Preservation Policy Planning - Worksheet

This exercise has been developed to support selected repositories in the FAIRsFAIR repository support programme in getting CoreTrustSeal certified. It is part of a variety of resources prepared by FAIRsFAIR to support services and individuals in their FAIR data practices.

Depending on your situation, it may take around 60 minutes to complete the exercise. The worksheet has been partially adapted from the Digital Preservation Coalition's (DPC) policy toolkit and the Conversational CoreTrustSeal working paper. This worksheet is not endorsed by the CoreTrustSeal Board and will not guarantee repository certification.

Objectives

- To identify the status of relevant policy components to have a preservation policy in place.
- To structure and plan the writing process of the preservation policy.

Keep in mind that the construction of a preservation policy depends on the context of your repository. There is no one-size-fits-all solution, and you can adjust the content, format and style of your policy accordingly.

Instructions

- To start, indicate the status of each policy component in column 'Status'. Use 0 (doesn't exist), 1 (basic information exists), 2 (managed for this particular area) and 3 (defined and forms part of an integrated management and documentation set). Note that 'R' refers to the CoreTrustSeal assessment requirements. Although all of the below mentioned components are relevant when developing a preservation policy, **we recommend that you focus first on components #6 and #8** as these are some of the most challenging. You may also leave your comments or questions. We will collate them and address the most urgent ones during the upcoming workshop.
- Identify the people within your organisation who are subject experts of each policy component and a responsible person assigned to a specific component (you do not need to share this information with us). In case you do not have an identified contact or you cannot answer a question, explain how you would go about getting an answer.

- Estimate how much time (duration, i.e., hours, days) it will take to cover each relevant policy component, and when (deadline) you will have it ready for integration into your Preservation Policy.

To see examples of existing preservation policies, you may want to check out the UK Data Archives' preservation policy or DANS preservation plan.

Component	Guiding question	Status	Comment/question	Expert	Responsible person for text writing	Duration	Deadline
1. Summary	Is the summary of your policy concise and easily digestible for the reader?						
2. Purpose (R0)	Why has the policy been developed and what does it aim to achieve?						
3. Organisational Strategy Alignment (R0)	How does the policy support the overarching purpose and objectives of your organisation?						
4. Mandate (R1)	What are the drivers for the policy and why do they necessitate digital preservation?						
5. Scope (R0)	What is the scope of the policy in terms of the organisational context and the digital content to be preserved?						
6. Policy Principles	What is the agreed framework and directions for how your organisation approaches digital preservation in a consistent way?						

a)	Organisational viability (R3/R5)	What is your organisation structure, decision making bodies and your funding model?					
b)	Policy and strategy (R3/R5)	What could impact the services you deliver? Do you have enough resources to continue to exist?					
c)	Legal basis (R1)	Does your mission make it clear that your role is to make sure that data and metadata are assessed, curated and made accessible and usable for the long term?					
d)	IT capability (R15)	How do you decide and provide the tools needed to meet your users' needs? How do you govern that technical system over time to manage the expected and the unexpected?					
e)	Continuous improvement (R10) in response to needs of Designated Community (R0) for Reuse (R14) including update of workflows (R12)	How do you make sure you respond to the needs of your designated community for data reuse, including workflows?					
f)	Community Designated	What are the areas of knowledge you depend on and how you engage with and participate in wider groups of experts?					

	Community (R0) and (R6)							
g)	Acquisition, transfer and ingest (R8, R9)	What rules do you use to decide what you will and will not accept to look after? Have you made this information clear to end users?						
h)	Bitstream preservation (R10, R7, R9, R15)	How do you implement and communicate the level of preservation? How do you decide and provide the tools needed to meet your users' needs?						
i)	Content preservation (R10)	Are you informed of the needs of your designated community in accessing, understanding and using the data. How do you adjust to changes in that community and those needs over time?						
j)	Metadata management (general)	How do you manage metadata throughout the entire process?						
k)	Discovery and access (R13)	How do you assign identifiers to your digital objects and expose them and their metadata to systems which support searching? How do you support citing of data and metadata to ensure future provenance and the sharing of credit?						
7. Roles and Responsibilities (R5)		What are the roles and responsibilities covering both the governance and the implementation of the policy?						

8. Standards and Models	How is your organisation committed to following best practice (i.e., specific standards/models)?						
9. Sustainability (R3)	Do you have a sense of the costs that will be associated with your preservation policy? What are the sources of funding in place to deliver on the policy, and how issues of resourcing and efficiency will impact on the overall digital preservation picture?						
10. Related Documents (supporting evidence)	What are related documents ensuring that your policy is concise and focused on digital preservation?						
11. Glossary	Is community-specific terminology and usage explained?						
12. Contact (R0)	Who can be contacted with queries or feedback about the policy?						
13. Document Control	Who is the author of the policy, when was it created and approved, when was it last updated and when is it due for?						
14. First draft	Is the draft complete?						
15 Consultation	How will you share the first draft of the policy with relevant stakeholders and how can they provide feedback?						

16. Final draft	Is the draft complete and ready for external submission?						
17. Implementation	Have you defined a roadmap for implementing the policy? Communication about the policy itself and expectations of different stakeholders is an important step. Bear in mind that training and guidance may be needed during this stage.						
18. Review	Have you scheduled a review of the policy and considered how you will assess the effectiveness of the policy and related procedures? Bear in mind that the costs associated with implementing, supporting and ensuring adherence with the policy should be considered.						