Digital Preservation Policy Development

Sharon McMeekin

Head of Training and Skills

Digital Preservation Coalition

What is a Policy?

DigitalPreservationCoalition

"A course or principle of action adopted or proposed by an organisation or individual" (OED)

- Written representation of the aims and objectives
- Sets the environment for all other activities
  - Framework for Business Plan/Strategy
- Influenced by many things: environmental, political, technical, financial and legal issues
- Should be flexible and subject to regular review
- Difficult to make policy in new & developing areas

What is a Digital Preservation Policy?

A digital preservation policy is the mandate for an archive to support the preservation of digital records through a structured and managed digital preservation strategy

The National Archives

A digital preservation policy facilitates the effective management of the digital records ensuring the organisation is able to carry out its mandated functions

InterPARES Project
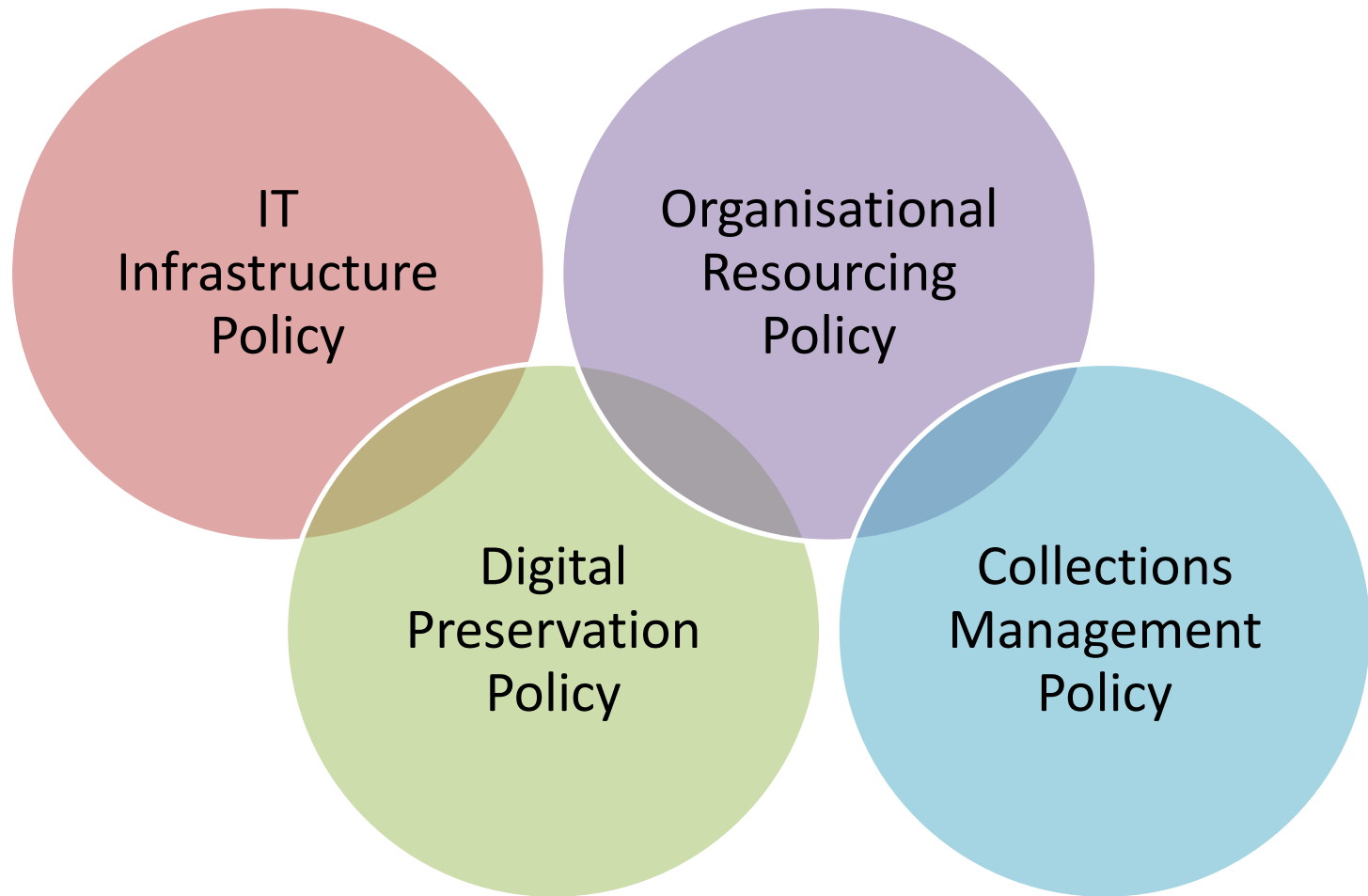
Digital Preservation Policy

