Part 2
Frameworks

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Policy best practice – continued

- Organisation wide templates
- Tracking changes in policies over time
- Our template (didn’t reinvent the wheel)

Policy frameworks

- Templates
- Sections covered:
    - Versioning and revision history
    - Policy ownership/contact
    - Review dates
    - Relationship to other policies
    - Target audience
    - Mandate and task
    - Scope (material covered)
    - ***Principles for doing digital preservation***
    - Roles and responsibilities

Policy frameworks

Benefits of using templates:

- *Not starting from scratch*
- *Create a uniform “policy language” across an organisation*
- *Easier for staff to assess the relevance of the policy*
- *Versioning and document history*
- *Enforce responsibilities and ownership of policies*

[Organisation Name] [Title of Policy]

Policy Document Number:
Records Management File Number:
Filename:
Location: *[DOI/URI]*

Version:
Last Amendment:
Policy Owner/Sponsor: *[Role title]*
Policy Contact: Prepared By: *[Role title]*
Approved By: *[Governance group name]*
Date Approved: *[DD MONTH YEAR]*
Next Review: *[DD MONTH YEAR]*
Availability: Public

1. Summary

2. Target audience

3. Policy statement

3.1. Scope

3.1.1.In scope

3.1.1.Out of scope

3.2. Principles

3.2.1.

3.2.2.

3.2.2.1.

3.3. Standards

3.3.1.Operational standards

3.3.2.Technical standards

4. Related legislation
All acts and regulations as amended:

4.1. Related [Organisation Name] policy frameworks and policies

4.2. Related [Organisation Name] strategies and guidelines

4.3. Other relevant frameworks and guidelines

4.4. Related charters, codes and recommendations

5. Roles and responsibilities

5.1. [Governance Group Name]
Responsible for:

5.2. [Organisation's CEO/Director]
Responsible for:

5.3. [Leadership Group Name]
Responsible for:

5.4. Chief Operating Officer
The Chief Operating Officer is responsible for:

5.5. [Role title]
Responsible for:

5.6. Managers
Responsible for:

5.7. Staff
Responsible for:

6. Definitions
Please refer to Appendix A.

7. Implementation framework

8. Approval
This Policy was approved by the *[Governance group name]* on *[DD MONTH YEAR]* for immediate implementation.

9. Policy implementation
This Policy is implemented on *[DD MONTH YEAR]*.

10. History

11. Prepared by
[Role title]
[DD MONTH YEAR]

12. Document history and version control

Version	Date approved	Approved by	Brief description
X.XX	*[DD MONTH YEAR]*	*[Governance group name]*	*[Provide details]*

13. Appendix A

[Term name] *– [Provide details].*

DRAFT
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Document identification

- Organisation name
- Title of policy

- Document Number/Records Management File Number
- Filename
- Location *[DOI/URI]*

- Version details
- Details of last amendment

- Policy Owner and/or Sponsor *(role title)*
- Policy Contact *(role title)*
- Who wrote (prepared) the policy *(role title)*
- Approval *(governance group name)*

- Date policy approved
- Date of next review
- Public/private (availability)
- Licence details (CC or otherwise)

Document identification

Filename: POL_CUL_digitalpreservationpolicy_v1_20181119.pdf
Location: https://doi.org/10.17863/CAM.32927

Version: 1.0
Last Amendment: N/A
Policy Owner/Sponsor: Deputy Director, Digital Initiatives
Policy Contact: Director, Digital Transformation Programme
Prepared By: Digital Preservation Specialist – Policy and Planning (Polonsky Fellow)
Approved By: Library Syndicate
Date Approved: 30 October 2018
Next Review: 31 October 2019
Availability: Public

Summary & target audience

- Exec Summary
- Summary of the whole policy

- For long policies – include a Table of Contents

- Statement on who the target audience is (“everyone” isn’t exactly useful, so try to define how the policy applies to the audiences)

Target audience

This Policy applies to all CUL and University staff (including, but not limited to, permanent, fixed-term, part-time, casual etc.), contractors, consultants, volunteers, service providers and vendors that acquire, create, manage, preserve, store, make available and/or use any digital content from CUL's collections, and other digital content CUL has responsibility for.

The Policy is also relevant to funding bodies, philanthropic organisations, donors, researchers and all users engaged with CUL's digital content.

Policy statement

- Intro
- Scope
  - In scope
  - Out of scope
- Policy principles
  - Tie these to a larger framework if possible – strategy, maturity model, certification standard etc.
- Standards
  - Operational
  - Technical

Policy statement intro

- Purpose of the policy
- Commitment to…
- Aligning with strategies (specify which ones)

Scope – in scope

Class	Type	Description
1	Born-digital personal and corporate records	Digital archives of significant individuals or institutions
2	Born-digital university records	Selected records of the University (including CUL)
3	Research outputs	Research data, research publications, electronic and digitised theses, scholarly digital editions, supplementary research relating to digitised content and associated materials
4	Published born-digital content	Web archives, eBooks, born-digital maps, born-digital music, ephemera, published born-digital content on carriers and copies of electronic subscription materials (archival and/or access copies, as permitted by agreements) etc.
5	Digitised content	Digitised image content: Two-dimensional (2D) photography and three-dimensional (3D) imaging etc. Digitised audiovisual content: Moving image (film and video) and sound recordings etc.
6	In-house created content	Photography and videography of events and lectures, photos of conservation treatments etc.

Policy principles

- Direct and to the point

- Principles relating to:
  - Organisational infrastructure
  - Resources framework
  - Technical infrastructure

(based on the Three-Legged Stool Model for Digital Preservation)

- Be holistic (if you can)

- Don’t include more than you need to (there should be other policies that cover Access and Metadata)

Standards

- What do you/can you comply with?
- What do you aspire to comply with?

- International/national standards

- Operational standards
- Technical standards

Related legislation, policy & strategy etc.

- Legislation

- Policy frameworks & policies, strategy (& guidelines)
- Charters, codes of conduct/ethics etc.

- Organisational as well as international/national

Roles and responsibilities

- Spell this out
- Important for new policies

- Guides ownership of different aspects of implementing the policy on an operational level

- Can be used to measure the effectiveness of the policy going forward

Administrative sections

- Definitions / Appendix
- Implementation framework
- Approval info
- Policy implementation
- Policy history
- “Prepared by”
- Document history and version control (full list)