

Archival Planning: A Guide

Assigning roles and responsibilities

While the PI of any ATE project or center is ultimately responsible for data management and archiving efforts, identifying a staff person to oversee day-to-day archival activities streamlines workflow and will likely result in a more cohesive approach to managing your materials. This person need not be the project/center PI and may be someone else in the organization. Regardless of who is selected as archiving specialist, it is important to define this person's role and communicate that role to others. Responsibilities will surely differ by project or center. A few sample responsibilities are listed on the [Archival Planning Worksheet](#) to help get you started.

Goals

Your archiving goals might cover a number of areas, such as compliance, accountability, availability, transparency, integrity, disposition, retention, or protection. A few sample goals are provided on the [Archival Planning Worksheet](#); your goals may be similar or perhaps even more strategic in nature.

Schedule

Once you've selected your archiving specialist and have identified your archiving goals, consider what types of materials you will generate over the course of your grant and draw up a basic archiving schedule. Schedules will differ significantly by project and center.

Most projects and centers will create materials that fall within one or more of the following areas: assessment, instruction, reference, or professional development; each will also create materials that are administrative in nature. Some materials may fit into more than one category, while other materials won't fit into any single category, and that's perfectly fine. The goal is simply to group like materials in a way that will guide your archiving specialist's decision making.

In your schedule, give a brief explanation of each type of material, who maintains the material described, and when you intend on archiving each type of material.

Sample Archiving Schedule

Record Type	Description	Custodian	Submission Deadline(s)
Instructional	Materials, such as syllabi and lectures, created for courses BIO 101 and BIO 202	Course instructors	End of Y2
Professional development	Workshop materials, such as presentations and handouts, created for new instructors	Course coordinator	Week after new faculty orientation
Administrative	Records, including proposals, handbooks, and other process documentation	Administrative assistant	By final reporting

Once your archiving specialist has an idea of what to collect, (s)he can use this schedule to keep more thorough documentation as your project progresses (see Sample Spreadsheet).

Remember, ATE Central isn't your only choice for storing your materials, even if archiving certain materials with ATE Central is required of your project or center. In fact, you may have some valuable materials that ATE Central doesn't currently collect, such as posters or flyers. We aren't preserving this material, but that doesn't mean it's not worth saving. Your institution might offer additional options, such as an institutional repository. Take advantage!

Review

Like with any project, it's a good idea to review your schedule with some frequency and to double-check that you've done what you set out to do by the end of your funding cycle. Adding a regular review process to the body of your plan will help your archiving specialist keep on track.

Archival Planning Worksheet

(For help completing this worksheet, please review *Archival Planning: A Guide.*)

Project/Center Name: _____ Award #: _____

Archiving Specialist: _____

Email: _____ Phone #: (____) ____ - _____

- Sample Archiving Specialist Responsibilities**
- Develops, implements, and maintains a workflow to support archiving efforts
 - Acquires, organizes, documents, and stores materials for archiving
 - Manages rights information and affixes licensing terms, as appropriate
 - Serves as point person for project/center staff and transfers materials to ATE Central or other repository in accordance with the archiving schedule
 - Reviews archival records after submission to ATE Central or other repository

- Sample Goals**
- Ensure that archiving efforts meet the NSF ATE archiving requirement
 - Maintain the integrity of archival materials by preserving contextual information for all resources
 - Implement a workflow that allows for a timely and efficient transfer of all identified materials to ATE Central or other sustainable repository
 - Ensure that personal or sensitive information is properly protected

Sample Archiving Schedule Template

Record Type	Description	Custodian	Submission Deadline(s)
Assessment			
Instructional			
Reference			
Professional Development			
Administrative			
Other			

Sample Review

Project/center staff will review this plan every ____ year(s) and update it as necessary. Archiving activities for this project/center are scheduled for completion by _____.

Archiving Checklist

Completing ATE Central's *Archiving Checklist* is the first step in preparing for long-term storage of your valuable resources. This checklist is not meant to be comprehensive; rather, it highlights key questions that may help you plan your archiving activities.



Get informed

- Have you read the NSF ATE RFP?
- Are you familiar with ATE Central's Archiving Service?
- Are you familiar with the various licensing agreements available to copyright holders?
- Do you feel that you are sufficiently informed about starting the archival planning process? If not, whom else might you talk to?



Assign roles and responsibilities

- Have you selected a point person to be your archiving specialist?
- Have you documented the archiving specialist's responsibilities?
- Have you communicated that person's role to staff and other project/center partners?



Plan your archiving activities

- Have you set archiving goals?
- Have you identified which materials are suitable for archiving and where they should be stored?
- Have you created an archiving schedule to use as a guide?
- Have you shared your archiving schedule with ATE Central?



Develop a workflow

- Have you thought about when/how the archiving specialist will solicit materials from the appropriate custodian and where archival materials will be stored internally before submission to the appropriate archive?
- Have you determined what information is needed to preserve the integrity of your archival materials over time?
- Have you prepared a spreadsheet (or other tool) to document which materials have been archived, under what licenses/terms those materials were released, and where those materials are stored?



Follow-up

- Have you established a review process for your archiving schedule and submission process?
- Have you set an archiving deadline for your project or center?
- Have you verified that all of your materials are accessible via ATE Central and reviewed the archival records for accuracy?

Sample Spreadsheet

	Resource	Format	License/ Restriction	Quantity	Date Submitted	Date Checked
Assessment ¹						
Instructional ²	Lectures	ppt	CC BY	12	10/1/2018	10/15/2018
	Lesson plans	pdf	CC BY-NC-SA	15	10/1/2018	10/15/2018
Reference ³						
Professional Development						
Administrative ⁴						
Other	Recruitment flyer	png	None	1	10/1/2018	Pending

Notes:

Not collected by ATE Central:

- Drafts
- Emails or other correspondence
- Raw footage
- Student work
- Un-aggregated data

¹ **Assessment:** Answer key, rubric, test, etc.

² **Instructional:** Activity, case study, course, curriculum, demonstration, experiment, game, instructor guide, lecture, lesson, model, presentation, problem set, project, simulation, syllabus, textbook, tutorial, etc.

³ **Reference:** Article, bibliography, career information, FAQ, periodical, report, etc.

⁴ **Administrative:** Best practice guide, dataset, form, manual, policy, report, survey, etc.