The organisation's aims and objectives about the long term care of digital objects

- Preservation strategies and acceptable actions
- Decisions about the digital objects (formats, metadata)
- Standards
- Who the material is being preserved for
- Resourcing
- Responsibilities

Part of Wider Policy Landscape

DigitalPreservation**Coalition**

IT Infrastructure Policy

Organisational Resourcing Policy

Digital Preservation Policy

Collections Management Policy

Digital Library Ref Model

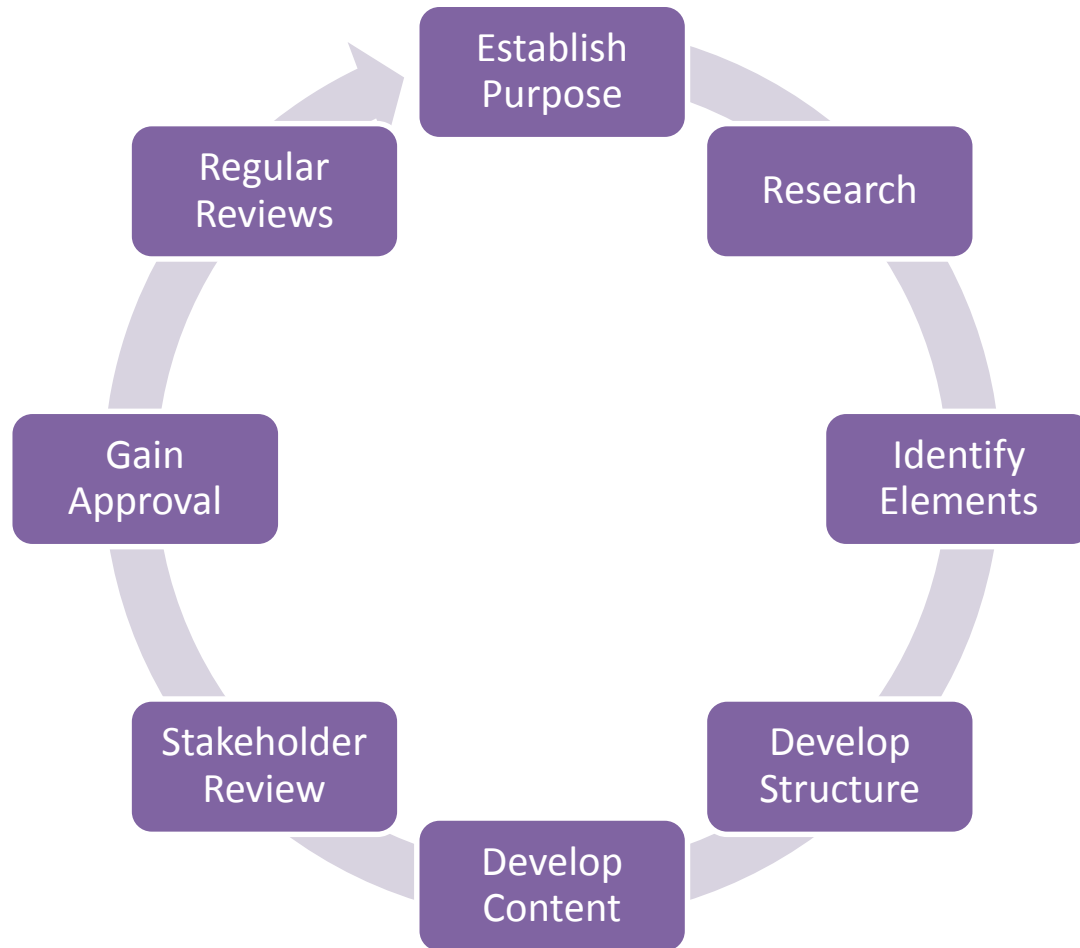Figure II.2.16. Policy Domain Concept Map: Policies' Hierarchy

