Writing a Preservation Policy

Making Progress in Digital Preservation
12th May 2015

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For today…

* What is a digital preservation policy?
* Why do we need one?
* Where Edinburgh University Library is…
* Methodology adopted
* Hints and tips
* Tools/resources
* A wee exercise…

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Policy and the University of Edinburgh

* There is no digital preservation policy at the University of Edinburgh….YET!
* Document is a "work in progress"
  * With senior management
  * To be approved by committees before Court ratification
* Projected to be signed off by University Court 2015

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What is a 'policy'?

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

Oxford Dictionary

"A set of ideas or a plan of what to do in particular situations that has been agreed officially by a group of people, a business organisation, a government or a political party"

Cambridge Dictionary

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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 digital records ensuring the organisation is able to carry out its mandated functions."

InterPARES project

Why develop a policy?

Benefits:

* Help to raise awareness of digital preservation
* Guide staff in their activities related to digital preservation
* Supports decision making
* Help support a business case for digital preservation solutions
* Gains buy-in from senior management
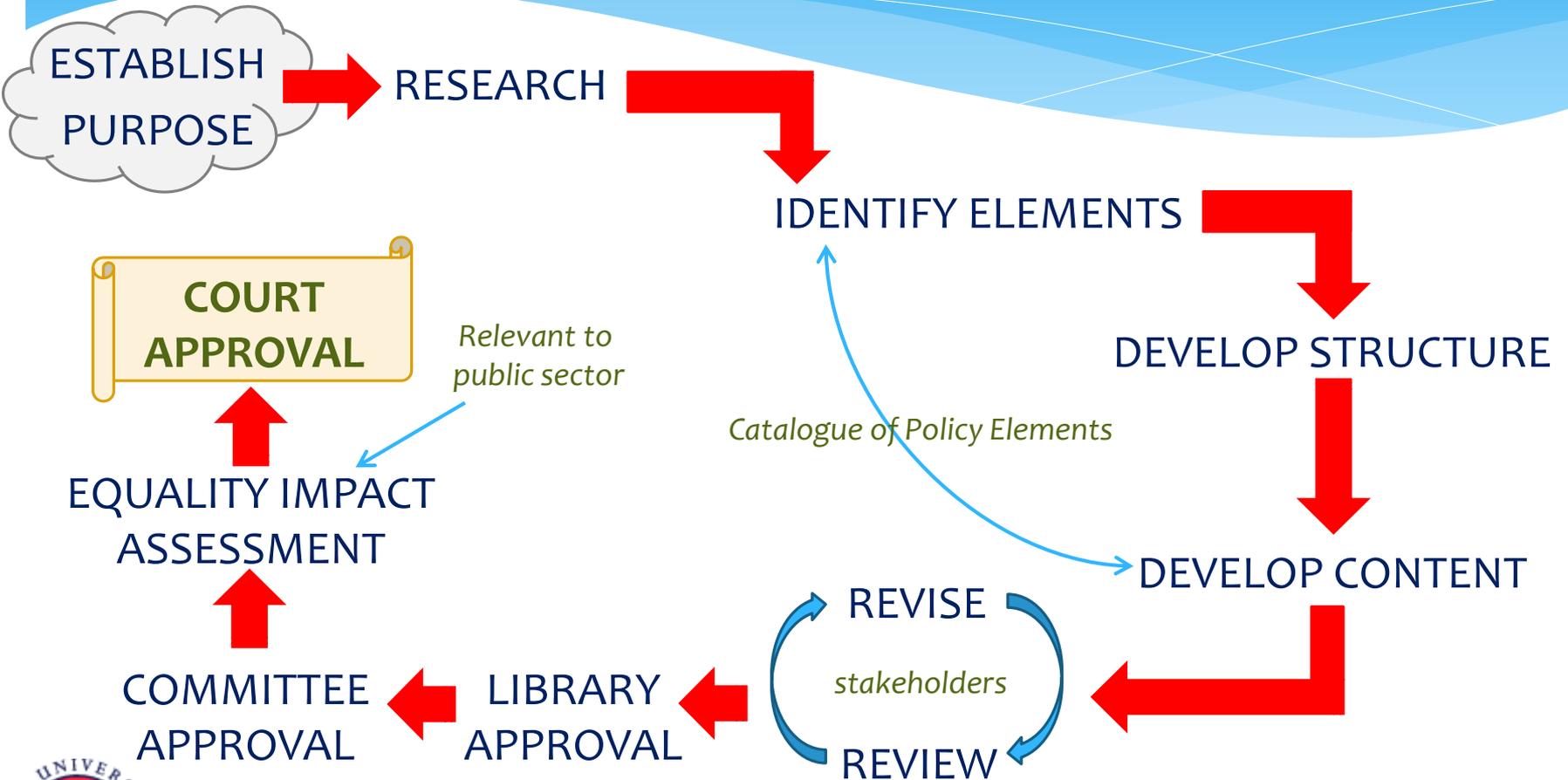* Solidifies the commitment of the institution/organisation

