Writing a Digital Preservation Policy

What is a Policy?

"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

MANDATE

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

Illustration by Jørgen Stamp digitalbevaring.dk CC BY 2.5 Denmark

High level – not specifics

1- Preservation strategies and acceptable actions
For example, the UKDA (Woollard 2008) preservation policy claims that it is committed to ensuring "the reliability and logical integrity of the data collection" but that "…some significant properties of a data collection may have to be altered in order to ensure a level of software independence"

2- Decisions about the digital objects
For example, also from the UKDA Policy: "When there is a new edition of a data collection, all descriptive and structural metadata must be recreated, and the old file and the previous AIP and DIPs retained within the preservation system and identified as not for issue."

3- Standards: how they are selected and applied but not necessarily naming specific standards

For example "HathiTrust employs a number of strategies to ensure the long-term integrity of deposited materials. These include: … Reliance on standards for metadata such as METS and PREMIS (see HathiTrust Digital Object Specifications)"

4- Resourcing

For Example, Dartmouth College Library:'s policy states under a 'Sustainability' heading: "Digital preservation activities will be planned and implemented in ways that best manage current college resources and can be sustained into the future. Future access to digital resources cannot be assured without institutional commitment to necessary resources."
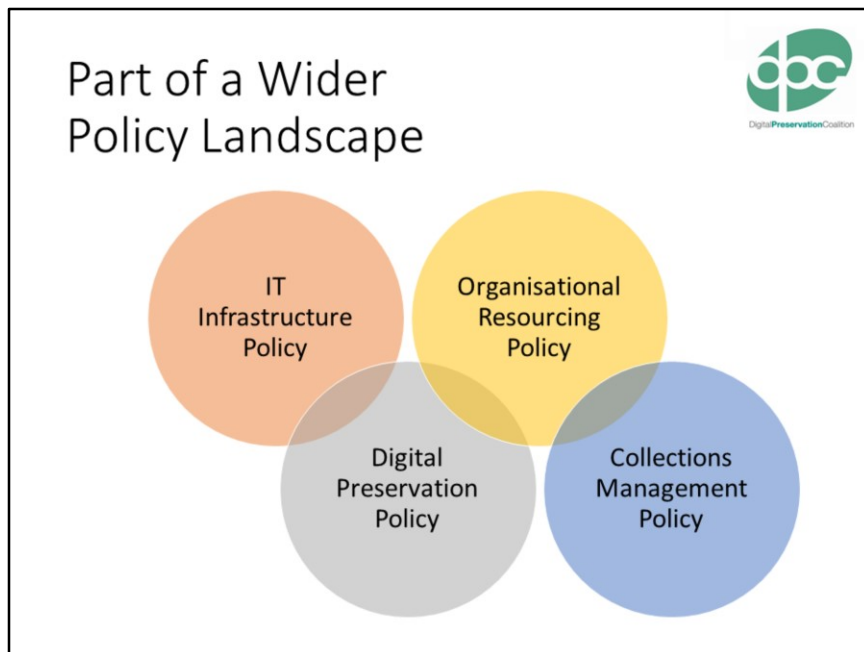
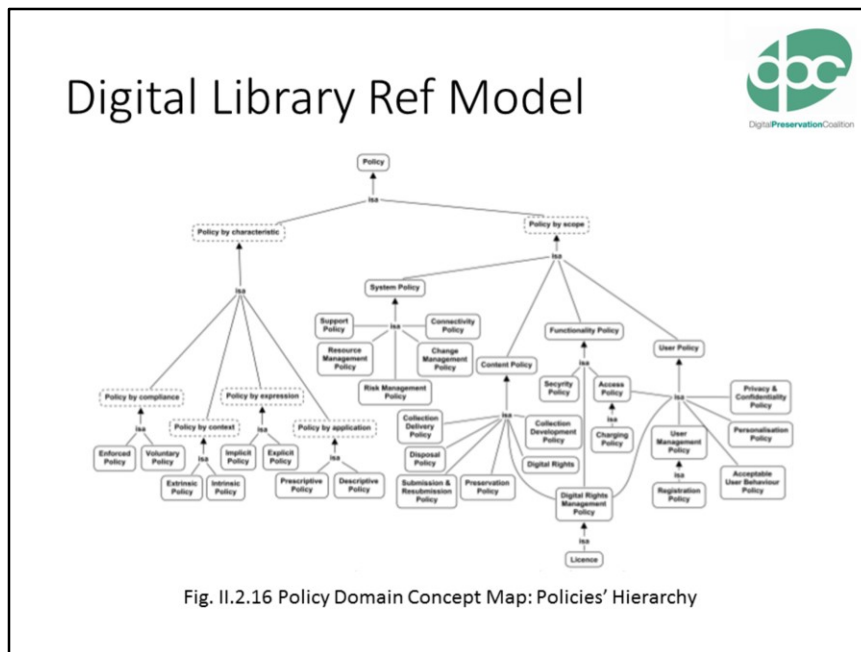Try to emphasise how digital preservation benefits other areas of policy within your organisation

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

The Policy concept represents the set or sets of conditions, rules, terms and regulations governing every single aspect of the Digital Library service including acceptable user behaviour, digital rights management, privacy and confidentiality, charges to users, and collection formation. Policies may be defined within the Digital Library or be superimposed by the Institution establishing the Digital Library, or outside of that (e.g., Policy governing our Society). The policies can be extrinsic or intrinsic policies.

