

# Part 3

## Policy review and gap analysis



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**Step 1: undertake local policy analysis**

# Cambridge Policy Gap Analysis - expectations

- Internal policies
- Public policies
- Operational policies
- Policies governing the collection
- Centralised location on the Intranet
- Centralised location on the main website
- Other documentation (PSPG)

# Cambridge Policy Gap Analysis

## **Cambridge University Library**

- Collection Development Policy Framework
- Collection Care and Conservation Policy
- Ethical Policy

## **Archives and Modern Manuscripts**

- Access Policy
- Collection Development Policy
- Collections Information Policy

## **University Archives**

- Collection Policy

## **Departmental**

- Acquisition policies
- Cataloguing policies
- Exhibition loans

## **University-wide policies**

- Privacy Policy
- Data Protection Policy
- Health and Safety Policy
- Learning and Development Policy
- Research Data Management Policy Framework
- Cambridge Open Access Policy Framework
- Information Compliance / Retention Schedule

# Cambridge Policy Gap Analysis

## **Policies in development** (*Library and University*)

- Security Policy
- Disaster Preparedness
- Bring Your Own Device
- ...

## **Other University policies** (*good to know about*)

- University Information Services (UIS) policies
- Churchill College Digital Preservation Policy

# Cambridge Documentation Gaps List

- Agreement
- Asset Register
- Budget
- Chart
- Documentation
- Framework
- Guidelines
- Plan
- Policy
- Procedures
- Register
- Registry
- Standard
- Statement
- Strategy
- Technical Policy
- Website

Document name*	Type**	CUL department (responsible for authoring/leading the drafting)	Other CUL departments that must contribute	Public or Internal***	Required by date (end of implementation year****) (MMM/YYYY)	Notes
<b>Access Policy</b>	Policy	Digital Initiatives and Strategy and Digital Library Unit	Digital Preservation, Digital Content Unit, Cataloguing, Special Collections and Office of Scholarly Communications	Public	31/12/2019	A general Access and Use Policy which includes a whole "Digital Access" section regarding access to CUL's digital (born-digital and digitised) collections. (While CUL will have separate Conservation and Collection Care and Digital Preservation Policies - I would not recommend that CUL creates a separate "Digital Access" Policy - and that a section of an Access Policy is assigned to addressing access to digital content. This should also include information about "Conditions of use (distribution, intended use, protection of sensitive data, etc.)." A section on access non-compliance must also be included. It is important to include a section on the reuse of digital content and metadata.
<b>Metadata Policy</b>	Policy	Cataloguing and Digital Library Unit	Digital Preservation, Digital Content Unit, Special Collections and Office of Scholarly Communications	Public	31/12/2019	A holistic metadata policy that covers descriptive metadata as well as administrative, technical, structural, rights and preservation metadata. This should include information for metadata creation, metadata requirements when donating digital content and how metadata is transformed from one schema to another etc.  The British Library have a Collection Metadata Policy as well.
<b>Metadata Standards</b>	Standard	Cataloguing and Digital Library Unit	Digital Preservation, Digital Content Unit, Special Collections and Office of Scholarly Communications	Public	31/12/2019	Documented agreed-upon standards across CUL. While several common metadata standards are in use, stakeholder consultation has requested that agreed upon and documented standards are needed at CUL.
<b>Metadata Creation and Transformation Procedures</b>	Procedures	Cataloguing and Digital Library Unit	Digital Preservation, Digital Content Unit, Cataloguing, Special Collections and Office of Scholarly Communications	Internal	TBC	Procedures that support the implementation of the Metadata Policy and Metadata Standards.
<b>Persistent Identification Naming Scheme and Standard</b>	Standard	Digital Preservation	In collaboration with all departments	Public	31/12/2020	There are currently three 'standards' for naming files within the main University Library building. File naming collisions have occurred as a result. A Persistent Identification Scheme is required, with all University Library as well as affiliated and dependent libraries following this standard.
<b>Organisational Policy Framework</b>	Framework	Governance	In collaboration with all departments	TBC	TBC	TBC
<b>Digital Strategy</b>	Strategy	Digital Initiatives and Strategy	Special Collections, Digital Preservation	Public	31/12/2020	Guide the whole organisation's digital agenda (could be the Digital Transformation Strategy if CUL is continuing with this approach).  There is already an internal DRAFT Special Collections Digital Strategy developed by

