Digital Preservation Policy Development

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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
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

- IT Infrastructure Policy
- Organisational Resourcing Policy
- Digital Preservation Policy
- Collections Management Policy

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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

1. Establish Purpose
2. Research
3. Identify Elements
4. Develop Structure
5. Develop Content
6. Stakeholder Review
7. Gain Approval
8. Regular Reviews

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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](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
SCAPE Project

• Particular focus on policy relating to preservation actions

• 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)

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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:
Recommendations for Preservation Policies

Resources
- Reason & target group
- The type of data addressed
- Sustainability of funding
- Roles and responsibilities
- Cooperation with others

Processes
- Core business activity
- Risk assessment
- Incentive methods to participate
- Mechanisms for policy updates
- Preservation timeframe

Interoperability
- Policy publicly available
- Technical requirements
- International standards
- Encourage open access to data
- Open and standard licenses

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

Resources

Reason & target group
The type of data addressed
Sustainability of funding
Roles and responsibilities
Cooperation with others

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Interoperability

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

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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

• 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
Other Useful Resources

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

• DCC Policy Tools and Guidance
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