Definition of new policies and re-definition of older policies, is part of the policy-related functionality that must be supported by a Digital Library. This concept is fundamental to characterise the Digital Library universe because it captures the rules and conditions regulating the overall Organisation.

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

Illustration by Jørgen Stamp digitalbevaring.dk CC BY 2.5 Denmark

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

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

Illustration by Jørgen Stamp digitalbevaring.dk CC BY 2.5 Denmark

Preservation Objectives: These objectives are very similar to the principle statement but tie in more with the actual preservation process itself. For example, the Inter-University Consortium for Political and Social Research (ICPSR) (McGovern 2007) states under 'Administrative Responsibility/Objectives' that it will "Maintain a comprehensive and responsive digital preservation program that identifies, acquires, verifies, archives, and distributes core social science digital assets"

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

Specifically policy statements addressing preservation actions

1. Authenticity
1.1 Integrity

Ex. Parliamentary Records: "*The record must be maintained to ensure that it is complete, and protected against unauthorised or accidental alteration. In this Policy, integrity is ensured through the bitstream preservation function […], and through the provision of metadata to describe all authorised actions undertaken in the course of content and bitstream preservation.*"

1.2 Reliability
1.3 Provenance

2. Bit Preservation

3. Functional Preservation

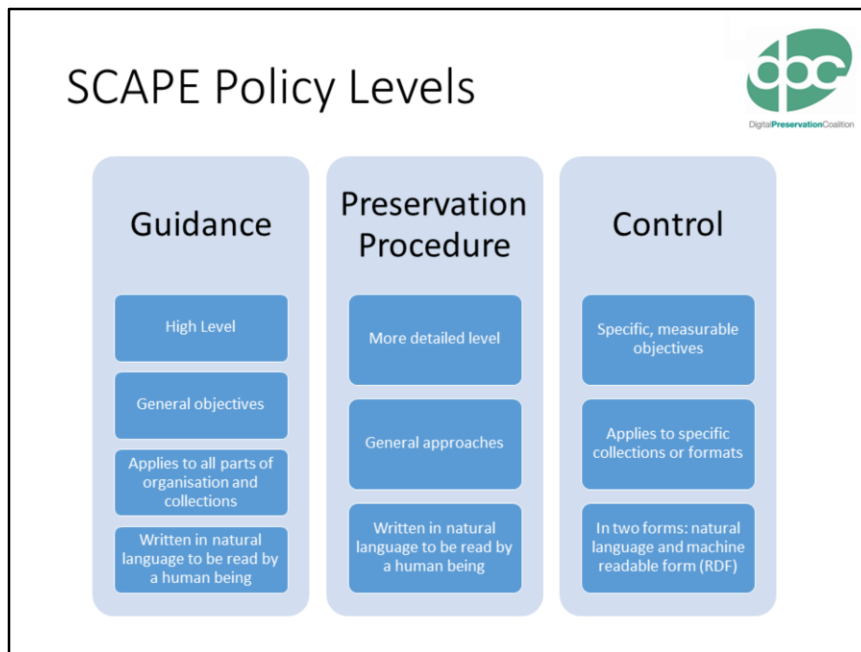4. Digital Object

5. Metadata

6. Rights

7. Standards

8. Access

9. Organisation

10. Audit and Certification

Guidance policies

On this level the organisation describes the general long term preservation goals of the organisation for its digital collection(s). One example is that an organisation decides that the infrastructure in place to provide digital preservation will be guided by the OAIS model.

Preservation Procedure level policies

These policies describe the approach the organisation will take in order to achieve the goals as stated on the higher level. They will be detailed enough to be input for processes and workflow design but can or will be at the same time concerned with the collection in general.

Control Policies

On this level the policies formulate the requirements for a specific collection, a specific preservation action or for a specific designated community

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

Illustration by Jørgen Stamp digitalbevaring.dk CC BY 2.5 Denmark

1. Authenticity
1.1 Integrity

Ex. Parliamentary Records: "*The record must be maintained to ensure that it is complete, and protected against unauthorised or accidental alteration. In this Policy, integrity is ensured through the bitstream preservation function [...], and through the provision of metadata to describe all authorised actions undertaken in the course of content and bitstream preservation.*"
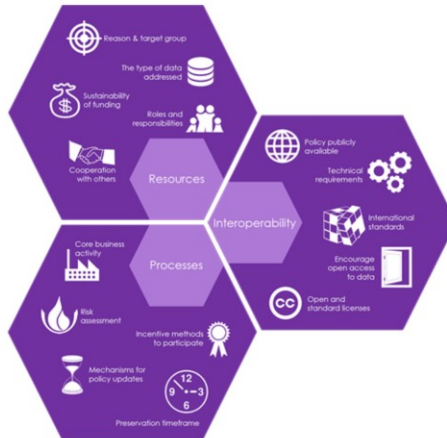
1.2 Reliability
1.3 Provenance

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://aparsen.digitalpreservation.eu/pub/Main/ApanDeliverables/APARSEN-REP-D35_1-01-1_0.pdf

These policy documents focus on issues relevant to preservation management, even if not explicitly related to the preservation process itself, such as: legal conformity, protection of intellectual property, formal responsibility, professionalism, interoperability, quality, security, accountability, sustainability, retention of policy management mechanisms and repository restrictions, and metadata requirements. This gives rise to the first fundamental challenge of defining the scope and focus of our research: what is a policy and, more specifically, what is a policy for digital preservation?

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

Alphabetical, not hierarchical

Other Useful Resources

- 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

Illustration by Jørgen Stamp digitalbevaring.dk CC BY 2.5 Denmark

Discussion

- 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