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Challenges I've faced/facing…

* Finding digital preservation policies within the HE sector (Oxford, Newcastle, Sussex, Manchester)

* Navigating the wealth of information online on digital preservation policies and writing policies

* Determining the level and focus of the policy

* Nestling within the wider institutional policy/strategy framework

* Institutional bureaucracy

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The process

ESTABLISH PURPOSE → RESEARCH → IDENTIFY ELEMENTS → DEVELOP STRUCTURE → DEVELOP CONTENT

COURT APPROVAL

Relevant to public sector

EQUALITY IMPACT ASSESSMENT

Catalogue of Policy Elements

COMMITTEE APPROVAL ← LIBRARY APPROVAL ← REVISE / REVIEW (*stakeholders*)

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The process - resources

al

Identifying the elements

	A	B	C	D
1	Policy element matrix			
2				
3		Author		
4	Element no.	JISC	A BROWN	LOC REPORT
5	1	Principle statement (needs and benefits)	Purpose	Access and use
6	2	Contextual links (other policies)	Context	Accessioning and ingest
7	3	Preservation objectives	Scope	Audit
8	4	Identification of content	Principles	Bibliography
9	5	Procedural accountability	Requirements	Collaboration
10	6	Guidance and implementation	Creation and management	Content scope
11	7	Financial and staff responsibility	Appraisal, selection and acquisition	Glossary terminology
12	8	Intellectual property	Preservation	Mandates
13	9	Distributed services	Access and reuse	Metadata or documentation
14	10	Standards compliance	Infrastructure	Policy review
15	11	Review and certification	Standards	Preservation strategy
16	12	Auditing and risk assessment	Roles	Preservation planning
17	13	Stakeholders	Communication	Rights and restriction management
18	14	Preservation strategies	Audit	Roles and responsibilities
19	15	Glossary	Review	Security management
20	16	Version control	Glossary	Selection/appraisal
21	17			Staff training/education
22	18			Storage, duplication and backup
23	19			Sustainability planning
24				

*Prevalence in Archives in Europe

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Developing the structure

		Element	Related policy/reasoning	Order	COPE elements
27	Suggested elements for Edinburgh University Digital Preservation Policy				
28		Element	Related policy/reasoning	Order	COPE elements
29	Core	Principles/Preservation objectives	Records management/legislative	4	1.1, 1.2, 1.3, 2.4
30		Context	Relation to other policies/strategies	3	
31		Scope	Collection/RDM	2	
32		Access and use	Collection	9	3.2, 3.4, 4.5, 4.4, 6.1, 8.1, 8.3, 8.4, 8.5, 8.6
33		Policy review	Institutional objective	17	
34		Roles and responsibilities		14	9.5
35		Security management	Information Security	12	2.7
36		Storage, duplication and backup	Information Security	11	1.1, 2.6, 2.7
37		Preservation strategy	Collection	7	2.1, 2.2, 2.5, 3.2, 3.4, 4.1, 4.2, 5.1, 5.2, 5.3, 5.4, 5.5
38		Glossary	Facilitate interpretation	18	
39		Rights and restriction management	Information Security	10	6.1, 6.2, 6.3, 6.4, 8.3
40		Preservation planning/Risk Assessment	Collection	8	1.1, 1.3, 2.4, 2.6, 3.1, 3.3, 3.4, 4.1, 4.3, 4.5, 9.2
41		Accessioning and ingest	Collection	6	1.2, 1.3, 2.3, 2.4, 2.5, 3.3, 3.4, 4.1, 4.4, 5.1, 5.2, 5.3. 6.1
42		Selection/appraisal	Collection	5	1.2, 1.3, 2.3, 2.4, 2.5, 3.3, 3.4, 4.1, 4.4
43		Purpose	Library strategy/CRC mission statement	1	
44		Auditing	DSR Project objective	16	10.1, 10.2
45		Communication	Stakeholder engagement	15	
46		Standards	DSR Project objective	13	7.1, 7.2, 7.3
47					
48	FINAL STRUCTURE				
49		Purpose			
50		Scope			
51		Context			
52		Principles/Preservation objectives			
53		Policy Requirements			
54			Selection/Appraisal		
55			Accessioning/Ingest		
56			Preservation Strategy		
57			Preservation Planning/Risk Assessment		
58			Access and Use		
59			Rights and Restriction Management		
60			Storage, Duplication and Backup		
61			Security Management		
62		Standards			
63		Roles and Responsibilities			
64		Communication			
65		Auditing			
66		Policy Review			
67		Glossary			

