UGA Libraries Digital Preservation Policy
Authored by: Digital Curation Working Group (DCWG)
Version 2, July 2018

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1. Digital Curation Overview

The iterative development of a digital preservation program is critical to the University of Georgia Libraries mission to provide collections and services in support of the instruction, research, and service missions of the University of Georgia. The Libraries develops, manages, and stores collections in a variety of formats; provides access to knowledge and information in those collections using appropriate storage, access, and communications technologies; preserves the information in those collections for present and future generations; and assists and instructs the public in the use of library resources. Digital preservation is the process of active management, which ensures that a digital object will be accessible in the future and maintained in way that safeguards its essential characteristics.

2. OAIS Compliance

UGA Libraries will adhere to relevant standards, best practices and regulatory requirements including but not limited to the Open Archival Information System (OAIS) Reference Model. For more information see: Appendix A. UGA Libraries OAIS Commitment.

3. Administrative Responsibility

3.1 Purpose

The purpose of this policy is to ensure that digital preservation activities library-wide follow accepted national and international standards; to influence and guide the individual policies and procedures of library units; to provide support for various internal and external funding opportunities; to demonstrate the libraries' commitment to preserving the digital assets entrusted to us by donors and partners; and to ensure access to our digital objects by the designated user community. This policy covers a wide variety of digital preservation activities conducted and managed by the departments and units of the UGA Libraries.

The digital preservation policy is in alignment with the UGA Libraries Strategic Plan 2014 and supports the goals of evolving the collection, ensuring a discoverable library, empowering staff, and the role of the Library as publisher.

3.2 Mandate

The DCWG is authorized by the University Librarian and Associate Provost to promote the long-term integrity of and access to the locally held digital collections of the University of Georgia Libraries (DCWG Charge). The group serves in an advisory capacity, reporting and making policy and other recommendations to the UGA Libraries Technology Oversight Group (TOG) and the Libraries units that generate and manage digital content. The DCWG has been charged with identifying and recommending areas for development of common practice and policy across Libraries units.

3.3 Objectives
The objectives of our digital preservation program are to:
- Acquire, preserve and provide access to valuable digital resources.
- Develop a sustainable, cost-effective digital preservation program.
- Build a trusted service for our designated community.
- Support UGA initiatives reliant upon access to the Libraries' digital holdings and initiatives.
- Identify, evaluate, and implement strategic digital curation partnerships beyond UGA.

4. Organizational Viability

4.1 Scope
The digital preservation program will acquire, preserve, and provide access to digital content and associated metadata in accordance with the collection development policies and forthcoming preservation policies of each unit.

This policy applies to born-digital and digitized content of enduring value that UGA Library units are responsible for preserving over the long-term. This can include digital archival materials donated to the library or purchased by the library to add to collections, digital facsimiles of analog materials, born-digital files created during the course of a unit's work, and content harvested from the web. Examples of what are not governed by the policy are files managed by third party vendors (such as subscriptions to journal databases), digital files made solely for researcher use, or temporary working files of a unit.

4.2 Operating Principles
Digital preservation activities at the University of Georgia Libraries will be in accordance with the following principles:
- Serve the needs of the Libraries' designated community by enabling access to digital content over time.
- Adapt preservation strategies to incorporate the capabilities afforded by new and emerging technologies in cost-effective and responsible ways.
- Develop staff/institutional knowledge and expertise, commitment to training and continuing education related to digital preservation.
- Adhere to relevant standards, best practices and regulatory requirements to the fullest extent possible with available resources including but not limited to: Open Archival Information System (OAIS) Reference Model, Audit and certification of trustworthy digital repositories (ISO 16363:2012), and PREMIS data dictionary for preservation metadata.
- Adhere to archival requirements of funding agencies and contracting entities

committing to the long-term preservation of digital content.

- Explore and foster collaborative partnerships, internally and external to the Libraries, to make the best use of available resources and avoid duplicative efforts. Example partners include: GALILEO, EITS, UGA big data initiatives, [Digital Preservation Network](#), [National Digital Stewardship Alliance](#), and [AP Trust](#).
- Uphold the intellectual property rights of content creators; balance intellectual properties rights with access needs of the designated community.
- Uphold rights and agreements of collaborating institutions.
- Adhere to federal and state law, and USG and UGA mandates, pertaining to sensitive data.

4.3 Roles and Responsibilities

A number of groups of stakeholders have critical responsibilities in the digital preservation lifecycle beyond those involved with the daily work of digital preservation, including those who create or utilize the content and those with administrative roles. Individuals may assume multiple roles throughout the lifecycle. These roles are further defined here: [Appendix B. Roles and Responsibilities](#).

4.4 Selection and Acquisition

Selection of digital objects and appropriate levels of curation are governed by each unit's collection development and records retention policies.