Benefits of Developing a DP Policy

- Helps to raise awareness of digital preservation

- Guide staff in their activities related to DP

- Supports decision making

- Helps support a business case for DP solutions

- Gains buy-in from senior management

- Solidifies commitment of the institution/organisation

Developing Your Policy

DigitalPreservation**Coalition**

- Establish Purpose
- Research
- Identify Elements
- Develop Structure
- Develop Content
- Stakeholder Review
- Gain Approval
- Regular Reviews

Jisc Digital Preservation Policies Study

- Outline model for DP Policies

- Analyse role of DP in supporting and delivering key strategies for HEIs

- Produced two tools:
  - Model/framework
  - Mappings to other institutional policies/strategies

- http://www.jisc.ac.uk/publications/reports/2008/jiscpolicyfinalreport.aspx

Our digital memory accessible tomorrow
@SharonMcMeekin
sharon@dpconline.org
www.dpconline.org

What Your Policy Should Contain

- Principle Statement
- Contextual Links
- Preservation Objectives
- Identification of Content
- Procedural Accountability
- Guidance and Implementation
- Glossary
- Version Control

- Financial and Staff Responsibility
- Intellectual Property
- Distributed Services
- Standards Compliance
- Review and Certification
- Auditing and Risk Management
- Stakeholders
- Preservation Strategies

DigitalPreservationCoalition

SCAPE Project

- Particular focus on policy relating to preservation actions

http://www.scape-project.eu/deliverable/d13-1-final-version-of-policy-specification-model

