the EAD Training page in the Alliance’s Documentation Center (https://www.orbiscascade.org/training-1/). This training is publicly available though only staff members from institutions that participate in the Archives & Manuscripts Collections Service can attend the training.

Workshop 1: DACS Basics. Workshop supported by the following recording:
   - DACS Basics

Workshop 2: EAD Basics. Workshop supported by the following recordings:
   - EAD Overview
   - EAD Best Practices Overview
   - Minimum Framework

Workshop 3: Component-Level Description. Workshop supported by the following recording:
   - Component Level Description

Workshop 4: Encoding, Submission, and Revision. Workshop supported by the following recordings:
   - ARK Request
   - Compliance Checker
   - Document Submission
   - Encoding Software
   - Revision and Re-Submission
   - Repository Registry

Workshop 5: Workflows. Workshop supported by the following recording:
   - Archivist’s Toolkit Output

Watch Anytime:
   - EAD Best Practices 3.8 Overview
   - Digital Object Linking
   - XML View

ArchivesSpace Training Outline

1. Implementation Choices and Workflow
   Objective: Prepare institutions to make informed choices about how they will use AS to best effect for their institution, with a clear understanding that one size does not fit all
   Audience: Archives managers and staff involved in migration and usage
   Elements:
      a. Recording: Overview of AS Functionality and Modules, including points of integration with other systems
b. Workshop: Discussion of implementation choices using theoretical and real scenarios from participants

2. Migration Preparations
Objective: Prepare institutions by cohort to migrate their content from AT or other systems to AS
Audience: Staff involved in the migration process
Elements:
   a. Recording: DACS basics (use session from EAD training, possibly revised with content from AT DACS training if needed; integrate additional content from RDA)
   b. Recording: Preparing AT for migration
   c. Recording: Migrating from AT to AS
   d. Recording: Preparing Access data for migration
   e. Recording: Migrating from Access to AS
   f. Workshop: DACS basics in action
   g. Workshop: AT to AS preparation and migration

3. Usage
Objective: Prepare institutions to use AS once they make their implementation decisions
Audience: Staff who will be using ArchivesSpace
Elements:
   a. Recording: Repository records
   b. Recording: User records
   c. Recording: Location records
   d. Workshop: Getting Started: repository, user, and location records
   e. Recording: Subject records
   f. Recording: Name records
   g. Recording: Accession records
   h. Workshop: Subject, name, and accession records
   i. Recording: Resource Records (Single-Level)
   j. Workshop: Resource records (Single-level)
   k. Recording: Resource records (multilevel)
   l. Recording: Linking records
   m. Workshop: Resource records (Multi-level) and Linking
   n. Recording: Digital Objects
   o. Workshop: Digital Objects
   p. Recording: Exports
   q. Recording: Reports
   r. Recording: Customization
   s. Recording: Assessment
   t. Recording: AS2AW tool
   u. Workshop: Exports, Imports, and Reports; using the AS2AW tool to upload to AW
In addition, and in accordance with the desires expressed by participating institutions, each cohort will have a listserv for people to share information and ask questions. If desired, and in addition to training, we can host open calls for additional discussion and troubleshooting.

V. FAQ

1. **When will institutions get access to ArchivesSpace?**
   Cohort 1 will have access by January, 2017.
   Cohort 2 will have access by July, 2017.
   Cohort 3 will have access by January, 2017.
   Some members Cohort 2-3 have requested access to an instance before the dates listed above. This can be accommodated with the understanding that the Alliance will not be ready to support the migration of data from their previous systems until their Cohort is in progress.

2. **Will we have access to an ArchivesSpace sandbox before the migration period begins?**
   Yes. A public sandbox (which has some limitations on what elements can be changed) is available online at: [http://www.archivesspace.org/sandbox](http://www.archivesspace.org/sandbox); username/password = admin/admin. Institutions will also have pre-migration access to their own (empty) instance of ArchivesSpace for approximately 2-3 months before the migration occurs.

3. **When is the hosting service fee due for each cohort?**
   This will be determined in the coming months in consultation with LibraryHost and the Alliance’s Business Manager and communicated to institutions. The fee will vary somewhat from the estimates sent to each institution earlier this year for those starting hosting mid-year.

4. **What kind of training is the Alliance planning on offering?**
   Trainings will be offered to each Cohort according to the schedule listed in the timeline in the Implementation Plan. There will be a combination of recorded webinars and live Go-To-Training, including three components:
   A. ArchivesSpace Workflow Overview - appropriate for Archives managers and staff who will migrate into and use AS
   B. Migration Preparation - appropriate for staff involved in the migration process
   C. ArchivesSpace Usage - appropriate for staff who will be using ArchivesSpace
   See the “Training: General Notes” section of the Implementation Plan for more detail.

