

CRAFTING A DIGITAL PRESERVATION POLICY

WHAT DO YOU NEED TO KNOW?

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ACKNOWLEDGEMENTS

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THE BIG PICTURE

Framework

Digital Preservation Plan

Digital Preservation Policy

Specific policies

Technical
Documentation

Training Materials

WHY A POLICY?

- State your commitment to digital records
- Gives you a road map as to the “what”
- Stands throughout transitions and staff changes
- Helps to embed digital preservation as part of your agencies workflow instead of being “other” and “when we get to it”.

CONSIDERATIONS

- Decide what kind of repository you will have
 - Service to others
 - internal to your institution's records
- Determine if this is an “add-on” to your work or is it a continuation of statutory obligations
- Determine how comprehensive you want it to be
- State goals without stating the technology used

MUST HAVES

- Mission/Purpose
 - Defines why document exists and what it addresses
 - Refers to other documents that are part of your strategy
- Audience
 - Defines to whom the policy is addressed. Carefully consider both your internal and external audiences
- Updates
 - How often will you commit to review of the policy and how will you alert people that it has been updated?

MUST HAVES

- Objectives

- What will your repository do? What will it not do?
 - OAI compliance, access too or just preservation, just bit level protection or also other preservation actions

- Authority

- Open to all or just a defined group of people.

- Scope

- Need to define what you will commit to in terms of records/information and perhaps even what levels of commitment.

MUST HAVES

- Responsibilities

- Define what your repository will do with the digital content (at a high level)
- e.g., authentication, fixity checks, virus checks, dispersed copies

- OAIS/ISO 16363 (Trusted Digital Repositories)

- To what degree will you attempt to comply with standards?

- Collaborators

- Will you commit to collaboration and is it important to name the who?

MUST HAVES

- Transfer Requirements/Acceptance of content
 - Do you want to say you will only accept records in a certain format if transferred or will you be flexible?
- Restrictions/Redactions
 - Will your repository perform these duties or does that fall to other staff?

OPTIONAL

- Physical facilities
 - physical security, maintenance of hardware
- Personnel
 - Training, level and skills of staff
- Uniform Electronic Transaction Act (UETA)

POLICY EXAMPLES

- Mary Beth Herkert—Oregon State Archives
- Matt Veatch—Kansas Historical Society

Standard

Mission/Purpose

Defines why the document exists, what it will address, and by what authority you are doing it.
States related documentation (e.g., digital preservation plan, lower-level specific policies)

Audience/Designated Community

Indicates to whom the documented is directed (internal and/or external audiences).

Updates

How often will you commit to reviewing the policy and making updates? Once a year, once every # years?

Objectives/

What is your institution committed to having the repository do? What will it not do?

What aspects of the curation cycle will the repository be responsible for? Access, as well as preservation?

Will the repository normalize files; will it preserve the original bitstream; will it create dissemination derivatives (DIPs)? If the repository is responsible for access, what will be the level of service. Will items be available immediately upon request? If not, what is the time frame for access?

Authority to Access/Request

Will the repository be open to any and all requesters? Or are only certain authorized entities allowed? List out these entities by job function or role, not by name.

Scope

Define what content your repository will have (e.g., born digital and/or digitized; government records and/or private materials; permanent records and/or records with retentions 10+ years).

Define what you will do with material you do not accept.

Responsibilities

Define responsibilities at a high level but do not go into detail--authentication, virus checking, fixity checking, dispersed copies. Do not list specific methods or technical to accomplish.

Define roles and responsibilities via job title of different positions that interact with the repository; do not use personal names, use position titles.

Compliance with OAIS/ISO 16363

Define if your repository will conform to OAIS or ISO 16363, or to what degree it will attempt to conform (e.g., NC said it would try to comply recognizing that many issues are out of our control. Kansas points out that they will get an external auditor every 3 years).

Collaborators and Partners

Define stakeholders in ensuring the viability of the repository; acknowledge who will contribute to the repository and who can support your business case.

Transfer/Acceptance of Content

Acknowledge if the repository will require content to be submitted in a certain format (SIP); define what you will do if you receive content that does not conform. Define how you will handle if content is removed from the repository (e.g. legal) and then resubmitted to repository.

Restrictions/Redactions

Indicate whether the repository will manage the identification, control, and auditing of restricted records (e.g., confidential records). Avoid specifying technology that will be used to accomplish these activities.

Optional

Physical facilities

Temperature, access, compliance with IT Architecture

Personnel

Background checks.

Uniform Electronic Transaction Act (UETA)

Compliance with UETA if your state has adopted it

RESOURCES

- PERTTS Portal (upcoming)
- “Analysis of Current Digital Preservation Policies: Archives, Libraries and Museums” (8/13/2013) - LOC report
 - <http://www.digitalpreservation.gov/documents/Analysis%20of%20Current%20Digital%20Preservation%20Policies.pdf>
- “Digital Preservation Policies: Guidance for archives” (2011) - UK National Archives policy guidance
 - <http://www.nationalarchives.gov.uk/documents/information-management/digital-preservation-policies-guidance-draft-v4.2.pdf>
- “Concepts for Developing Digital Preservation Policies” – Archives of Canada
- “Preservation Policy Template” - (10/15/2010) - MetaArchive Cooperative
 - http://metaarchive.org/public/resources/pres_comm/policy_planning/Digital_Preservation_Policy_Template.pdf
- *ISQ* “Special Issue: Digital Preservation” (Spring 2010) - National Information Standards Organization (NISO)
 - http://www.niso.org/apps/group_public/download.php/4250/FE_Bishoff_Digital_Preservation_Plan_isqv22no2.pdf
- North Carolina listing of state policy links
 - <http://digitalpreservation.ncdcr.gov/policiesbystate.html>

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