

IndiPres Digital Preservation Policy Development Workshop

Indiana State Library, Thursday, Sept. 15th, 8:30am-3:00pm

Instructor

Matt Schultz (Grand Valley State University)

Schedule & Agenda

8:30am-9:00am	Light Breakfast, Welcome, Set-Up
9:00am-9:15am	Introductions & Overview
9:15am-10:20am	Presentation & Writing Session: Why Policies? This first session will provide standard rationales and good justifications for the importance of developing digital preservation policies and facilitate some discussion around the benefits of advancing work on policies. This session will also provide attendees with an opportunity to begin drafting Purpose, Mandate, and Objectives sections for their own institution's policy.
10:20am-10:30am	Break (10 minutes)
10:30am-12:00pm	Presentation & Writing Session: What's in a Policy? This second session will provide an overview of standard digital preservation policy elements and review some examples from institutions of various types/sizes. Attendees will then have an opportunity to practice drafting policy statements for one or more specific policy elements.
12:00pm-12:45pm	Lunch & Interactive Exercise: Where Do I Start? This will be a casual working lunch. Attendees will be encouraged to identify and discuss the current stage/state of their own policies and gain some familiarity with the overall policy development cycle.
12:45pm-2:00pm	Presentation & Writing Session: Policy Development Roadmap This post-lunch session will describe the policy development cycle in more detail and explore strategies, roles & responsibilities, timelines, and deliverables. This session will provide an opportunity to draft policy elements related to Roles & Responsibilities and Collaborations.
2:00pm-2:45pm	Presentation & Brainstorm: Challenges & Considerations This final session will cover some of the typical challenges that can confront a policy development process and highlight some helpful considerations for getting started and maintaining policies. Attendees will have a chance to brainstorm in groups some ways to manage policy development challenges at the institutional level.
2:45pm-3:00pm	Wrap-Up & Final Q&A

Instructor Bio

Matt Schultz

Matt Schultz is the Metadata & Digital Curation Librarian at Grand Valley State University (<https://www.gvsu.edu/>). He received a Master of Science in Information (MSI) in 2009 from the University of Michigan where he specialized in Archives & Records Management. Schultz is also an alumnus of GVSU where he graduated in 2007 with a BA in History. Prior to returning to GVSU to serve the University he was Program Manager for the MetaArchive Cooperative (<http://www.metaarchive.org/>), an international digital preservation network. Schultz has nearly a decade of experience working with cultural heritage institutions, advancing digital libraries/archives, and developing digital preservation policies.

IndiPres Digital Preservation Policy Workshop

Handout: Resources & Examples

Digital Preservation Resources

Digital Preservation Management Workshop

(<http://www.dpworkshop.org/workshops/fiveday.html>)

Digital Preservation Outreach & Education

(<http://www.digitalpreservation.gov/education/>)

Digital POWRR

(<http://digitalpowrr.niu.edu/>)

General Policy Resources

SCAPE Catalogue of Preservation Policy Elements

(<http://wiki.opf-labs.org/display/SP/Catalogue+of+Preservation+Policy+Elements>)

DPC Institutional Policies & Strategies

(<http://handbook.dpconline.org/institutional-strategies/institutional-policies-and-strategies/>)

Analysis of Current Digital Preservation Policies: Archives, Libraries & Museums

(<http://blogs.loc.gov/thesignal/2013/08/analysis-of-current-digital-preservation-policies-archives-libraries-and-museums/>)

Online Policy Examples

Minnesota Historical Society

(<http://www.mnhs.org/informationpolicy>)

National Museum of Australia

(http://www.nma.gov.au/about_us/ips/policies/digital_preservation_and_digitisation_policy)

University of Minnesota Libraries

(<https://www.lib.umn.edu/dp/digital-preservation-framework>)

Purdue University Research Repository

(<https://purr.purdue.edu/legal/digitalpreservation>)

UIUC IDEALS

(https://www.ideals.illinois.edu/bitstream/handle/2142/2383/IDEALS_PreservationPolicy_Nov2009.pdf)

ICPSR

(<http://www.icpsr.umich.edu/icpsrweb/content/datamanagement/preservation/policies/dpp-framework.html>)

IndiPres Digital Preservation Policy Development Workshop

Institutional Scenario

(for workshop reference purposes)

Purpose

The following institutional scenario is being provided to workshop attendees as an example and a reference resource. We will make use of this scenario throughout the day to demonstrate what a digital preservation policy and a policy development process can look like in a real world cultural heritage institution. This example is not intended to be representative of all types/sizes of institutions but does attempt to snapshot an institution in under-resourced circumstances--something to which we can all likely relate on various levels.