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Develop content

* Approach
    * Low detail (active)
    * Low detail (aspirational)
    * High detail (active)
    * High detail (aspirational)

* University of Edinburgh policy…
    'low detail, aspirational'

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Catalogue of Policy Elements

Search

- Technical Coordinator
- Events
- SCAPE Developer's Guide
- Examples of working and best practice
- SCAPE Platform
- SCAPE Stories
- Catalogue of Preservation Policy Elements
  - Introduction
  - SCAPE Policy Framework
  - How to use the Catalogue
  - Policy Elements
    - 1. Guidance Policy Authenticity
      - 1.1 Integrity
      - 1.2 Reliability
      - 1.3 Provenance
    - 2. Guidance Policy Bit Preservation
    - 3. Guidance Policy Functional Preservation
    - 4. Guidance Policy Digital Object
    - 5. Guidance Policy Metadata
    - 6. Guidance Policy Rights
    - 7. Guidance Policy Standards
    - 8. Guidance Policy Access
    - 9. Guidance Policy Organisation
    - 10. Guidance Policy Audit and Certification
  - Further Reading
- Published Preservation Policies

1.1 Integrity

SCAPE

Added by Gry Vindelev Elstrøm, last edited by Carl Wilson on May 12, 2014 (view change)

	Preservation Procedure Policy: Integrity
Related Guidance Policy	Authenticity
Definition/ Description	Integrity checking covers approaches like encryption, digital signatures, fixity checks etc. See also the explanation in the section Bit preservation: Integrity measures
Why	One of the main goals of digital preservation is that the preserved digital objects, once stored in the repository, are not changed without intent.
Risks	If the organization does not explain the measures it will take to avoid unnoticed loss, is might not achieve its goals. The risks can occur in many stages of the digital life cycle. A digital archive needs to describe a set of approaches it intends to implement in order to avoid the risks. The measures to take are very related to the operational IT tasks and are often already part of their work, but the preservation policy needs to make explicit that these measures will contribute to the authenticity of the digital objects Relevant areas are: • Ingest: The completeness of the digital object will need to be defined before ingest and could be part of the discussion with the content deliverer or producer. At ingest the received checksums can be compared with the checksums generated upon retrieval. This will show whether bits were lost during transportation. This measure should be implemented for all data movements, including when the data is moved inside the repository. • Storage: moving data from one place to another needs to be accompanied by measures to check before and after the move whether the digital object is still complete and undamaged. This also applies to back up copies. • Authentication measures to safeguard that personnel cannot make changes to the data stored or (unintentionally) delete (part of) digital objects.
Life cycle stage	Preservation Planning Ingest, Preservation Action, Receive, Storage
Stakeholder	**Management**: should decide on overall measures to maintain integrity **Operational management**: should implement the measures **Producers**: will contribute by supporting integrity measures (for example to send checksums with the digital object)
Cross Reference	Bit preservation, Functional Preservation [migration]
Examples	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.*"

Equality Impact Assessment

* Equality Act 2010
* Public Sector Equality Duty – April 2011
* *"public authorities must have 'due regard' to the need to eliminate unlawful discrimination, advance of equality of opportunity and foster good relations"*
* University is bound to perform an EqIA on all its new and existing policies and procedures

Exercise

1. Identify the policy elements you consider relevant to the purpose of your policy and to your organisation/institution [consult the handout]

2. Put the elements into an order you feel is coherent [complete the handout sheet]

Thank you!

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