5. **Who can participate in the training?**
   Any participant in the Alliance’s A&M service will be able to access the recorded webinars and documentation. Attendance in the web-based training sessions will be scheduled on a per-Cohort basis. **Any interested staff from the institution may attend the web-based training that corresponds to their Cohort placement.**
6. **What will the migration process from Archivists’ Toolkit to ArchivesSpace look like in general?**

The process is described on the ArchivesSpace site, [http://www.archivesspace.org/migrations](http://www.archivesspace.org/migrations). Here is a brief overview of the technical steps:

   a. Make sure that your instance AT is backed up and is Version 2.0, Update 15 or above
   b. Clean-up existing records in AT
   c. Make a copy of your existing AT instance. This will be used as the “migration” copy.
      i. This is the last step an institution with Alliance hosting will have to do. Steps D and E will be done for institutions with Alliance hosting.
   d. Copy the AS migration script into your AT plugins folder and run the script. This will harvest your records out of AT into your new AS instance.
   e. If errors occur during the migration: notify LibraryHost (the vendor contracted to host the instances) and ask to re-set your AS instance. Correct errors and repeat step (d) as needed.

7. **For institutions that currently have Archivists’ Toolkit hosted by the Alliance, will the Alliance be running the migration for us?**

The Alliance will take care of steps (a), (c), and (d) from the list above. Individual institutions will be responsible for steps (b) and (e). Basically, tasks that require accessing the back-end of AT will be done by the Alliance, while steps that involve modifying the content of your records will be done by your individual institution.

8. **What will the migration process for non-Archivists’ Toolkit metadata look like in general?**

The migration paths for non-AT metadata vary depending on the type of record.

**To ingest Non-AT Accession Records, the usual steps are:**

   a. Two import methods are currently possible: MARCXML and CSV. The least complex method (CSV) involves exporting or transforming your existing accession records into tabular data (i.e. an Excel spreadsheet or a comma delimited file) and saving it as a CSV file.
   b. Merge your tabular data into the AS accession import template (see example), following the [accession CSV data import map](http://www.archivesspace.org/importexport).
   c. Add entries to any required fields that are blank
   d. Clean up any remaining content issues that you wish to address pre-migration
   e. Using the “Import Data” tool in your AS instance, import the CSV file

**To ingest Non-AT Digital Object records**, the process is similar to Accessions, except that it follows the Digital Object template and data import map.

**To ingest Non-AT EAD, the usual steps are:**

ArchivesSpace provides an EAD import map for importing EAD version 2002 finding aids here: [http://www.archivesspace.org/importexport](http://www.archivesspace.org/importexport)

The following specific steps are accurate as of 6/17/2016 (AS v1.4.2)

   a. When you are ready to import your EAD files, open ArchivesSpace and log in with credentials that can create background jobs.
b. From the home screen, select “Background Jobs” either from the Create menu drop-down or from gear icon drop-down next to your repository name in the top menu.

c. In the Background Jobs screen, click “Create Job.”

d. In the New Background Job screen, choose “Import Data” from the Job Type drop-down menu, then select “EAD” from the Import Type drop-down.

e. Browse to your file using the “Add File” button or drag and drop multiple files into the box provided. When ready to import, click “Queue Job”

Watch a 3-minute screencast here:

Note: Imports often fail the first time and it is often necessary to do some tweaking of your EAD files before they will import successfully.

9. **Is it possible to have multiple repositories in one instance of ArchivesSpace? For example, could you include an Archives and a Museum as two repositories in one instance?**

   Yes, this is possible. The program is built to accommodate multiple repositories under a single institution -- for example, to include multiple Archives and Museum branches under one University Special Collections instance. You can set defaults and control user access to each repository separately. Certain top-level settings (such as the logo for the site) will remain consistent across the repositories; subjects and agent records will also be shared.

10. **How will EAD get ingested from ArchivesSpace into ArchivesWest?**

    The workflow for getting EAD out of ArchivesSpace and ingested into ArchivesWest will parallel the current workflow between Archivists’ Toolkit and ArchivesWest. To summarize:
    - Create a Resource Record in AS following the Usage Manual (to be created Fall 2016)
    - Export the Resource Record as EAD
    - In the Archives West Utility Site, run the EAD file through the AS>AW EAD converter tool (to be created Fall 2016)
    - Check the resulting transformed EAD for errors, then upload to ArchivesWest

11. **What about the public portal side of ArchivesSpace -- is the Alliance supporting its use?**

    The Alliance supports Archives West as our public interface. There are serious deficiencies in the AS public interface, but institutions are welcome to use it if they like.

12. **Can institutions who already migrated on their own, or who are not migrating to AS at this time, still access the Alliance’s documentation and training?**

    Yes, the documentation and training will be available in the Alliance’s Documentation Center.

13. **What does the Digital Object module in AS do?**

    The DO module in AS is essentially the same as that in AT. It hosts digital object metadata only and is not a digital asset management system. It assumes that you have a DAM to manage and
make accessible the digital objects themselves.

14. **How do you do the Collection-level digital object links for AW purposes?**
    AS does not support collection-level digital object links. We will look into other options, but institutions may have to insert these post-export.