Basic Institutional Description

The Mist County Historical Society & Museum is dedicated to preserving and sharing Mist County history for the enjoyment and education of young and old, residents and travelers alike. We are located two miles north of Holdingford, north and west of St. Cloud in the cozy little town of Lake Wobegon ("the little town that time forgot, and the decades cannot improve"). We have a part-time Interim Director, two full time staff (Head Curator & Program Coordinator), a part-time Administrative/Front-Desk Assistant, half a dozen volunteers, and occasionally a public history student intern from nearby St. Olaf's College. We've seen our assets diminish year upon year, with revenues dipping, and expenses rising as you might expect. Most of our revenue comes from county tax dollars and donations. Membership dollars and special events are a close supporting second. Grants tend to be small and focused on partnership projects and outreach.

Types of Collections & Media

We have historic images online and continue to actively scan from our photograph collection. We are preparing a grant proposal to help us better preserve and provide access to our oral histories that are currently just on CDs. We're growing concerned about the wild variety of portable magnetic and optical media that donors have been bringing to us in recent years (floppy disks, USB thumb drives, BetaCam tapes, DigiCams, CDs/DVDs, etc.). Donors are now asking to send us photos and documents via email and things like DropBox. We're doing our best to accommodate. Everything that is digital gets stored on our computer workstation in the basement, but that is starting to fill up. Our Head Curator keeps an offsite backup and backs up routinely, but is beginning to wonder if it is getting time to contract out for a digital preservation storage service. We've also identified some digital conversion vendors that we think we can work with once we sort out budget questions.

Progress Towards Policy

The Head Curator has had an opportunity to attend a local workshop on digital preservation that was hosted by the local library, with whom we partner, and was sponsored by the Library of Congress. That workshop covered the basics on how to begin preserving digital materials, starting with inventorying holdings, making selection decisions, and getting things well organized. The biggest take-home message is that "digitization is not the same as digital preservation." If we digitize something we also have to preserve it. Bits and bytes can decay too. The Head Curator has been working with a student intern to finalize an inventory. The Interim Director has asked for a plan that identifies priorities for conversion, a request for supporting resources to improve overall digital storage and preservation, and policies to provide some guidance and boundaries for all this work. The Head Curator is taking a first crack at writing policy statements.

Preserving Indiana's Memories *for the Future*



Why Policies?

Session One Workbook

Let's Write!

Purpose

Objectives

Mandate

Purpose: Cornell Example

Cornell University Library Digital Preservation Policy Framework

December 2004

Purpose

This document formalizes Cornell University Library's (CUL) continuing commitment to the long-term preservation of its diverse and extensive range of digital assets. CUL recognizes that a fully implemented digital preservation program has a reliable and sustainable digital archive at its core, compliant with prevailing standards and practice. This program contributes to the University's mission to enrich the intellectual life of the University by fostering information discovery and intellectual growth, nurturing creativity, partnering in the development and dissemination of new knowledge, and ensuring access to this corpus of information over time. CUL is committed to realizing this digital preservation program vision.

<https://ecommons.cornell.edu/bitstream/handle/1813/11230/cul-dp-framework.pdf>



Cornell University
Library

Purpose: Mist County Example

The Mist County Historical Society & Museum is committed to preserving the rich history of the peoples, places, and events of the county and the surrounding region. This commitment includes artifacts donated, collected, and created in digital form.

This policy works together with our collection policies to help guide the institution's curators in their work and ensure that digital materials are available for ongoing education and outreach.

The Historical Society & Museum recognizes that digital preservation is a dynamic field and endeavors to stay abreast of best practices and appropriate use of technologies. This policy will be updated routinely to address any changes.

Mandate: ICPSR Example

3.1 Mandate

The mandate for digital preservation at ICPSR is multi-faceted:

- *Scholarly commitment:* The digital preservation program at ICPSR enables scholarship by ensuring continued access to social science research results. ICPSR also supports the scientific mission of the Institute for Social Research (ISR) and the broader scholarly mission of the University of Michigan.
- *Membership services:* ICPSR preserves social science digital assets and provides its members with ongoing access to its digital collections.
- *Contractual obligations and grants:* ICPSR has contracted with data producers and received grant funding to ensure that social science research data are preserved and accessible.



<http://www.icpsr.umich.edu/icpsrweb/content/datamanagement/preservation/policies/dpp-framework.html>

Mandate: Mist County Example

The Mist County Historical Society & Museum takes seriously its responsibility to the county, its citizen taxpayers, our member donors, and any granting agencies to be good stewards of the resources the institution devotes to digital preservation.

