

# Digital Preservation Policies as Tools for Accountability, Compliance, & Clarity

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# Who am I?



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What is avp ?



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# Maximize the value of your assets

AVP is an information innovation firm. We offer consulting and software development services to help organizations transform how they protect, manage, and use data and digital assets.



In a remote world, strong data management is more important than ever.



## Save time

Increase productivity by having all of your digital assets organized and tagged



## Reduce risk

Enable effective digital asset usage through rights management and data security.



## Engage audiences

Expand your reach by using data assets in new and innovative ways



**David Agudelo-Frankel**  
Full Stack Software Engineer



**Shawn Averkamp**  
Senior Consultant



**Rebecca Chandler**  
Senior Consultant



**January Jones**  
Director of Client Engagement



**Chris Lacinak**  
Founder and President



**Bertram Lyons**  
Managing Director, Software



**Judith Pomerantz**  
Bookkeeper



**Vida Powell**  
Executive Assistant



**Becca Roberts**  
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**Estus Taylor**  
Customer Success Manager



**Jeremiah Ufot**  
Software Engineer



**Jason Ulsh**  
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**Kara Van Malssen**  
Managing Director, Consulting



**Pamela Vizner**  
Consultant



**Kerri Willette**  
Senior Consultant and Aviaary  
Product Manager

We're an innovative group of information professionals specializing in data management and software development.

We have decades of experience with:

- Digital preservation
- Technology selection/acquisition
- Technology implementation
- Digital asset management (DAM)
- Facilitation (workshop, meeting)
- Policy and strategy development
- Software development
- Data management
- Digitization support
- Physical collections assessment
- Audiovisual format support

... and more!

**DP  
Assessments &  
Workshops**



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**Digital  
Preservation  
Go!**



[blog.weareavp.com/dpgo](http://blog.weareavp.com/dpgo)

**DP Systems  
Acquisition &  
Implementation**



[www.weareavp.com/digital-preservation/](http://www.weareavp.com/digital-preservation/)

**FixityPro**



[www.weareavp.com/products/fixity-pro/](http://www.weareavp.com/products/fixity-pro/)

**Software  
Development**



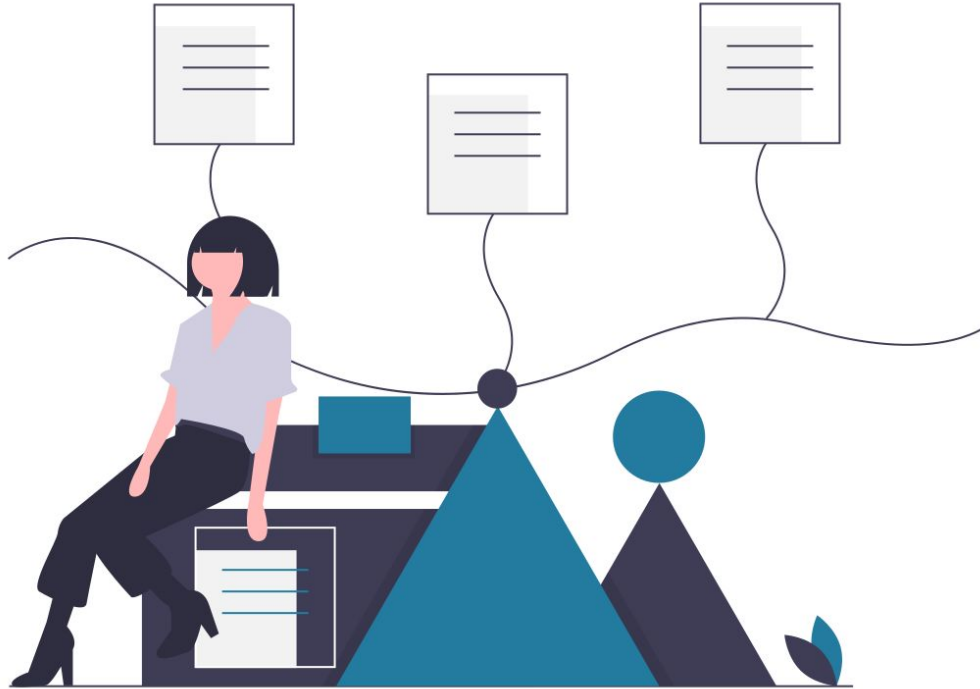
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**Data  
Management**

