

# Digital Preservation Policy

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**Policy Owner/Sponsor:** Head of Digital Collections and Preservation, Bodleian Libraries Systems and Services

**Policy Contact:** Head of Digital Collections and Preservation, Bodleian Libraries, Systems and Services

**Prepared By:** Policy and Planning Fellow (Polonsky Digital Preservation Programme)

**Approved By:** Bodleian Libraries Round Table

**Date Approved:** 19/03/2018

**Next Review:** 24/04/2020

**Availability:** Public



## 1. Summary

- 1.1. Bodleian Libraries preserves its digital collections with the same level of commitment as it has preserved its physical collections over many centuries. Digital preservation is recognized as a core organizational function which is essential to Bodleian Libraries' ability to support current and future research, teaching, and learning activities
- 1.2. The purpose of the digital preservation policy is to provide a statement on Bodleian Libraries' ongoing commitment and approach to preserving its digital collection

## 2. Related policies

- 2.1. The digital preservation policy should be read in conjunction with Bodleian Libraries' Collection Management policies, Metadata policy, Architecture policy, and Digitization policy

## 3. Target Audience

- 3.1. This policy applies to Bodleian Libraries staff who create, collect, and manage digital collections held by or on behalf of Bodleian Libraries. The policy is also of interest to collection donors, funding bodies, researchers, and users of Bodleian Libraries' digital collections

## 4. Mandate and task

- 4.1. Bodleian Libraries collects, creates, preserves, and provides access to collections on behalf of members of the University of Oxford and the wider world of scholarship. Through preserving its unique digital collections, Bodleian Libraries enables the University of Oxford's vision to support research and education on a national and global scale
- 4.2. As a legal deposit library, Bodleian Libraries has a legal mandate to collect digital collections acquired under UK non-print legal deposit legislation (2013). In collaboration with the UK's other five legal deposit libraries, Bodleian Libraries is committed to contributing towards the preservation of non-print legal deposit collections on behalf of current and future generations

## 5. Policy Statement

### 5.1. Scope

- 5.1.1. The digital preservation policy applies to all digital collection material *held for the purpose of long term preservation* by or on behalf of Bodleian Libraries
- 5.1.2. The digital preservation policy also applies to preservation metadata and persistent identifiers associated with such digital collections

### 5.1.3. Collection content covered by the digital preservation policy are:

- Published digital collections
- Unpublished digital collections (*including personal and organisational archives held as Special Collections*)
- Research outputs (*as collected by Oxford University Research Archive*)
- Administrative records of the University of Oxford (*where selected for permanent retention as part of the University's Archive*)
- Administrative records of Bodleian Libraries (*where selected for permanent retention as part of Bodleian Libraries' Archive*)
- Digitized materials (*if selected for retention*)
- Audio-visual materials

- Web archives

#### **5.1.4. Content not within scope of the digital preservation policy are:**

- Any digital material which is not intended for permanent retention, which is instead governed by general IT policy
- Administrative data in active use, which is instead governed by departmental practices and relevant statutory regulations
- Commercial content which is not managed by Bodleian Libraries, and over which it has no rights other than access
- Web content hosted on behalf of external organizations or individuals, which is instead managed in accordance with Service Level Agreements

#### **5.1.5. Non-print legal deposit**

Non-print legal deposit collections are managed by the British Library on behalf all six UK legal deposit libraries. Bodleian Libraries commits to, where appropriate, engage with and advise on preservation of remotely held non-print legal deposit content in-line with the principles of its own digital preservation policy

## **5.2. Principles**

5.2.1. Bodleian Libraries takes a proactive and risk-managed approach to digital preservation. It recognizes that preserving access to digital collections requires ongoing planning, active management, and organizational commitment from the point of creation or accession. Bodleian Libraries' principles for implementing digital preservation are all underpinned by this approach

### **5.2.2. Sustainability**

- 5.2.2.1. Bodleian Libraries will enact a well-balanced and robust funding model for digital preservation
- 5.2.2.2. Bodleian Libraries will collaborate with other departments in GLAM, the wider University, and peer institutions, in order to achieve economies-of-scale and improved sustainability of its digital preservation capabilities

### **5.2.3. Workforce development**

- 5.2.3.1. Bodleian Libraries will ensure that it has dedicated staff with relevant skills to support preservation of its digital collections
- 5.2.3.2. Staff responsible for managing and preserving digital collections are provided with professional development opportunities to ensure they can fulfil the requirements of their job roles

### **5.2.4. Collecting and managing**

- 5.2.4.1. Bodleian Libraries will create and manage its digital collections in accordance with standards which are commonly adopted within the heritage sector and digital preservation community
- 5.2.4.2. Where Bodleian Libraries is able to influence the creation of digital collections, it acquires and creates digital material in sustainable formats
- 5.2.4.3. Bodleian Libraries ensures that its digital collections are managed in a manner which safeguards them against inadvertent alteration and non-authorized access in accordance with its Collection Management policies

### **5.2.5. Technical infrastructure**

- 5.2.5.1. Bodleian Libraries will invest in and supports the technical infrastructure required to carry out preservation of its digital collections

- 5.2.5.2. Bodleian Libraries recognises that digital collections require management beyond the life-span of the technical infrastructure and systems currently used to manage them. Systems used for managing digital collections are chosen and/or developed using appropriate and tested exit strategies for digital files and metadata
- 5.2.5.3. Bodleian Libraries will build technical infrastructure which supports reporting and monitoring of systems, as is required to undertake preservation activities and proactive planning
- 5.2.5.4. Bodleian Libraries will continue to document, monitor and refresh its technical workflows and processes over time
- 5.2.5.5. Wherever possible, Bodleian Libraries favours the adoption of open, community-led standards and tools for digital preservation rather than closed or proprietary solutions