The Historical Society & Museum will work with the Governing Board to approve all requests to allocate resources for this important area of work and will report regularly to the public on impacts for collection building and education/outreach.

Objectives: Univ. of Minnesota Libraries Example

3.2 Objectives

The primary intention of the digital preservation program is to preserve future access to digital resources that are determined (by collections policy) to be of high value to the University Libraries over the long-term. Some program objectives are to:

- Protect the Libraries' investment through a fully implemented digital preservation program.
- Demonstrate organizational commitment through identification of sustainable funding for the program.
- Comply with preservation community standards and best practices.
- Seek, expand, and develop digital preservation methods that are appropriate for the Libraries and the University community.
- Identify, through systematic selection, classes of digital resources to be preserved.
- Assess the risks for loss of content posed by technology variables such as proprietary file formats, applications, and obsolescence.
- Evaluate the digital content to determine what type and level of format conversion (migration) or other preservation actions may be required.
- Determine the appropriate type and level of metadata needed for each content type and the relationship to the object(s).
- Include materials that originated in digital form (born digital) and those converted to digital form.

[top](#)



<https://www.lib.umn.edu/dp/digital-preservation-framework>



Objectives: Mist County Example

Through this digital preservation policy the Mist County Historical Society & Museum seeks to:

1. Preserve and make accessible the rich history of the County
2. Demonstrate a commitment to preservation in the digital age
3. Be faithful stewards of the public trust
4. Develop successful partnerships with peers, funders, and technology vendors
5. Grow our expertise and leadership
6.? Think out of the box!

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What's In a Policy?

Session Two Workbook

Let's Write!

Operating Principles

Preservation Strategies

Challenges

Operating Principles: Purdue Example

Principles

The PURR digital preservation program will adhere to the following principles:

- Comply with the Open Archival Information System (OAIS) reference model standard and other digital preservation standards and practices as they evolve.
- Seek to conform to certification requirements for ISO Standard 16363 for Trusted Digital Repositories.
- Adhere to prevailing community standards for preserving access to digital content of long-term value so that it remains readable, meaningful, and understandable.
- Consider the preservation implications of any systems designed or implemented to manage digital content.
- Commit to an interoperable, reliable, and scalable digital archive with appropriate storage management for content.
- Document PURR policies, procedures, and practices clearly and consistently.
- Maintain hardware, software, and storage media containing archival content in keeping with prevailing best practices, including adherence to environmental standards, quality control specifications, and security requirements.
- Establish adequate and secure backup and disaster recovery safeguards.
- Establish procedures to meet archival requirements pertaining to provenance, chain of custody, authenticity, and integrity of content.
- Capture and maintain adequate metadata to document digital content and what is required to provide access to the content.
- Define a sustainability plan that ensures the cost-effective, transparent, and auditable management of the digital archive over time.
- Seek to monitor threats to the accessibility of digital content.
- Comply with intellectual property, copyright, and ownership rights for preservation of and access to all content.
- Attempt to allocate adequate and appropriate resources and infrastructure for sustained digital preservation, acknowledging the need to tailor collecting programs according to the ability to preserve content and the availability of resources for preservation activities.

<https://purr.purdue.edu/legal/digitalpreservation>

Operating Principles: Mist County Example

The Mist County Historical Society & Museum will:

1. Engage best practices and adopt standards for digital preservation as capacity and resources permit
2. Develop sustainability plans and processes to ensure ongoing support for digital preservation
3. Make use of reliable, affordable, and proven technologies
4. Commit to a healthy balance of internal and external expertise and services
5. Preserve only those digital materials for which there is ownership and permission
6. Take seriously the role of information security

Preservation Strategies: UIUC IDEALS Example

Preservation Strategies

Digital preservation management activities in the IDEALS initiative include:

- Development and maintenance of reliable options for the ingest of new materials into the repository, based on community standards or best practices;
- Provision of reliable data management services for timely access to deposited content;
- Development and maintenance of archival storage for deposited content;
- Conducting IDEALS management and administrative activities in such a manner as to further the program's mission of preserving deposited content;
- Monitoring and remaining active in community preservation activities, best practices and standards; and
- Developing local preservation planning activities that will anticipate and respond to changes in the preservation environment (e.g. format migration or emulation strategies).

https://www.ideals.illinois.edu/bitstream/handle/2142/2383/IDEALS_PreservationPolicy_Nov2009.pdf

Preservation Strategies: Mist County Example

Mist County Historical Society & Museum will responsibly accomplish digital preservation by:

