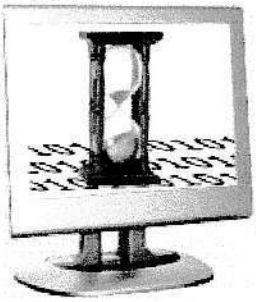
Interview with : Ms. Liz Wakley-Hall, Thursday (6/10/2016) Flinders Uni



Digital Preservation Management:

Implementing Short-term strategies for Long-term problems

Survey of Institutional Readiness

We created this checklist to help you prepare for the workshop and to get you to think about your organization's digital assets in terms of scope, priorities, resources, and overall readiness to address digital preservation concerns.

You will see that the themes of organizational, technological, and resource concerns, which are interwoven throughout the tutorial and workshop, are also reflected in this checklist. Organizational infrastructure confirms institutional commitment to digital preservation, sets the goals and priorities for the program, and acknowledges accepted community practice and standards. The technological infrastructure translates the objectives of the program into technical requirements, recommends and initiates appropriate solutions, and assumes responsibility for ensuring that the organization is able to meet the technological needs of the program over time. Sound decision making for digital preservation is a joint activity that brings together the both organizational and technological components. Undergirding the program are resource commitments—funding, staff, training, services, etc.—that need to be identified and secured as an on-going commitment of the institution.

Do not be alarmed if you answer "no" to most or all of the questions. This survey is intended to help you take stock of the requisite components of a digital preservation program and to help you begin or proceed with your digital preservation planning.

A. Organizational Infrastructure

Organizational readiness is best reflected in the development and adoption of explicit policies that address digital preservation commitments and decisions. Often an organization undertakes a program without first ensuring that the necessary policies and controls are in place.

Mission

1. Can your institution's mission statement be interpreted as supporting a long-term commitment to the preservation of valuable digital materials that your agency has acquired or created?

○ Yes
✓ No
○ Don't know

Policies and Procedures

2. Do you have written policies and procedures that address long-term access (as opposed to those covering digitization)? If No or Don't know, skip to Section B. If Yes, continue to 2a.

✓ Yes — go to question 2a
○ No — skip to Section B
○ Don't know —skip to Section B

2a. Do you have a written agreement with principal stakeholders on defined roles and responsibilities?

- ○ Yes
- ✓ No
- ○ Don't know

2b. Do you have policies and guidelines covering selection, de-selection, and acquisition?

- ✓ Yes
- ○ No
- ○ Don't know

2c. Have you defined and promulgated quality creation requirements and procedures?

- ✓ Yes
- ○ No
- ○ Don't know

2d. Are comprehensive deposit guidelines in place?

- ✓ Yes
- ○ No
- ○ Don't know

2e. Do you have written transfer requirements?

- ○ Yes
- ✓ No
- ○ Don't know

2f. Have you explicitly defined preservation strategies that are appropriate to digital collections and objects that you have committed to preserving?

- ○ Yes
- ✓ No
- ○ Don't know

If yes, please describe:

Authority

3. If you answered yes to any part of question 2, were these digital preservation documents vetted by senior management?

- ✓ Fully
- ○ Partially
- ○ No, but in progress
- ○ No
- ○ Don't know

Implementation

4. Has your organization implemented the policies and practices contained in these documents?

- ✓ Fully
- ○ Partially
- ○ No, but in progress
- ○ No
- ○ Don't know

B. Technological Infrastructure

Organizations tend to rely on or create digital content first and address long-term access later. This section addresses current and planned digital objects and collections, storage management, and depositories.

Digital Collections

5. Do you currently have the following types of digital objects that your institution has committed to maintaining over time? (Some objects may fall into multiple categories. Please check all that apply.)

Licensed e-journal files (articles, issues, journals)
☑ have now ☐ will have ☐ no

Institutional records (in any format)
☑ have now ☐ will have ☐ no

Websites
☐ have now ☐ will have ☑ no

Email
☐ have now ☐ will have ☑ no

Word processing files
☐ have now ☐ will have ☑ no

Digital image files
☑ have now ☐ will have ☐ no

PDF files
☑ have now ☐ will have ☐ no

Numeric data files
☑ have now ☐ will have ☐ no

Databases and spreadsheets
☑ have now ☐ will have ☐ no

Geographic information systems (GIS)
☐ have now ☐ will have ☑ no

Audiovisual files
☐ have now ☐ will have ☑ no

Other (please list)
audio files (seminar presentation, speeches)

6. Are there any digital materials in your holdings for which you lack the operational and/or technical capacity to mount, read, and access?