The principal categories of local digital collections include: digitization of paper- and image-based materials; digitization of analog audio-visual material; collection of born-digital archival records; acquisition of born-digital audio-visual material; oral history production; stewardship and access for UGA research through the Athenaeum scholarly repository; geo-referenced image files; and publication-related activities of the UGA Libraries including the UGA Press and Georgia Review.

4.5 Access and Use

The UGA Libraries' designated community encompasses anyone with a desire to access our materials. Communities that we frequently serve include, but are not limited to, UGA students and faculty, residents of Athens and of the state of Georgia, scholars, and K-12 students. Access to digital objects is governed by departmental policies, with objects being made available online, onsite, or restricted for a period of time as appropriate.

4.6 Challenges and Risks

The following challenges and risks are experienced universally by institutions with responsibility for digital content.

- Rapid technological change and obsolescence: including unstable media and file formats.

- Growth of information and multiplication of formats.
- Varying degrees of digital preservation awareness and understanding among the variety of content producers.
- Need for sustainable and continuing financial support, including allocation of technological, administrative, and personnel resources for digital stewardship.
- Need for scalable systems and workflows (i.e. staffing, technology, infrastructure, practices) to meet the rapid and evolving growth of collections.
- Need for continual development of current staff expertise and the number of positions involved in digital preservation.
- Difficulty in recruiting and retaining IT staff and other specialists.
- Need for increased collaboration between departments to make efficient use of available staff expertise and resources, and to promote consistent administration of content management, metadata practices, intellectual control and accessibility across departments.
- Need for perpetual maintenance of written documentation of policies, best practices, and procedures.

5. Financial Sustainability

5.1 Institutional Commitment
The UGA Libraries administration acknowledges the importance of a digital preservation program and is committed to funding the program, including maintaining and expanding the ARCHive system when needed. Implementation of this policy framework is contingent upon the infrastructure (technological and human resources) provided by the University of Georgia and the Libraries and the availability of cost-effective solutions.

5.2 Cooperation and Collaboration
The UGA Libraries recognizes the importance of collaboration for a successful digital preservation program, both within the university and with external parties. Collaboration between departments is facilitated through the DCWG and the Head of Digital Stewardship.

6. Technological and Procedural Suitability
Technical and procedural solutions will be guided by the following principles:
- Maintain, acquire and manage necessary technology, and monitor and evaluate evolving technologies.
- Monitor and adapt to new access paradigms as the technology for digital content creation and distribution evolves.
- Follow current best practices for creation and description of digital objects; advise producers on those best practices.
- Normalize workflows and technology across departments with similar preservation requirements.

7. System Security

UGA Libraries will follow policies established by the central IT department of UGA (EITS) for maintaining security of the technical environment (see "Policies, Standards, and Guidelines")

8. Procedural Accountability

8.1 Audit and Transparency

UGA Libraries is committed to transparency and accountability, and will document all digital curation processes, policies, and the institutional commitment and make that documentation available publicly. DCWG will review major systems and workflows annually to assess if they are meeting department needs. Departments will perform a self-assessment using the Audit Checklist for the Certification of Trustworthy Digital Repositories every 3 years to ensure the digital preservation program continues to meet evolving standards and best practices and is responsive to the changing institutional environment. Department self-assessments are reported to DCWG. The next department self-assessments will be conducted in Summer/Fall 2018.

8.2 Framework Administration

Initial policy drafted by the DCWG, 2014-2015 and approved by TOG on July 7, 2015.

Version 2 drafted by the DCWG policy subgroup (June 2018) and approved by DCWG on July 31, 2018.

The UGA Libraries Digital Preservation Policy will be re-evaluated and updated every 2 years by a subgroup appointed by the DCWG. The policy subgroup will include one representative from each relevant department and the Head of Digital Stewardship. Any recommendations made by the policy subgroup must be approved by the DCWG and shared with TOG prior to implementation. Major changes must be approved by TOG.

8.3 Definitions

For a preliminary glossary of terms, please consult the following resources.

Appendix 2: Glossary of the Ohio State University Draft Policy Framework: https://carmenwiki.osu.edu/display/libraries/Digital+Preservation+Policy+Framework+Task+Force#DigitalPreservationPolicyFrameworkTaskForce-Appendix2:Glossary

Section 1.7 Definitions of the *Open Archival Information System (OAIS) Reference Model* (June 2012): http://public.ccsds.org/publications/archive/650x0m2.pdf

8.4 References

Digital Curation and Preservation Framework: Outline, Version 3.0. Curation and Preservation Services (CPS), MIT Libraries, November 2012.
http://www.dpworkshop.org/workshops/management-tools/policy-framework/model-document

Open Archival Information System (OAIS) Reference Model, the June 2012 version is available at: http://public.ccsds.org/publications/archive/650x0m2.pdf.