1. Inventorying digital materials
2. Selecting digital materials in accordance with our collection policy
3. Investigating needs for legacy digital media
4. Identifying file formats and migration scenarios
5. Recording digital signatures
6. Securing sufficient digital storage and seeking redundancy
7. Routinely auditing digital materials for integrity
8. Producing access copies and metadata

Challenges: Univ. of Minnesota Libraries Example

4.6 Challenges

There are recognized challenges in implementing an effective and enduring digital preservation program, including:

- **Rapid growth and evolution:** Technology that enables the variety of formats and dissemination mechanisms changes rapidly. Establishing a program that is responsive to change is a large challenge.
- **Sustainability:** The need for effective cost models and an affordable program is widely acknowledged. The scale is based on the level of commitment. The program should reflect reasonable expectations of requisite resources, i.e., the Libraries should not promise more than can be delivered.
- **Content provider partnerships:** Working with creators and providers of valued content to employ appropriate provisions prior to deposit will better facilitate future preservation.
- **Enabling full preservation:** Moving from well-managed digital collections to preserved collections in the true sense of the term requires ongoing institutional effort, partnership development, and financial commitment.
- **Flexibility:** To respond to evolving technological capabilities and changing user expectations, the digital archive must revise continually the definition of the dissemination information package (DIP) that will allow for the delivery of information to an expanding array of content delivery platforms.
- **Education:** Training and awareness will be provided for all staff since they contribute directly and indirectly to the digital preservation function, although the majority of staff members do not have digital preservation as an explicit or significant portion of their responsibilities. The Libraries is committed to providing appropriate training for, and raising awareness about, digital preservation issues and developments both for its internal staff and for the broader community of digital content producers, archivists, and users.



<https://www.lib.umn.edu/dp/digital-preservation-framework>

Challenges: Mist County Example

The Mist County Historical Society & Museum recognizes that there will be challenges for its digital preservation program, which include:

1. Addressing changes to technology over time
2. Balancing financial and other supporting resources to ensure sustainability
3. Allocating staff and keeping staff trained
4. Managing relations with partners and vendors
5.? What are some other challenges you foresee?

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Policy Development Roadmap

Session Three Workbook

Let's Write!

Roles & Responsibilities

Collaborations

Roles & Responsibilities: Purdue Example

Roles and Responsibilities

Librarians and archivists have always been responsible for preserving and providing access to the scholarly record. This role continues as scholarly resources evolve from physical to digital formats. Although the Purdue University Libraries has primary responsibility for digital preservation of scholarly resources on behalf of the University, digital preservation is a shared responsibility with all stakeholders. The PURR Steering Committee, comprised of the Dean of Libraries, the Vice President for Research, and the Vice President for Information Technology and Chief Information Officer, is responsible for evaluating and approving policies and procedures for the preservation of content submitted to PURR. Archivists and librarian subject experts have responsibility for selecting content for long-term preservation. Faculty, staff, and researchers who create and disseminate content identified for long-term preservation have a responsibility to actively contribute to fulfilling this policy by adhering to PURR's preservation recommendations for file formats, metadata, and related activities.

<https://purr.purdue.edu/legal/digitalpreservation>



Roles & Responsibilities: Mist County Example

The Mist County Historical Society & Museum understands digital preservation to fall under its mission as a cultural heritage institution.

The daily operations of the digital preservation program will be administered by the Head Curator of Collections with assistance from volunteers and interns and oversight from the acting Director.

The Director and the Governing Board will recommend and approve resources in furtherance of the program.

Where necessary the Historical Society & Museum will work with external partners to leverage expertise and sharing of resources.

Collaborations: ICPSR Example

5.2 Cooperation and Collaboration

The active and collaborative research program at ICPSR integrates digital preservation requirements and competencies into its priorities and acknowledges digital preservation as a shared community responsibility. ICPSR has long-standing and emerging partnerships with other data archives, other digital repositories, data producers, and data providers in the United States and internationally for digital preservation cooperation and collaboration. The ICPSR website maintains a current list of [thematic collections](#).



<http://www.icpsr.umich.edu/icpsrweb/content/datamanagement/preservation/policies/dpp-framework.html>

Collaborations: Mist County Example

The Mist County Historical Society & Museum values collaboration with peers, funders, and vendors as key to success for its digital preservation program.

The HS&M works closely with St. Olaf's College to garner student interns/volunteers and to secure some technology consulting services.

The HS&M works closely with the Lake Wobegon District Library to mutually contract for commercial cloud storage and access services.

We are grateful to the NHPRC and the NEH for their support of our digitization and conversion initiatives.

ACME Conversion Services provides offsite digitization and conversion on a contract basis.

Policy Development Roadmap