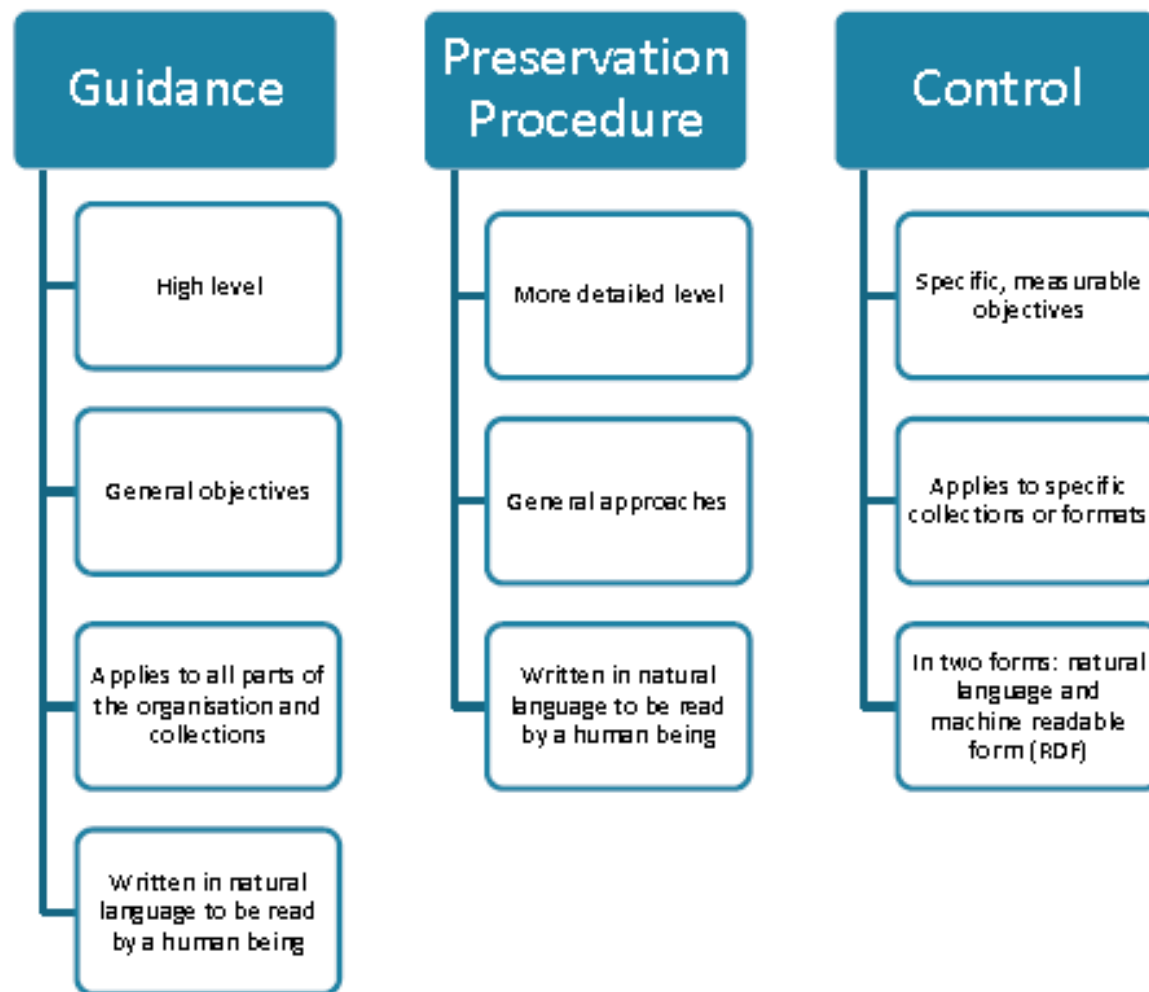- Defined set of policy levels

- Catalogue of policy elements

http://wiki.opf-labs.org/display/SP/Policy+Elements

- List of policies available online

http://wiki.opf-labs.org/display/SP/Published+Preservation+Policies

SCAPE Policy Levels

Guidance

- High level
- General objectives
- Applies to all parts of the organisation and collections
- Written in natural language to be read by a human being

Preservation Procedure

- More detailed level
- General approaches
- Written in natural language to be read by a human being

Control

- Specific, measurable objectives
- Applies to specific collections or formats
- In two forms: natural language and machine readable form (RDF)

SCAPE Policy Elements

1. Authenticity
2. Bit Preservation
3. Functional Preservation
4. Digital Objects
5. Metadata
6. Rights
7. Standards
8. Access
9. Organisation
10. Audit and Certification

