NATIONAL ASSESSMENT OF NEED

SURVEY FORM FOR RESPONSE FROM DPC MEMBERSHIP

This survey form is designed to gather information from Digital Preservation Coalition members, to inform the next stages of the proposed DPC **UK national needs survey on digital preservation**. Your co-operation in helping to complete the first stage of this important project is appreciated.

Introduction from Lynne Brindley, CEO, British Library and Chair of the DPC Board

Making progress with the DPC National Assessment of Need – Survey Form

Two key strategic goals of the Digital Preservation Coalition are that it should promote digital preservation among key stakeholders, and act to increase funding for the nation's investment in digital resources. To help achieve these, the DPC business plan has identified a *UK national needs survey on digital preservation* as a crucial deliverable. We propose to develop this as a project in association with members and others, and to seek additional funding to support its completion.

Clearly a lot of information on digital preservation needs exists already. But it needs to be assembled, coordinated and analysed.

Also more information needs to be gathered. In particular, our initial work on this suggests that the information that does exist is – understandably enough – largely to do with the technological and curatorial aspects of digital preservation. There is almost nothing to give an overall picture of policy, resources and the objectives of longer-term corporate and business planning at senior management level, in the UK. Nor does there seem to be any attempt, so far, to integrate such information into a coherent argument or case in support of digital preservation needs at the highest policy and strategic levels.

It is primarily this gap which the DPC is attempting to bridge. The end-product, we hope, will be a persuasive analysis and assessment of the national needs for effective digital preservation in the UK. The purpose of this document will be to enable members, and others, collectively and individually, to press their case for a higher profile and increased resources for digital preservation on the national and government agendas.

The aim of such a survey is not to bring alarm, by simply listing problems and potential costs. It is to analyse, prioritise and begin to plan for solutions that are practical and achievable, over the time that we have to implement them. Some of the problems will be genuinely urgent, while with others there may be at least a few years in which to find solutions. In some cases we may need innovative new approaches to collaboration and shared infrastructure to ensure appropriate resources and skills can be made available. We need to make sure we do the right things, and in the right order, without duplication of effort. So we will need some intelligent conclusions, based on risk analysis and prioritization.

What we would like you to do

A survey form is attached. We have tried to design it so that completing it will not be too onerous. It is not geared to finding out what practical and technological steps you are taking to cope with digital preservation. It aims to find out what

you are doing, and planning, on the related organisational, policy and strategic fronts. Also what projections you can make about present and future needs in your sector. And what gaps may exist – both resource and other – between what needs to happen and what can at present be achieved.

What we will do with this information

Our initial work shows that we can probably assemble sufficient grant and other help, in small packages, to progress our national assessment of need. But to do this economically we need to specify exactly what we need, and decide who to approach for funding for the different parts that will go to make up the whole. As well as helping inform the full survey and assessment, the information from this survey form will enable us to build up a series of grant applications for different elements of the work, and to develop a precise Invitation to Tender for further consultancy work.

We urge you, therefore, to give some time to completing and returning the survey, though we well understand how many pressures there already are on your time. We believe that any effort you put into this will bring benefits for your organisation.

Details as to where to send your responses, deadlines etc are included on the survey form.

With many thanks for your help.

Lynne Brindley

Chief Executive, British Library

Chair, Digital Preservation Coalition

Preliminary Information	
NAME OF ORGANISATION:	
DPC contact:	*Please give names and both phone and e-mail contacts if possible*
Contact (if different) for further information on digital preservation and for any follow-up questions on the survey:	
URL for additional information:	*If you have a specific web page for information relating to digital preservation, please provide the url here so that we can link directly to it. Otherwise, please provide the url for your website.*
Interest in digital preservation:	*Please state, in a brief paragraph, the main reason(s) your organisation has become involved with digital preservation.*

Please Note: The membership page on the DPC website is at: http://www.dpconline.org/graphics/about/members.html. We would like to use the information you provide above to make this page more helpful and informative both for other DPC members and non DPC visitors to the site who will be interested in more detail. If there is any information you provide on this page which you would prefer not to be included on the public website, please indicate, otherwise we will assume that this information can be included.

Any information you provide on subsequent sections of this survey will not be added to the public part of the DPC website without first seeking your permission.

Notes for completing the survey

This is not a technology survey; it aims to gather information about plans, priorities, volumes and other matters relating to future needs in the UK for digital preservation. A few questions do also cover broader aspects of your digital programmes, for example projects you are engaged on. But we have only done so where we need this as background material.

Please give details, in support of your 'yes/no' answers, as fully as you are able, in the right hand column, as this will help us build up an accurate picture of the overall position amongst members.

If you cannot, or do not wish to, answer all the questions, please do those you can – we would rather have partial returns than none at all. At the same time, please don't feel constrained by the space allocated, you can expand answers in the electronic version or provide attachments in a printed version if you prefer.

If you have relevant documentation which you can make available (eg copies of corporate or business plans or policy documents) please send them to Maggie Jones at the JISC offices, or give URLs.