#### **5.2.6. Preservation activities**

- 5.2.6.1. Bodleian Libraries will actively monitor its collections for corruption and unauthorized changes
- 5.2.6.2. Bodleian Libraries may undertake preservation activities, such as migration from one file format to another file format, to ensure that digital collections can render in current computing environments
- 5.2.6.3. Any preservation activities performed on digital collections are tested, evidenced-based, and recorded

#### **5.2.7. Metadata**

- 5.2.7.1. Bodleian Libraries create metadata for managing and describing its digital collections in accordance with its policy on Metadata
- 5.2.7.2. Bodleian Libraries permanently retain and actively manages persistent identifiers used to identify and locate digital objects which are to be preserved in the long-term

#### **5.2.8. Collaboration**

- 5.2.8.1. Bodleian Libraries aim to foster partnership with organisations around the world (such as the Digital Preservation Coalition, Open Preservation Foundation, Portico, and CLOCKSS) to share its experience of preserving digital collections and further the state of art in digital preservation

## **6. Roles and Responsibilities**

### **6.1. Responsibilities**

Responsibility for the preservation of digital material lies primarily with relevant digital repository service owners and subject experts, who develop and manage collections, have responsibility for service policies and are the primary point of contact for creators and users of digital materials.

Bodleian Libraries ensures that there is dedicated support, training and advice for staff responsible for preserving digital collections.

### **6.2. Implementation of the policy:**

- The Head of Digital Collections and Preservation is responsible for implementing and communicating the digital preservation policy, and for updating the policy implementation plan
- Bodleian Libraries' Digital Policy Board is responsible for overseeing the day-to-day implementation of the digital preservation policy

### 6.3. Oversight of the policy:

- Bodleian Libraries Round Table is responsible for governance of the Digital Preservation policy
- Head of Digital Collections and Preservation is responsible for reporting on progress around implementing the policy to Bodleian Libraries Round Table, the Executive and Associate Director of Scholarly Resources

### 6.4. Review of the policy:

- Head of Digital Collections and Preservation is responsible for review and update of the Digital Preservation policy by the stipulated review date

## 7. Related Legislation and Policy

### 7.1. Relevant legislation

The archives and library functions within Bodleian Libraries operate within the wider UK legal framework. This legislation includes:

- Data Protection Act (2018 c12)
- Computer Misuse Act (1990 c18)
- Copyright, Design and Patent Act (1988 c48), and amendments to this Act
- Legal Deposit Libraries (non-print works) Regulations (2013 No.777)
- EU Copyright Directive (2001)
- Freedom of Information Act (2000 c36)
- Environmental Information Regulations (2004 No3391)

### 7.2. Related Library and University policies

The digital preservation policy should be read in conjunction with:

- Bodleian Libraries' collection policies:
  - *Collection Management policy*
  - *Special Collections Collection Management policy*
  - *Special Collections Collection Development policy*
  - *Disposal, retention and transfer*
  - *Legal deposit*
- Repository service specific policies for Bodleian Libraries Electronic Archives and Manuscripts, the Oxford University Research Archive, and Digital Bodleian
- Bodleian Libraries' "Digital policies":
  - *Architecture*
  - *Metadata*
  - *Digitization*
- *The University of Oxford's Research Data Management Policy*

## 8. Definitions

Accessioning	<i>The process of bringing digital objects under the physical and intellectual control of Bodleian Libraries</i>
Digital repository	<i>Services which collect and manages digital collections. At Bodleian Libraries the three core repository services are:</i> <ul style="list-style-type: none"> <li>• <i>Bodleian Libraries Electronic Archives and Manuscripts (BEAM)</i></li> <li>• <i>Oxford University Research Archive (ORA)</i></li> <li>• <i>Digital Bodleian</i></li> </ul>
Digitize	<i>The process of creating a digital facsimile of an analogue item – such as a book, manuscripts or video cassette</i>
GLAM	<i>Gardens, Libraries and Museums</i>
Long term preservation	<i>Long term preservation is the act of maintaining correct and independently understandable information over the long term. Long term is defined as a period long enough to raise concern about the effect of changing technologies, including support for new media and data formats, and of changing user needs</i>
Metadata	<i>The set of information required to enable content to be discovered, managed and used by both humans and automated systems</i>
Permanent retention	<i>The act of selecting a record to become part of the permanent archival or special collection(s)</i>
Persistent identifiers	<i>A set of characters used to uniquely identify a digital object or digital collection. Identifiers are managed to ensure their longevity (persistence) over time.</i>
Preservation activities	<i>A set of activities undertaken by Bodleian Libraries to ensure that digital objects remain unchanged (unless a change has been authorized by staff and recorded). Where technically possible and economically feasible, activities may involve ensuring that digital objects are accessible in modern computing environments</i>
Workflow	<i>A defined sequence of tasks performed by either humans or software agents</i>

## 9. Approval

The policy was approved by Bodleian Libraries Round Table on the 19<sup>th</sup> of March 2018.

## 10. Policy Implementation

The policy was implemented on the 24<sup>th</sup> of April 2018.

The policy will be reviewed on the 24<sup>th</sup> of April 2020.

## 11. History

### 11.1. Prepared By

This policy was prepared by the Policy and Planning Fellow, as part of the Polonsky Digital Preservation Project.

### 11.2. Document History and Version Control

Version	Date Approved	Approved By	Brief Description
Version 2.0.2	19/03/2018	Bodleian Libraries Round Table	Current version  Prepared by: Edith Halvarsson, Policy and Planning Fellow, Polonsky Digital Preservation Project
Version 1.2	April 2014	Bodleian Cabinet	Superseded version  Prepared by: Susan Thomas, Digital Archivist, Bodleian Libraries Electronic Archives and Manuscripts