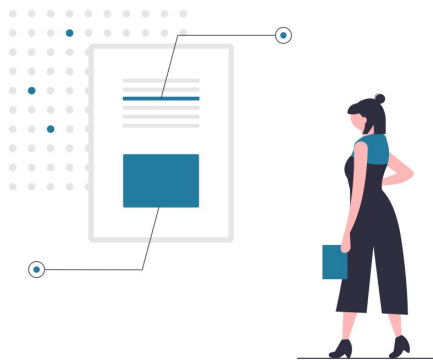


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## A brief story



# What do we mean by policies?



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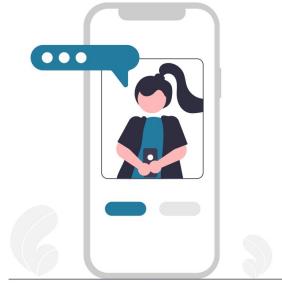


# Policy

(from Wikipedia)

Policy is a deliberate system of guidelines to **guide decisions** and **achieve rational outcomes**. A policy is a **statement of intent** and is implemented as a procedure or protocol. Policies are generally adopted by a **governance body** within an organization.

# Policies



Internet and email policy

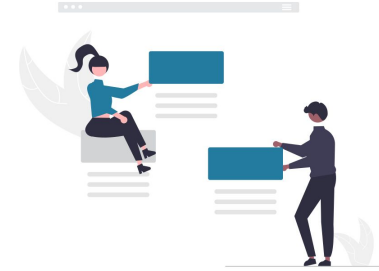
Mobile phone policy



Smoking policy

Drug and alcohol policy

Health and safety policy



Anti-discrimination and harassment policy

Code of conduct



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ORGANIZATIONAL  
INFRASTRUCTURE

POLICY  
FRAMEWORK

SERVICES

TECHNICAL  
INFRASTRUCTURE

Mission

Staffing

Collection Policy

Legal

Preservation Policy

Selection policy  
Roles & responsibilities  
Preservation level commitments

Ingest  
Procedures

Requirements  
Workflows

Bitstream Preservation  
Procedures

Backup & replication  
Integrity management  
Disaster recovery

Content Preservation  
Procedures

Format ID & monitoring  
Significant properties ID & monitoring  
Technology monitoring

Storage

Security

# Types of digital preservation-related policies

Deed of Gift

Digital Collections Disaster Recovery

Digital Collections Preservation Scoping

Digital Preservation

Digital Preservation Storage

↔ Integration

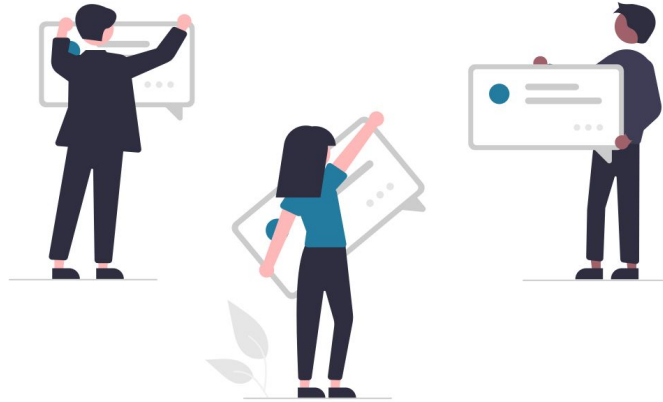
Migration & Normalization

Records Management

☀ Sustainability



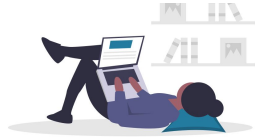
# Policies support accountability, compliance, & clarity



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# Clarity

Written for an intended audience at a level they understand



Decisions based in fact, well reasoned



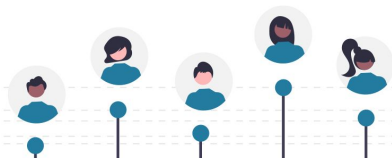
Concise, only contain what is necessary



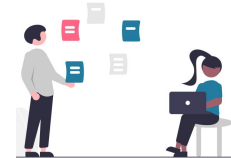
Documented  
("on paper")