Attributes of a Trusted Digital Repository: Roles and Responsibilities, May 2002, available at:
https://www.oclc.org/content/dam/research/activities/trustedrep/repositories.pdf

Audit Checklist for Certifying Digital Repositories, September 2011 version available at:
http://public.ccsds.org/publications/archive/652x0m1.pdf

Cornell University Library Digital Preservation Policy Framework, December 2004, available at: http://hdl.handle.net/1813/11230

ICPSR Digital Preservation Policy Framework, June 2012, available at:
http://www.icpsr.umich.edu/icpsrweb/content/datamanagement/preservation/policies/dpp-framework.html

IDEALS [Consortium] Digital Preservation Policy, November 2009, available at:
http://hdl.handle.net/2142/2383

Ohio State University Draft Policy Framework, 2013, available at:
https://carmenwiki.osu.edu/display/libraries/Digital+Preservation+Policy+Framework+Task+Force

University of Illinois at Urbana-Champaign Policies and Procedures, 2013, available at:
http://www.library.illinois.edu/prescons/about_us/policies_procedures/

University of Maryland libraries: Digital Preservation Policy, July 2013, available at:
http://hdl.handle.net/1903/14745

Appendix A. UGA Libraries OAIS Commitment

The UGA Libraries are committed to following the OAIS Reference Model in developing our digital preservation program. This document outlines our current implementation of OAIS.

1. In deciding between possible options, a unit will chose the option that most closely follows OAIS.
2. The overall digital preservation program of the UGA Libraries is structured to follow the high level view of the OAIS reference model:
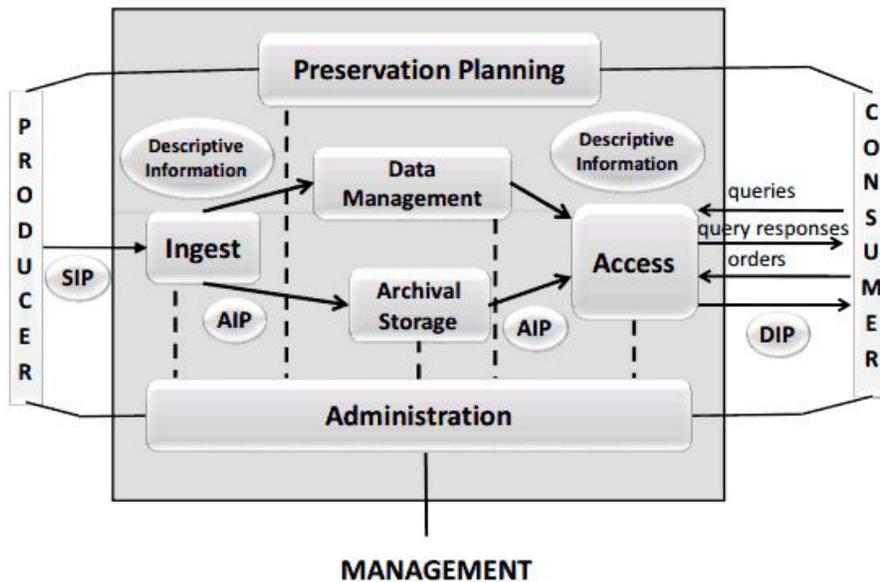
Figure 4-1: OAIS Functional Entities

3. Digital objects will be processed into AIPs that meet the minimum definition as defined by the DCWG as well as any additional definitions added by the department.

Appendix B. Roles and Responsibilities

This appendix defines the responsibilities of each group of stakeholders involved in the digital preservation lifecycle.

Administrators

It is the responsibility of the UGA Libraries' administration to commit to supporting an environment in which digital preservation is regarded as a critically necessary endeavor. This support includes providing adequate managerial, technological, and financial commitment to develop a digital preservation program. Resource allocation in support of digital preservation is crucial to the future of valuable digital materials created, owned, or managed by the Libraries.

Oversight groups

Members of the DCWG are responsible for collaborating with curators and producers to determine the long-term value of digital collections; assess feasibility of preservation given existing technical support and available resources; and advocate for the necessary administrative commitment to achieve the goals of the digital preservation policy. The Digital Curation Working Group will provide resources, policy templates, and consultation to departments as they create their own policies. Department policies should be consistent with each other to the fullest extent possible.

The Technology Oversight Group (TOG) is responsible for reviewing and approving policies proposed by the DCWG. A policy must be approved by TOG in order to become official UGA Libraries policy.

Head of Digital Stewardship

The Head of Digital Stewardship is responsible for leading the creation, implementation, and ongoing execution of policies, procedures, and workflows to collectively preserve the born-digital and digitized collections of the UGA Libraries. The Head serves as the chair of the DCWG.

Curators

It is the responsibility of the curator to guide producers in content submission and selection, undertake preservation actions, monitor risks, perform regular audits and assessment activities. The curator is responsible for communicating the needs of the stakeholders to the oversight groups.

Producers

Producers create and collect digital content for preservation in accordance to submission guidelines. Departments can be the producer.

Consumers

Any individual or service who uses the Libraries' services to discover and access preserved digital information.

Collaborators

Third-party institutions or individuals that either share the Libraries' Designated Community or support the Libraries' digital preservation efforts, financially or technologically.