Please send your responses by e-mail if possible, to MaggieJonesDPC@aol.com, and copy them to simpsonduncan@btinternet.com. If you prefer to send them by post then please send two copies and address to Maggie Jones, DPC Coordinator, Strand Bridge House,138-142 Strand, London WC2R 1HH. **We would appreciate getting your response no later than Friday 12 September, earlier if you can.**

What do we mean by 'digital preservation' in this survey? The definition in *Preservation Management of Digital Materials* is " …all of the actions required to maintain access to digital materials beyond the limits of media failure or technological change." We mean the long-term systems and processes adopted to maintain the integrity of digital material after it has been created, and to ensure that it survives and remains accessible; also, and again in the long term, satisfying to the necessary level all requirements (legal or otherwise) as to its continuing accuracy, authenticity and integrity. *[for the Handbook definition of digital preservation, and also digitization, in full, see* http://www.dpconline.org/graphics/handbook/topicindex.html.*]*

We do **not** mean the programmes or processes by which digital material has been created, whether 'born digital' or digitized from existing material. Our definition **would** include any steps taken at the time of creation (eg creating accompanying metadata) which relate solely, or mainly, to the purpose of supporting its long-term preservation. But it **would not** include those aspects of a digitization programme which relate solely to the process of creating digitized material.

DPC Survey

1. Policy and strategic issues	Details/comment *Please add comment, as fully as you can, in this column; the suggestions in italics are intended to guide your reply, but are only indicative; please add any other information you think relevant.*
1.1 Does your current planning document refer to digital preservation? Y N If so, is the document available for us to see? Y N	*Eg corporate or business plan, or similar overall organizational plan*
1.2 Do you have a) a digital preservation strategy, or b) any other policy or strategy document(s) which refer to digital preservation? c) any alternative to a digital preservation strategy? If so, are they published or would you be prepared to share them with us? Y N [*Note; If you have already provided the DPC with your current documents, please indicate 'already provided' here*]	*Other than your overall organisation's planning document (see 1.1) , do you have any policy or strategy referring to and defining the importance of digital preservation to your organisation, and if so in what terms? For c), have you specifically adopted an alternative strategy (eg continuing to file paper copies) as a necessary alternative to a digital preservation strategy, if so why and for what time span?*

1.3 Do you have a corporate risk management process? Y N If so: a) does digital preservation figure on it? Y N b) is it defined as a long, or short, term risk? Y N	*Please comment on how you manage risk (eg corporate risk register) and whether, and to what extent, that process defines digital preservation as a risk, eg as primarily a resource issues (money and staff), or primarily technological, or other. Also whether it is seen as a long or short term risk, and why. For example, long-term risk might be included in an Information Strategy, whereas short-term risk might be managed by back-up and recovery procedures. Even if you have not got a formal risk management process, can you say whether any of these would apply?*
1.4 Is your responsibility for digital preservation driven by one (or more) of the following? : a) a statutory requirement to keep/store/preserve material? b) A statutory duty to provide public access? c) Some other statutory requirement or duty? d) A core business requirement?	*If your answer to any of a), b) or c) is 'yes' could you say briefly what the statutory duty is and/or where it is set out (eg the name of the relevant Act). Question d) is primarily so that, if you are not under a statutory duty, you can state the core business reason which requires you to undertake digital preservation.*

	Some organisations/sectors are flagging up problems, for example the need for new/revised legislation to enable digital preservation processes to be carried out. If you foresee any such problems please say briefly what they are and what action, if any, you propose.
1.5 Are you aware of any statutory or legal issue or problem that might complicate or impede your organisation's digital preservation activities?	
2. Current projects [NB in these three questions, 'project' may be taken to mean any distinct project, or any piece of structured operational activity]	*Please, in replying to this question, take note of our definition of digital preservation at the start of the survey form*
2.1 Have you recently completed, or participated in, a digital preservation project (i.e completed during 2003)? Y N	*If 2.1, 2.2 or 2.3 apply, please say for 2.1 and 2.2 who is/was responsible (ie your own, or another, organisation), what are the objectives, the timeframe, the funding source, partners (if applicable) and expected deliverables. For 2.3 give as much of this information as you are able.*
2.2 Are you currently running, or participating in, a digital preservation project or projects? Y N	
2.3 Are you currently planning a digital preservation project?	

Y N	
3. Volumes of material	*When specifying volumes, please quantify and also say what medium the material is held on eg 'x kilobytes/terabytes stored on CD'*
3.1 Have you carried out any survey of digital material which you already hold for long-term storage? Y N If N , can you offer any approximate estimate as to volume?	*Please say what the results were eg your current requirement for long term digital storage, which already does, or will soon, require you to implement digital preservation processes. Can you give any details of the volume of this material*
3.2 Have you assessed the volumes of digital material you will have to preserve in the future, and the likely rate of growth? Y N	*Please give details if you can a) for the next five years, b) from five to ten years ahead and c) on any longer timescale you have projections for.*
3.3 On what basis you have made these assessments?	*Please say what information you used to make the estimates and how confident you are of their accuracy (eg what margin of error there might be)*