APARSEN Project

- Analysis of policies in Cultural Heritage and Research sectors

- Based on desktop research and survey

- Produced a set of 15 recommendations for data policies

- Final report:
  - http://www.alliancepermanentaccess.org/wp-content/uploads/downloads/2014/06/APARSEN-REP-D35_1-01-1_0_incURN.pdf
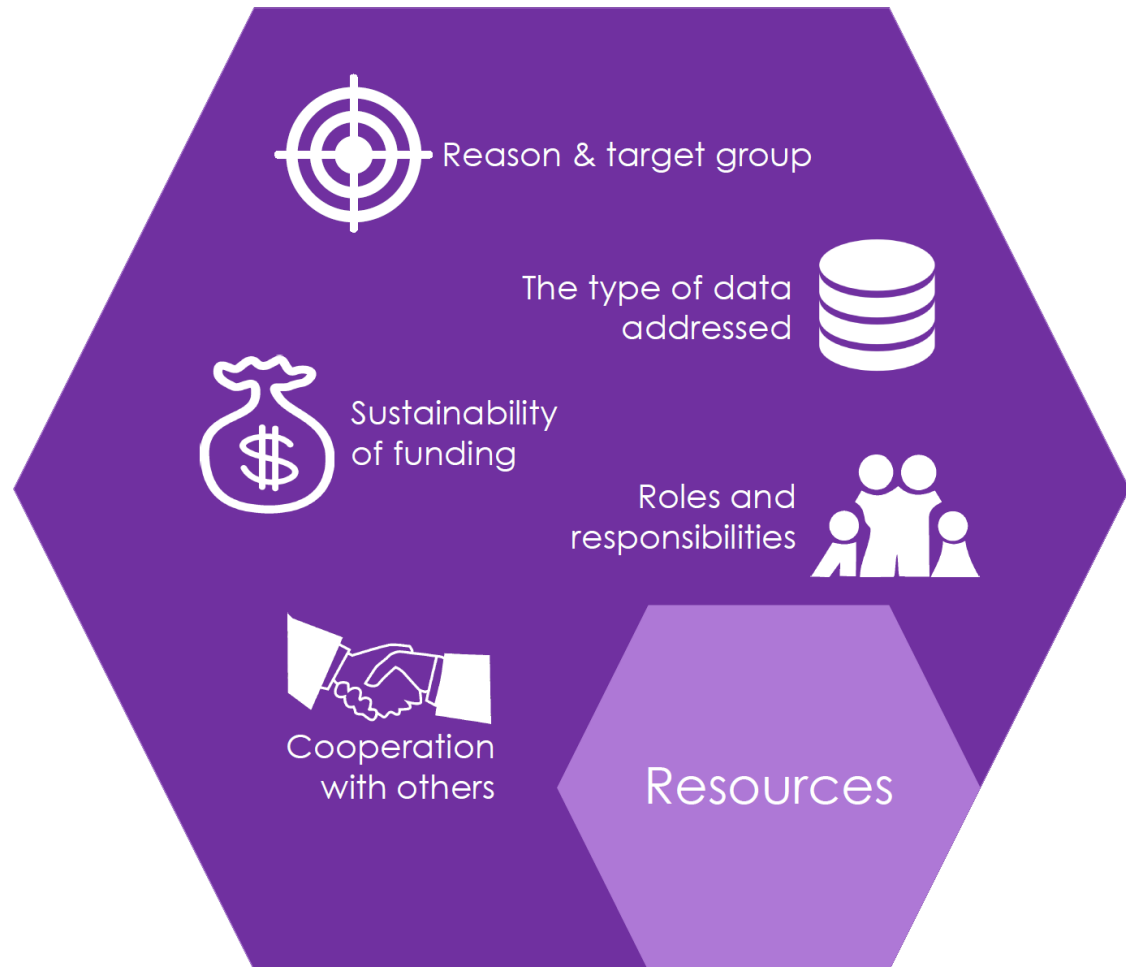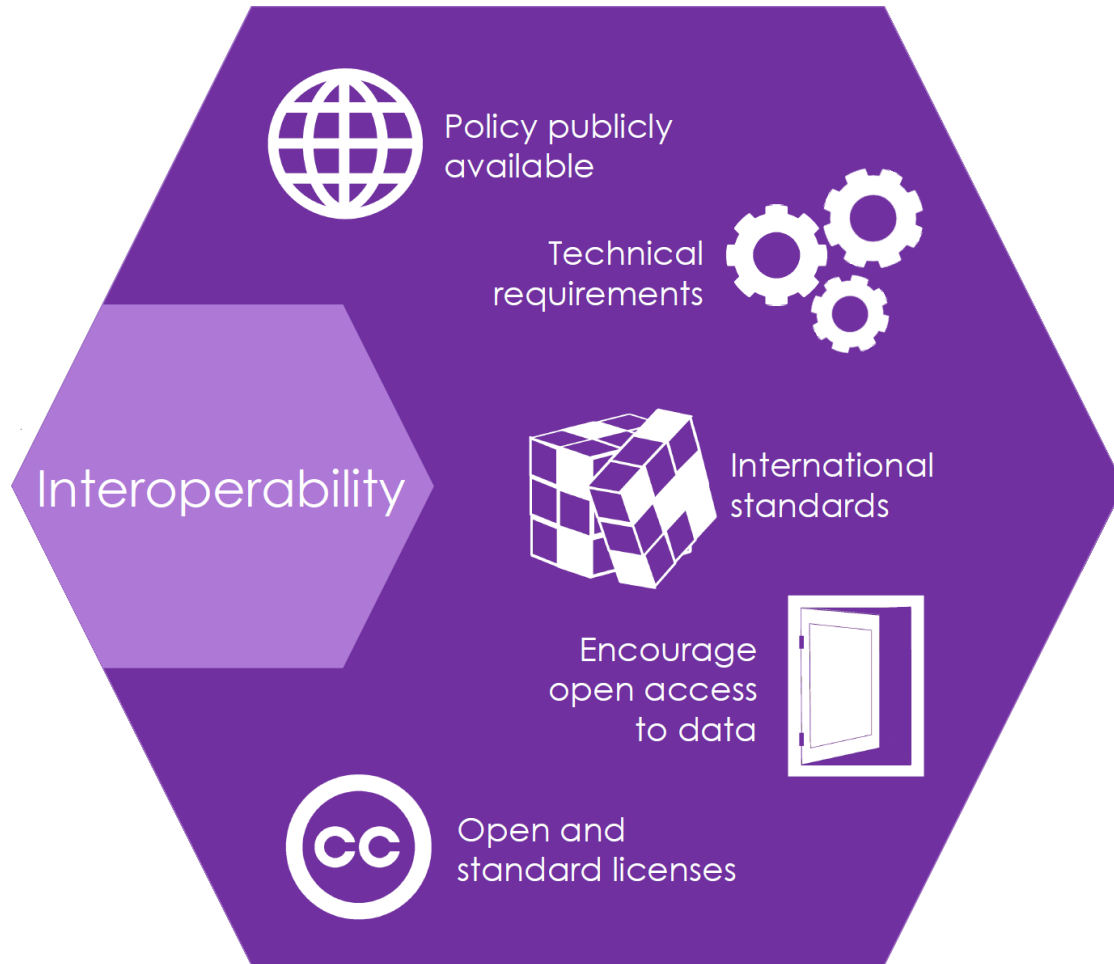
Recommendations for Preservation Policies
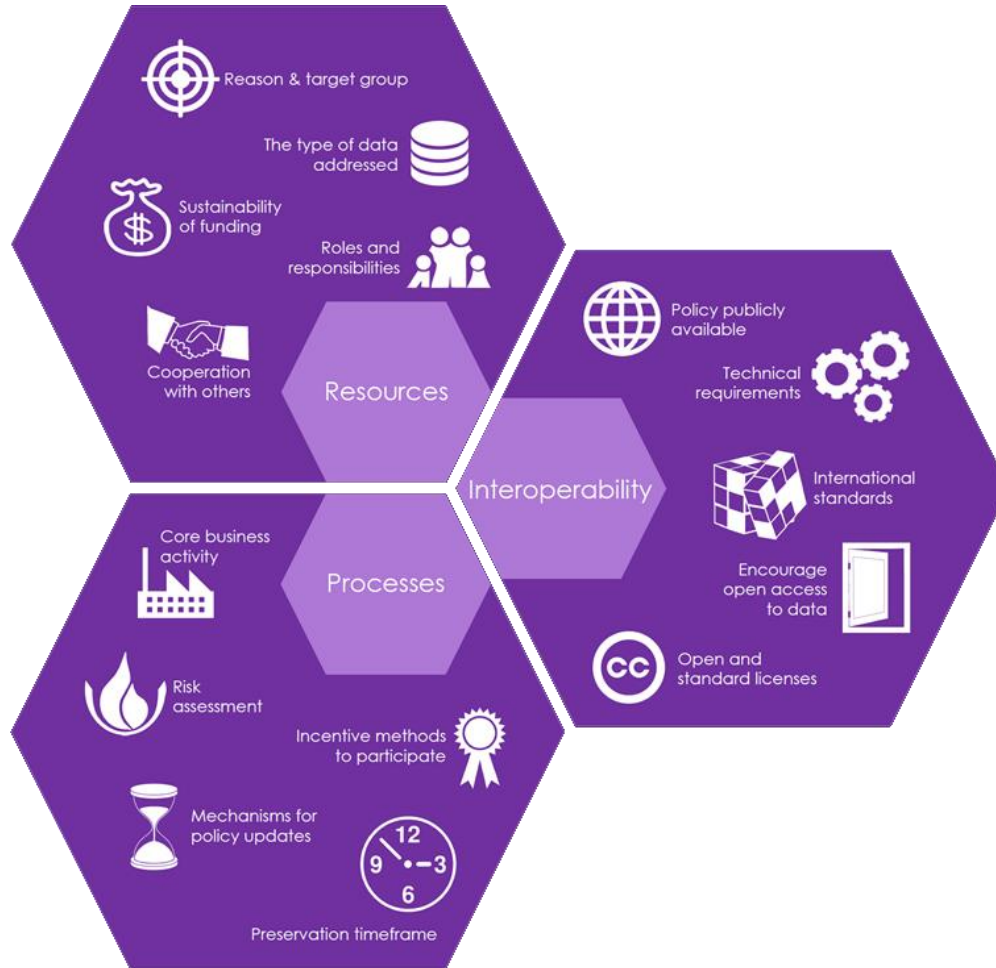
Resources