Topic covered	Policy name	Collection Management Policy (overview)	Annex Document - Collection Management Policy: Disposal, retention and transfer	Annex Document - Collection Management Policy: Donations	Annex Document - Collection Management Policy: Legal deposit	Special Collections Management Policy	Special Collections Development policy	Bodleian Libraries Storage Strategy (policy)	Metadata policy	Preservation "policy" (actually a strategy)	Digital Preservation Policy	Digitization Policy (v1)	Architecture Policy	DOI assignment	PSI Regulations	Cultural policy	Information Security Policy	University of Oxford Open Access Publication Policy
Donations			X															
Accessioning						X												
Disposal		X				X												
Retention		X																
Transfer		X																
Access	X				X	X						X				X		X
Metadata/cataloguing						X			X					X				
Storage (physical)					X	X		X										
Storage (data)						X							X					
Loans						X												
Collection development							X											
Licensing												X			X			
Exhibition Loans						X										X		
Preservation (physical)										X								
Preservation (digital)											X							



Step 2: undertake international policy analysis

# Digital preservation policy guidance

## DPC Handbook

- <https://dpconline.org/handbook/institutional-strategies/institutional-policies-and-strategies>

## SCAPE Project

- <http://wiki.opf-labs.org/display/SP/Published+Preservation+Policies>

## Library of Congress (2011 & 2013)

- <http://blogs.loc.gov/thesignal/2013/08/analysis-of-current-digital-preservation-policies-archives-libraries-and-museums/>
- <http://blogs.loc.gov/thesignal/2011/07/facing-off-with-digital-preservation-policy/>

- Archelogy Data Service
- Archives & State Library of North Carolina
- Archives NZ, NLNZ
- Archives NZ, NLNZ
- BFI
- Boston University Libraries
- California State Library
- Cheshire Archives
- Churchill College Cambridge
- City of London
- Cornell University Library
- Dartmouth College Library
- Elmer E. Rasmuson Library
- Florida Digital Archive
- Florida Digital Archive
- GoPortis - Consortium of German National Libraries
- Hampshire County Council
- HathiTrust
- Heriot Watt University
- John Hopkins Sheridan Libraries
- National Archives Australia
- National Library Australia
- National Library of Scotland
- National Museum Australia
- Netherlands Institute for Sound and Vision
- Ohio State University Libraries
- Purdue University Research Repository
- Purdue University Research Repository
- Sound and Vision Netherlands
- State and University Library Denmark
- State Library of Queensland
- State Library Victoria
- The Royal Library (Denmark)
- TIB - National Science and Technology Library and National Economics Library, Germany
- UK Data Archive (University of Essex)
- UMass Amherst Libraries
- University Libraries, University at Albany
- University of Georgia Libraries
- University of Illinois at Urbana-Champaign
- University of Maryland Libraries
- University of Minnesota Library
- University of South Carolina Libraries
- University of Sussex and Special Collections
- Wellcome Library
- York University Digital Library
- ZBW
- *Archives NZ, National Library of NZ*
- *British Library*
- *Dutch Digital Library*
- *Parliamentary Archives (UK)*
- *Public Record Office of Northern Ireland*
- *The National Archives (UK)*
- *The National Library of Wales*
- *University of Manchester*
- *Yale University Library*



Step 3: choosing the right policy for your  
organisation

# Choosing the right policy



# Maturity Modelling - benchmarking

- **Digital Preservation Capability Maturity Model (DPCMM)** – Dollar & Ashley
- **NDSA Levels of Digital Preservation** – *Archive Service Accreditation (UK)*
- **Three-legged Stool Model for Digital Preservation** – *plus the Survey of Institutional Readiness*
- **Five Organisational Stages of Digital Preservation** – Kenney & McGovern
- Trusted Digital Repository (TDR) certification – CoreTrustSeal

## Also

- Re-drafted TRAC questions – *no time to re-run TRAC audit during the DPOC project*
- Excluded DRAMBORA – it required more of a time commitment

# Maturity Modelling - crosswalk

Trusted Digital Repository (TDR) Certification			Digital Preservation Maturity Models					Risk Management Model	Digital Preservation Workflow Models	DPOC Requirements
CoreTrustSeal	TRAC	Nestor Seal	Digital Preservation Capability Maturity Model (DPCMM)	NDSA Levels of Preservation	Three-Legged Stool for Digital Preservation ( <i>Survey of Institutional Readiness</i> )	Assessing Organisational Readiness (AOR) <i>formerly Assessing Institutional Digital Assets (AIDA)</i>	Five Organisational Stages of Digital Preservation (Kenney & McGovern)	CLOCKSS Threats Model and Mitigation Strategy	Digital Stewardship End-to-End Workflow Model	Digital Preservation at Oxford and Cambridge (DPOC)