3.4 Do you have a selection policy for material for digital preservation? Y N	*Can you be selective to limit the amount of digital material you will have to preserve? If there are criteria you will use, what are they and how flexible are they?*
3.5 If you have not done any of 3.1-3.4, but have plans to do so, please give details.	
4. Types of material	
4.1 What type of digital material will you mostly be preserving?	*Is it research publications/journals, books, primary (i.e. unpublished) research material, records (please specify eg government ('public records') or other public sector record material which you hold as an official repository, your own organisation's management records etc), websites, or other material (please specify)? Is it chiefly created by your own organisation, the product of your own research programmes, acquired by you for research or other purposes, created by others and formally deposited with you as a statutory requirement, created by others and passed to you for reasons other than statutory deposit, the result of a digitization programme? Is it 'born digital' or a digital copy?*
5. Resource issues	
5.1 Have you ever asked your major funding	*Have you made a case, formal or informal, for additional funding specifically for digital preservation? To whom? Please give details, arguments used, amounts, timescale and result.*

source(s) for extra resources for your digital preservation programme? Y N	
5.2 Is funding for digital preservation likely to become a major issue for you over the next five years? Y N	*If yes, is there any specific reason which will make digital preservation a resource issue, and if so what is it?*
5.3 Have you assessed your funding requirements to meet your digital preservation responsibilities: a) in the short-medium term (ie 1-5 years)? Y N b) in the longer term (ie 5-10 years or longer)? Y N	*Please say on what basis any figures you can give were made; if you have no figures, are you proposing any assessment and if so when, or can you make any broad estimate now? Are any figures likely to represent a significant part of your overall budget?*
5.4 Is your present resource for digital preservation: a) from within existing resources AND/OR: b) new money allocated by your funding source	*Eg have you been diverting resources from other areas to fund digital preservation? Has this had any damaging effects to your overall operations? If you have secured new digital preservation funding can you give details including arguments used?*

specifically for digital preservation	
5.5 Is your digital preservation requirement totally new and additional to what you do now, or will it, in whole or in part, replace existing activities? Y N	*The assumption here is that some, at least, of any new digital preservation programmes would be replacing other needs. eg if you were not storing and preserving new material in digital form, would you have required new non-digital storage/preservation which you would have had to resource? If such an assumption is not valid for your organisation, can you say why? Can you quantify any offsetting savings when your digital preservation programme is implemented? Would any such savings be a significant proportion of total digital preservation costs?*
5.6 Will you need core or project funding, or both, to cope with digital preservation? Y N	*Core (or baseline) funding suggests a continuing need for annual expenditure (eg running costs for new facilities, increased costs for permanent specialist staff); project funding would meet one-off or non-recurring costs (eg development, consultancy, buying systems etc). Can you say how your future need will break down between these two types of funding? Is either type of funding likely to be harder or easier to get?*
5.7 What are your main funding sources for digital preservation? Y N	*Will digital preservation funding come from government (if so via which Department(s)), Research Councils, HE funding bodies, charities, private sector/sponsorship, earned income/revenue or some other source (please specify)? You may specify more than one source, but if so please try to indicate the proportion for each.*

5.8 Will your digital preservation programme help you to develop any significant additional revenue stream from your digital services Y N	*Is digital preservation, for you, part of an overall programme which may help you to develop extra income which could be seen as offsetting its costs? If so, is the income likely to be significant and can you quantify it?*
5.9 Have you assessed your staffing needs for digital preservation? Y N	*Is the need for specialised staff a significant part of your digital preservation resource requirement? Do you have/anticipate difficulty in recruiting staff with appropriate skills and experience to work on your digital preservation programme? Do you have any strategy in place to meet this need? Are there any steps you would like to see taken (eg development of new training courses, or additions to existing training courses) to help meet the need?*

6. Timing issues	
6.1 Do you face any time deadline, or other issue affecting timing, on digital preservation? Y N	*Is there any specific event/deadline by which you need digital preservation systems and processes in place? If so, what? Do you expect to be able to meet the deadline?*
7. General	
7.1 Are there any national priorities or actions which you think are needed, which are not being actioned? Y N	*If you have any perceptions or observations about anything which should be done, at a national strategic or policy level, to make dealing with digital preservation easier or more likely to succeed, please say what they are.*
7.2 Do you have any suggestions, or views on priorities, for digital preservation needs affecting non-DPC members?	*Not all sectors and needs are represented on the DPC (for example, small, local organisations carrying our digitization/public access programmes, probably using funds from the Heritage Lottery Fund or New Opportunities Fund). Are there any significant gaps you can point to for such bodies, or information you can supply, to help in building up an overall survey of national need for digital preservation?*

Y N	
7.3 Is there anything, other than increased financial or staff resource, which would help you to meet your digital preservation requirements? Y N	*Has this survey overlooked any important issue or area of need for digital preservation?*
7.4 Can you specify any broader benefits arising from your digital preservation programme? Y N	*Will digital preservation help you to provide more or better services in line with stated government priorities eg education, health, social inclusivity, delivering electronic services to the public, developing the information society e-government etc? Can you quantify these benefits?*

Thank you for your assistance.