Writing a Preservation Policy

Making Progress in Digital Preservation

12th May 2015
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...
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
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
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
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
The process

1. Establish Purpose
2. Research
3. Identify Elements
4. Develop Structure
5. Develop Content
6. Review
7. Revise
8. Committee Approval
9. Library Approval
10. Courthouse Approval

Relevant to public sector

Catalogue of Policy Elements

Stakeholders

THE UNIVERSITY of EDINBURGH
The process - resources

Four key texts used:

- "Practical Digital Preservation", Adrian Brown, 2013
- "Digital preservation policies study", JISC report 2008
- "Analysis of current digital preservation policies", The Signal: Digital Preservation blog post, 13 August 2013
### Identifying the elements

#### Policy element matrix

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

*Prevalence in Archives in Europe*
## Developing the structure

### Suggested elements for Edinburgh University Digital Preservation Policy

<table>
<thead>
<tr>
<th>Element</th>
<th>Related policy/ reasoning</th>
<th>Order</th>
<th>COPE elements</th>
</tr>
</thead>
<tbody>
<tr>
<td>Core</td>
<td>Principles/Preservation objectives</td>
<td>4</td>
<td>1.1, 1.2, 1.3, 2.4</td>
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<tr>
<td>Context</td>
<td>Relation to other policies/strategies</td>
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<tr>
<td>Scope</td>
<td>Collection/RDM</td>
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<td>Access and use</td>
<td>Collection</td>
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<td>Roles and responsibilities</td>
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<td>9.5</td>
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<td>Security management</td>
<td>Information Security</td>
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<td>2.7</td>
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<td>Glossary</td>
<td>Facilitate interpretation</td>
<td>18</td>
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<td>Rights and restriction management</td>
<td>Information Security</td>
<td>10</td>
<td>6.1, 6.2, 6.3, 6.4, 8.3</td>
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<td>Preservation planning/Risk Assessment</td>
<td>Collection</td>
<td>8</td>
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<td>Collection</td>
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<tr>
<td>Selection/appraisal</td>
<td>Collection</td>
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<tr>
<td>Purpose</td>
<td>Library strategy/CRC mission statement</td>
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<tr>
<td>Auditing</td>
<td>DSR Project objective</td>
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<td>Communication</td>
<td>Stakeholder engagement</td>
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<tr>
<td>Standards</td>
<td>DSR Project objective</td>
<td>19</td>
<td>7.1, 7.2, 7.3</td>
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</table>

### FINAL STRUCTURE

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<thead>
<tr>
<th>Purpose</th>
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<tbody>
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<td>Scope</td>
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<td>Principles/Preservation objectives</td>
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<td>Policy Requirements</td>
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<td>Glossary</td>
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</tbody>
</table>
Develop content

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

* University of Edinburgh policy...
  * ‘low detail, aspirational’
### 1.1 Integrity

**SCAPE**

Added by Gry Vestad, last edited by Carl Wilson on May 12, 2014. [View owner](#)

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<table>
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<tr>
<th>Preservation Procedure Policy: Integrity</th>
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#### Related Guidance Policy

- Authenticity

#### Definition/Description

Integrity checking covers approaches like encryption, digital signatures, fityo 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 lifecycle. A digital archive needs to describe or 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. 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.

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**Life cycle stage**

Presentation Planning, Ingest, Presentation 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 Presentation [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.”

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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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