The same information  
for everyone

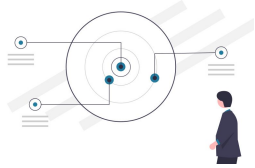


Appropriately broad  
distribution, no excuse  
for not knowing



# Compliance

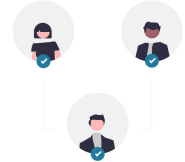
Provide guidance for what & how



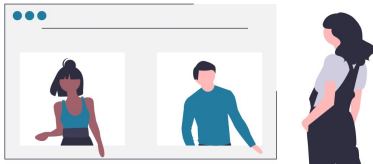
Set goals for stakeholders



Shaped by your org's specific needs



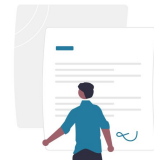
Communicate best practice



May communicate what happens if not followed

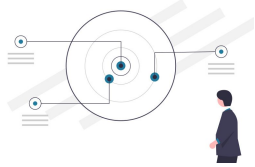


Formal organizational approval / sign-off



# Accountability

Work is performed accordingly



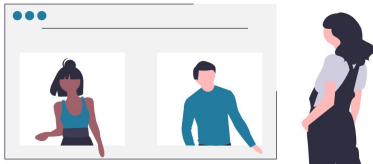
Individuals behave accordingly



Technology is used accordingly



Frequent review



Frequent analytics / reporting



Adhered to by all stakeholders





# Digital Preservation

Deed of Gift

Digital Collections Disaster Recovery

Digital Collections Preservation Scoping

**Digital Preservation**

**Digital Preservation Storage**



Integration

Migration & Normalization

Records Management



Sustainability

# Digital Preservation Policy

## **Mission Statement / Mandate**

*What is the Library's mission with regard to digital preservation?*

## **Terminology**

*Common digital preservation terms, local terminology, and local definitions of concepts such as SIPs and AIPs.*

## **Principles**

*What are the high-level principles that the Library aims to adhere to (e.g., compliance with specific standards, monitor threats, revisit policy annually, support researchers and faculty)?*

## **Content Scope / Collection Policy**

*What content does this policy apply to? What (and whose) content does the Library take responsibility for preserving? What does it not?*

## **Stakeholder Roles and Responsibilities**

*What is the role of the Library? Campus IT? Others? Who is responsible for what aspects of the preservation program? Which Library units are involved?*

## **Preservation Levels**

*Does the Library provide bit-level preservation only? Are there classes of content that the Library would take on future migration or emulation responsibilities for?*

## **Storage**

*What does the Library commit to with regard to the number of redundant copies, backup frequency, etc.? What is the frequency of backups? Is there a retention schedule for backups? What approach to storage does the Library take? On-site, off-site, hybrid? Why?*

## **Retention Periods**

*Are there extant policies to which you can point about retention requirements? Are there limits to how long assets can be maintained? Is there a review period? How is that determined?*

## **Access and Use Criteria**

*What are the access criteria? Who has access / how is it controlled?*

## **Governance and Institutional Commitment**

*Who is responsible for oversight of this policy, its enactment, enforcement, and ongoing organizational support?*



# Digital Preservation Storage Policy

- **Number of Copies**

*How many copies?*

- **Locations**

*Where are copies stored?*

- **Devices**

*What are the specific devices?*

- **Backups**

*How often? Who is responsible?*

- **Inventories**

*What are you storing? Does this affect any of the other sections?*

- **Fixity**

*Do you do it? Why or why not? How often?  
Who is responsible?*

- **Repair and Response**

*What do you do if a fixity issue arises?*

- **Fixity Algorithm**

*What fixity algorithm do you use?*

- **Responsibility for this policy**

*Who is the author of this policy? Who is responsible for maintaining this policy?*



# My organization is Policy averse. What should I do?

Call them little-p policies (or guidelines), but go through the acceptance process.

Get as much documented approval / support as possible.

With internal stakeholders (e.g., digital preservation staff) use the guidelines as though they were policies.

Try to stay away from eternally draft policies.



# Your next steps

## **Review policies if you have them**

Are they up to date? Who is responsible for maintaining / enforcing them?

## **Draft policies if you don't have them**

This process will help you consolidate and document thinking; move your program from technology focused to human centered.

## **Discuss policies**

Don't hide them away. They aren't useful if they aren't used

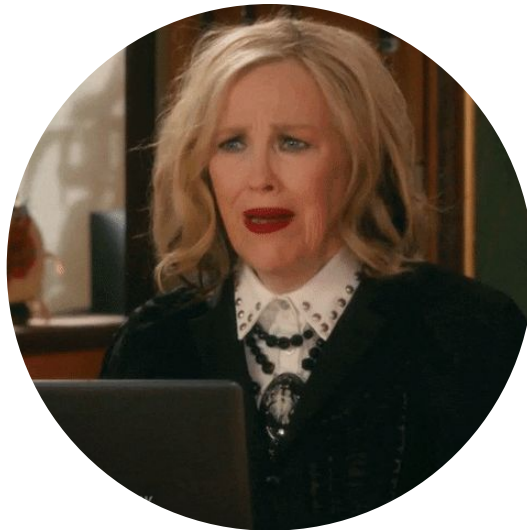
## **Use policies**

See "Discuss policies" above

## **Assess policies**

Review your policies annually.





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