1. Reason and Target Group
2. Type of Data Addressed
3. Sustainability of Funding
4. Roles and Responsibilities
5. Cooperation with Others

Reason & target group

The type of data addressed

Sustainability of funding

Roles and responsibilities

Cooperation with others

Resources

Interoperability

Policy publicly available

Technical requirements

Interoperability

International standards

Encourage open access to data

Open and standard licenses
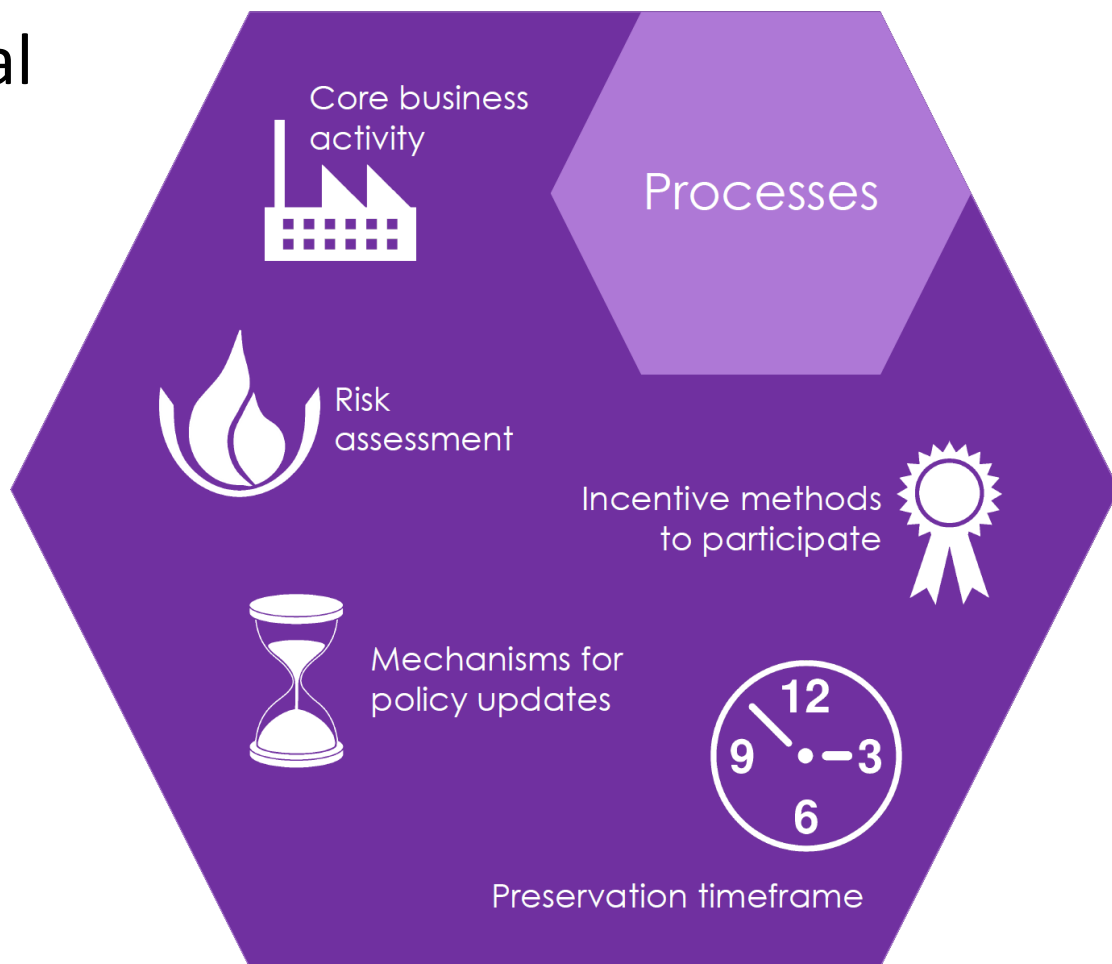
1. Availability of Policy
2. Technical Requirements
3. Standards to be Used
4. Access to Data
5. Copyright and Licencing

Processes

1. Place in Organisational Activities
2. Risk Assessment
3. Incentives to Participate
4. Policy Updates
5. Preservation Timeframe

Library of Congress

- Analysis of available preservation policies

http://blogs.loc.gov/digitalpreservation/2013/08/analysis-of-current-digital-preservation-policies-archives-libraries-and-museums/

- Taxonomy of topics covered

- Short report with lots of additional resources!

LoC Taxonomy

1. Access and Use
2. Accessioning and Ingest
3. Audit
4. Bibliography
5. Collaboration
6. Content Scope
7. Glossary/Terminology
8. Mandates
9. Metadata or Documentation
10. Policy/Strategy Review

11. Preservation Model/ Strategy
12. Preservation Planning
13. Rights and Restriction Management
14. Roles and Responsibilities
15. Security Management
16. Selection/Appraisal
17. Staff Training/Education
18. Storage, Duplication, and Backup
19. Sustainability Planning

DigitalPreservationCoalition

- TNA - DP Policies: Guidance for Archives
  - Includes why important
  - Links to examples

http://www.nationalarchives.gov.uk/documents/information-management/digital-preservation-policies-guidance-draft-v4.2.pdf

- DCC Policy Tools and Guidance

http://www.dcc.ac.uk/resources/policy-and-legal/policy-tools-and-guidance/policy-tools-and-guidance

- Handout with elements from 4 key resources
- Consider how they might apply to your organisation
    - Select one? Mix and match?
- Start to arrange into the order they might appear in a policy
- If you have time, note down a few points you would include in your policy