- ☑ Yes
- ○ No
- ○ Don't know

If yes, please describe:

Software files (zip) → migrate to pdf

Archival Storage

7. Are you using any of these kinds of file storage: (Please check all that apply.)

Online (i.e. spinning magnetic disk)

☐ access copies ☐ master files ☑ backup

Magnetic tape

☐ access copies ☐ master files ☑ backup

CD, DVD, or other optical or magneto-optical disk

☐ access copies ☐ master files ☐ backup ✗

Solid state

☐ access copies ☐ master files ☐ backup ✗

Other (please list)

Storage Practice

8. Does your storage program include: (Please check all that apply.)

- ☑ the use of high quality storage media?
- ☑ an access-controlled area for the machines and media on which files are stored?
- ☑ an environmentally-controlled area for storage media?
- ☑ a disaster recovery plan? ✗ – not library control.
- ☑ a media testing program?
- ☑ a media refreshing/migration plan?
- ☑ backup
- ☐ offsite storage for backups

Other (Please describe.) ✗

Obsolescence
9. Have you undertaken any actions to extend the life of digital content that is threatened by obsolescence of file formats, storage media, and the supporting hardware to access it or other associated hardware and software?

File Formats ○ Yes ◉ No
Storage Media ○ Yes ◉ No
Storage Drive ○ Yes ◉ No not library control

10. What actions have you taken? ×

Depository
11. Have you established any kind of digital depository arrangements for managing your digital collections over time?
◉ Yes
○ No
○ Don't know

Depository Development
12. If yes, have you:

□ developed a depository in-house? ×
□ acquired proprietary software to implement the depository? ×
☑ acquired open-source software to implement the depository? DiSpace
□ outsourced the development/maintenance of the depository? ×
□ contracted with a third party organization for depository services? ×
□ joined a consortium for developing/delivering depository services? ×
□ made other arrangements? (describe) ×

If you have checked any of these, please bring whatever documentation you have of the arrangements.

Security
13. Does your depository have security and other mechanisms in place to ensure the integrity of objects in the depository against intentional or accidental security threats?
◉ Yes – SOP
○ No
○ Don't know

OAIS Compliance
14. Is your organization committed to the development or use of an OAIS-compliant depository for the long-term preservation of digital objects that are or will be within the scope of your preservation program?
◉ Yes – on going process
○ No
○ Don't know

C. Resources

Once the need to establish a digital preservation program is recognized and there is the will to do so, the organization must be ready to build and sustain the program. This section covers resources: financial, human, and technical.

Sustainable Funding

15. Does your institution currently have funding dedicated for the long-term maintenance of your digital collections?

- ✓ Yes
- ○ No
- ○ Don't know

If yes, please describe the extent and nature of funding.

1. Pay for staff (Staff expertise 2 people - not full time)
2. Good infrastructure to maintain - not funding but resource.

If no, please outline potential sources and plans for acquiring funding.

Staffing

16. Are there staff specifically charged with digital preservation responsibility at your institution?

- ○ Yes
- ✓ No
- ○ Don't know

16a. If yes, how many? 4 focus on the open access

16b. If yes, please list their titles.

17. Is there adequate organizational expertise to develop a digital preservation program?

- ✓ Yes if we need to
- ○ No
- ○ Don't know

18. Is there adequate technical expertise to develop a digital preservation program?

- ✓ Yes
- ○ No
- ○ Don't know

19. Does senior management view digital preservation as a key priority?

- ○ Yes
- ✓ No
- ○ Don't know

20. Is there adequate support for staff training in digital preservation? not priority
○ Yes
✓ No
○ Don't know

21. Does your institution currently use outside sources of expertise for digital preservation (e.g., consultants, contracts)?
○ Yes
✓ No
○ Don't know

Technological Infrastructure
22. Is the current technological infrastructure at your organization adequate to build and/or sustain a digital preservation program, with requisite upgrades and enhancements overtime?
○ Yes
✓ No
○ Don't know

Please discuss the status of the infrastructure and potential concerns.

Not priority

23. Has your institution dedicated funds for technology development, replacement, and upgrades as an annual expense?
○ Yes
○ No
✓ Don't know — library manage contents

Administrative Structure
24. Would the digital preservation program be:

✓ Incorporated into existing units?
○ a separate unit?

25. How would you rank the following factors as threats to the loss of digital materials at your institution within the next three years? 1=greatest threat, 5=smallest threat

5 Technological obsolescence
3 Insufficient policies or plans for preservation
4 Insufficient resources for preservation
2 Inadequate support from senior staff
1 Lack of expertise
□ Other: please describe: