



# FAIRsFAIR

Fostering Fair Data Practices in Europe



## Certification Support Workshop

## Preservation Planning

11 February 2021, 14:00-15:30 CET (online)

10 FAIRsFAIR supported repositories & FAIRsFAIR (WP4) support team  
Kevin Ashley (DCC), Linas Čepinskas (DANS), Joy Davidson (DCC), Tina Dohna (PANGAEA), Patricia Herterich (DCC), Hervé L'Hours (UKDA), Mustapha Mokrane (DANS), Olivier Rouchon (CINES) and Ilona von Stein (DANS)



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@FAIRsFAIR\_EU

# Welcome

## Today's objectives

- Consider long-term preservation planning and its benefits to repositories.
- Discuss the broader view on preservation planning in relation to CoreTrustSeal requirements.
- Share best practices of achieving long-term preservation planning.

## Zoom call

- Please mute your microphone if you're not speaking.
- Please feel free to ask questions via microphone or use chat.

## Registration

- Please add your name and organisation in the workshop minutes.

# 1 year together since 6 February 2020



Image source: <https://libreshot.com/road/>

# Agenda

14:00-14:10 Welcome (Linas Čepinskas)

14:10-14:25 Preservation policy examples from the field

- A DANS example (Ilona von Stein)
- A UKDA example (Hervé L'Hours)
- Questions?

14:25-14:55 Breakout sessions

- Introduction (Linas Čepinskas)
- Facilitated breakout sessions

14:55-15:05 Break

15:05-15:25 Plenary discussion (Linas Čepinskas)

15:25-15:30 Next steps (Ilona von Stein)



# Preservation policy: a DANS example

responsibility  
for long-term  
preservation

supporting  
documentation

*Data Archiving and Networked Services*

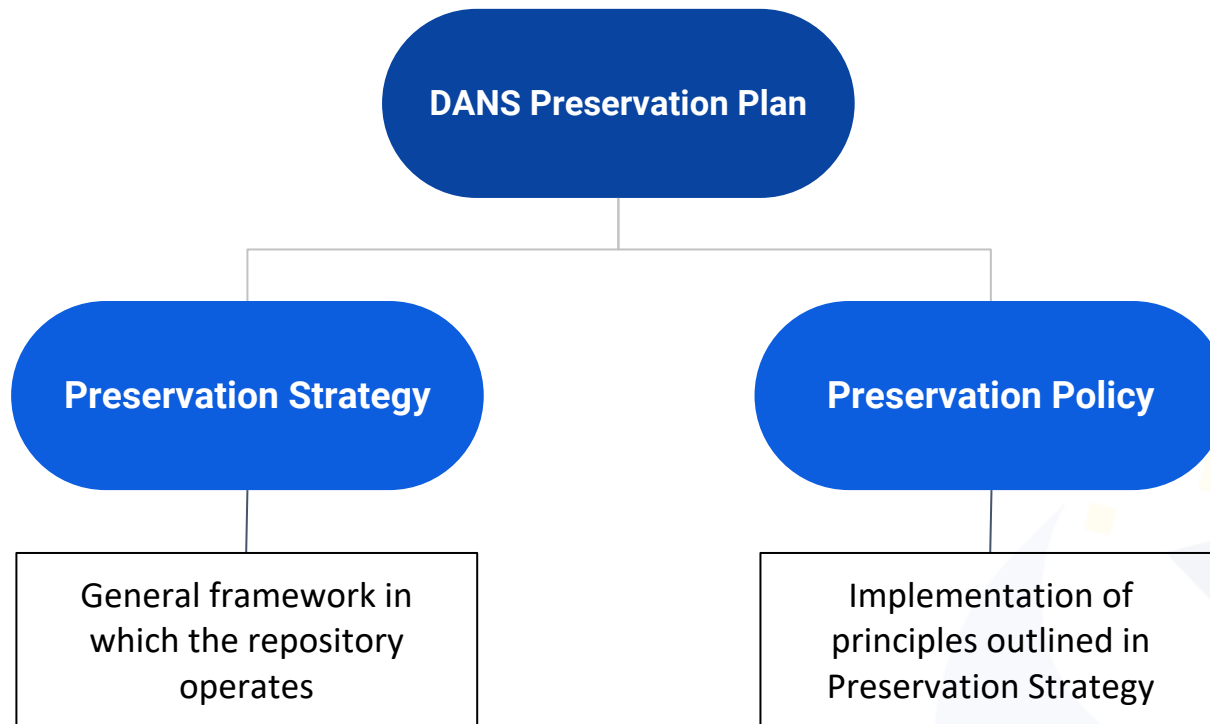
**DANS**

director  
maintaining  
the policy

OAIS  
Reference  
Model  
+ FAIR data  
principles

adapted and  
revised since  
2010

# Preservation Policy: a DANS example



# Preservation Plan DANS

## Preservation Strategy

General framework in which the repository operates

1. Scope and objectives
2. Mission: content and Designated Community
3. Requirements
4. Roles and responsibilities
5. Content Coverage
6. Properties to be Preserved
7. Integrity and Security
8. Sustainability Plans and Funding

## Preservation Policy

Implementation of principles outlined in Preservation Strategy

1. High-level mapping to main functional concepts of **OAIS Reference Model**
2. High-level mapping of Preservation Principles to **FAIR**
3. Recurring monitoring processes (process, frequency, responsible)

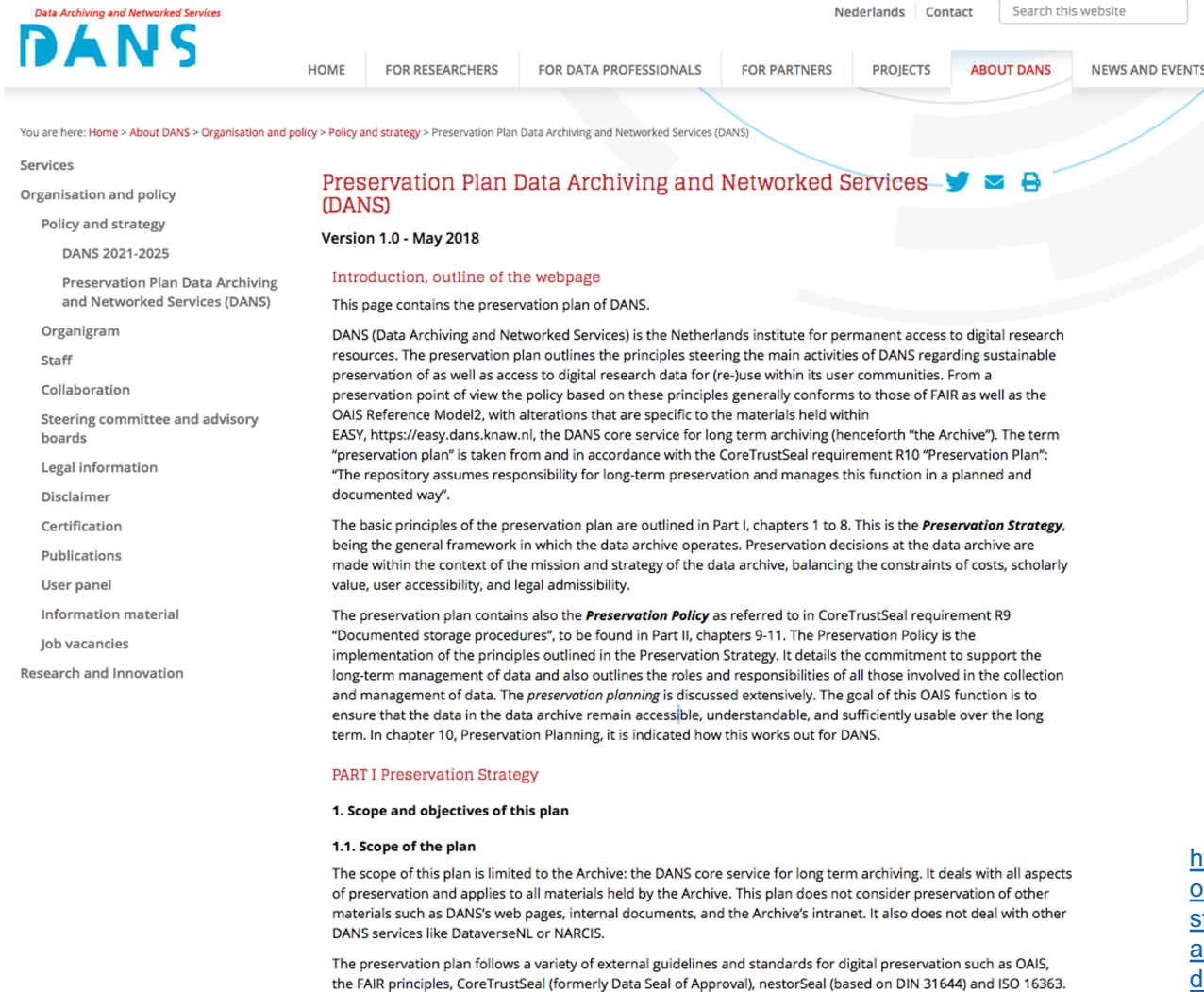
# Mapping documentation to Requirement

Document titel	CoreTrustSeal Requirement	Public (P) / available on Request (R)	Comments and remarks	Location
Service Level Agreement met KNAW ICT-Services	0	R	Latest version 2018, still up to date. No recurring standard yearly renewal	<a href="https://drive.google.com/drive/folders/1cXI">https://drive.google.com/drive/folders/1cXI</a>
DANS Preservation Plan	0,1, 5, 6, 7, 9,10	P	includes Preservation Strategy and Preservation Policy	<a href="https://dans.knaw.nl/en/about/organisator">https://dans.knaw.nl/en/about/organisator</a>
Samenwerkingsovereenkomst DANS-KNAW	1	P	Revised in 2015, still valid until 2025	<a href="https://dans.knaw.nl/nl/over/organisatie-be">https://dans.knaw.nl/nl/over/organisatie-be</a>
EASY General Terms and Conditions of use	2,4	P		<a href="https://dans.knaw.nl/en/about/organisator">https://dans.knaw.nl/en/about/organisator</a>
Deposit agreement	2,3 en 4, 7	P		<a href="https://dans.knaw.nl/en/about/organisator">https://dans.knaw.nl/en/about/organisator</a>
Processing agreement	2,4	P		<a href="https://dans.knaw.nl/en/about/organisator">https://dans.knaw.nl/en/about/organisator</a>
DANS License	2	P		<a href="https://dans.knaw.nl/en/about/organisator">https://dans.knaw.nl/en/about/organisator</a>

DANS Preservation Plan	0,1, 5, 6, 7, 9,10	P	includes Preservation Strategy and Preservation Policy
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# Preservation Plan as text on DANS website



The screenshot shows the DANS website interface. At the top left is the FAIRSFAR logo. The main navigation bar includes links for HOME, FOR RESEARCHERS, FOR DATA PROFESSIONALS, FOR PARTNERS, PROJECTS, ABOUT DANS (highlighted), and NEWS AND EVENTS. A search bar is located at the top right. Below the navigation bar, the breadcrumb trail reads: Home > About DANS > Organisation and policy > Policy and strategy > Preservation Plan Data Archiving and Networked Services (DANS). The left sidebar contains a list of services and categories, with 'Preservation Plan Data Archiving and Networked Services (DANS)' selected. The main content area displays the title 'Preservation Plan Data Archiving and Networked Services (DANS)' with social media icons, followed by the version 'Version 1.0 - May 2018'. The text includes an introduction, the basic principles of the preservation plan, and the scope of the plan.

**Preservation Plan Data Archiving and Networked Services (DANS)**

Version 1.0 - May 2018

**Introduction, outline of the webpage**

This page contains the preservation plan of DANS.

DANS (Data Archiving and Networked Services) is the Netherlands institute for permanent access to digital research resources. The preservation plan outlines the principles steering the main activities of DANS regarding sustainable preservation of as well as access to digital research data for (re-)use within its user communities. From a preservation point of view the policy based on these principles generally conforms to those of FAIR as well as the OAIS Reference Model2, with alterations that are specific to the materials held within EASY, <https://easy.dans.knaw.nl>, the DANS core service for long term archiving (henceforth "the Archive"). The term "preservation plan" is taken from and in accordance with the CoreTrustSeal requirement R10 "Preservation Plan": "The repository assumes responsibility for long-term preservation and manages this function in a planned and documented way".

The basic principles of the preservation plan are outlined in Part I, chapters 1 to 8. This is the **Preservation Strategy**, being the general framework in which the data archive operates. Preservation decisions at the data archive are made within the context of the mission and strategy of the data archive, balancing the constraints of costs, scholarly value, user accessibility, and legal admissibility.

The preservation plan contains also the **Preservation Policy** as referred to in CoreTrustSeal requirement R9 "Documented storage procedures", to be found in Part II, chapters 9-11. The Preservation Policy is the implementation of the principles outlined in the Preservation Strategy. It details the commitment to support the long-term management of data and also outlines the roles and responsibilities of all those involved in the collection and management of data. The *preservation planning* is discussed extensively. The goal of this OAIS function is to ensure that the data in the data archive remain accessible, understandable, and sufficiently usable over the long term. In chapter 10, Preservation Planning, it is indicated how this works out for DANS.

**PART I Preservation Strategy**

**1. Scope and objectives of this plan**

**1.1. Scope of the plan**

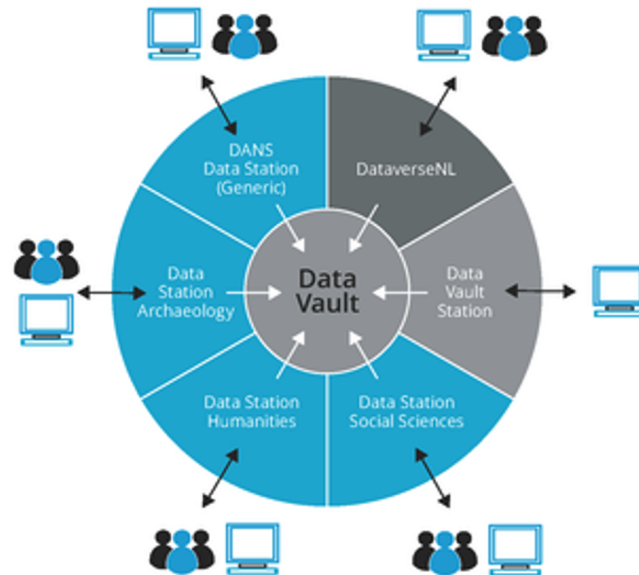
The scope of this plan is limited to the Archive: the DANS core service for long term archiving. It deals with all aspects of preservation and applies to all materials held by the Archive. This plan does not consider preservation of other materials such as DANS's web pages, internal documents, and the Archive's intranet. It also does not deal with other DANS services like DataverseNL or NARCIS.

The preservation plan follows a variety of external guidelines and standards for digital preservation such as OAIS, the FAIR principles, CoreTrustSeal (formerly Data Seal of Approval), nestorSeal (based on DIN 31644) and ISO 16363.

<https://dans.knaw.nl/en/about/organisation-and-policy/policy-and-strategy/preservation-plan-data-archiving-and-networked-services-dans-1>

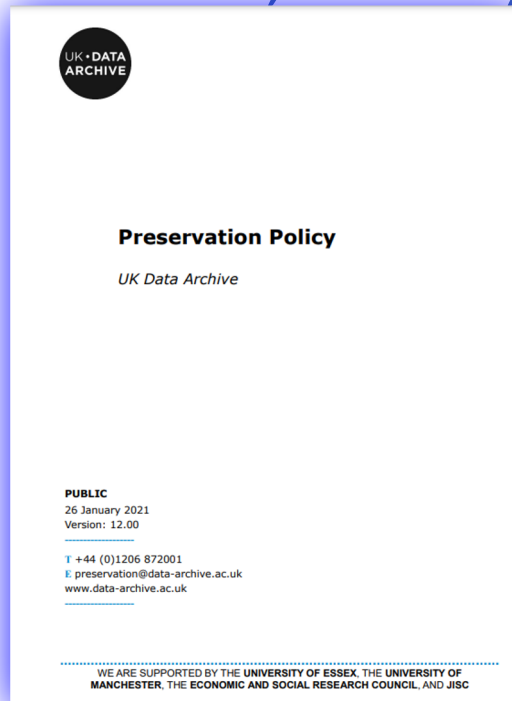
# Preservation Plan DANS next steps

- Revision of preservation plan in line with [updated DANS Strategy 2021-2025](#)



# Preservation policy: a UKDA example

- Formalised as a separate document since 2003
- Annual consultation, review, approval

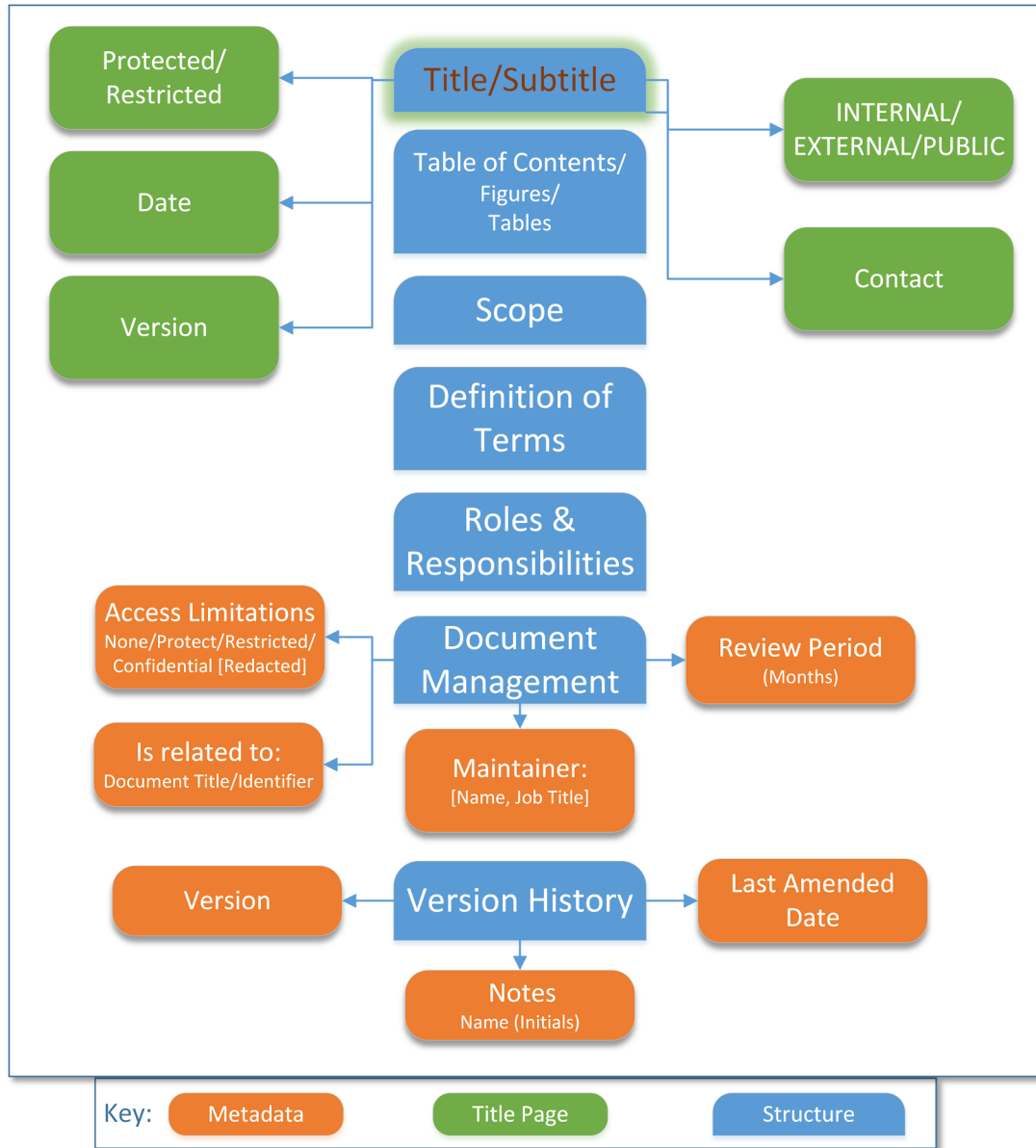


# Preservation policy: a UKDA example

## Standard metadata

- ID, title, version, version history, contact, maintainer, review terms, related documents.





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# Preservation policy: a UKDA example

Part of a wider policy framework

- ISO27001 for information security
- Digital Economy Act (UK) Office of National Statistics



## Information Security

Information Security  
Policy  
CD048

Information Security  
Management Policy  
CD145

Secure Development  
Policy  
CD242

Information  
Classification Policy  
CD147

## Technical Systems

Access Control Policy  
CD146

Remote Access Policy and  
Procedures  
CD148

Encryption Policy  
CD149

Information Backup and  
Restore Policy (CD241)

## Repository & Data Services

Collections Development  
Policy  
CD227

Licence Compliance  
Policy  
CD142

Data Access Policy  
CD239

Preservation Policy  
CD062

## Business Information

Records Management  
Policy  
CD088

User and Depositor  
Records Policy  
CD214

## Business Resources & Relationships

Supplier Relationship  
Policy  
CD245

## Training

Training Policy  
CD229

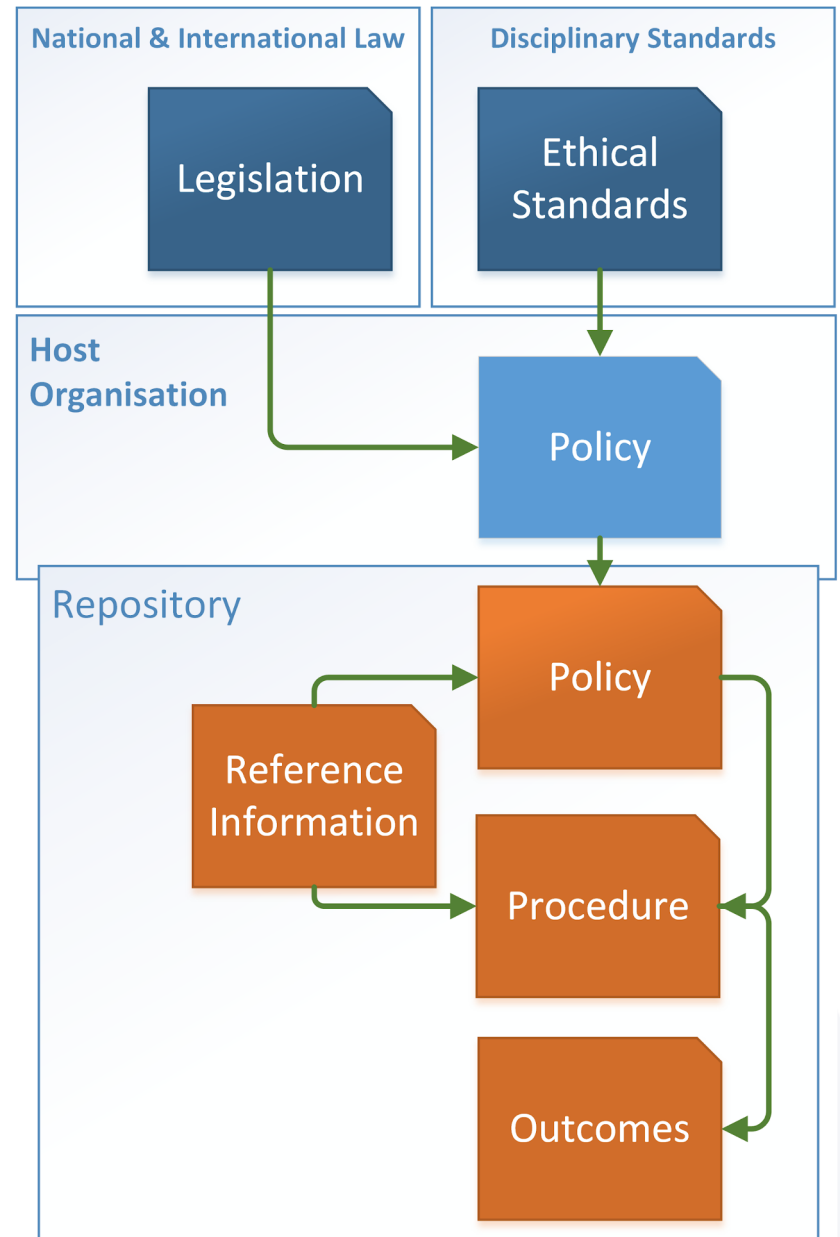
# Preservation policy: a UKDA example

- CoreTrustSeal mapped to controlled docs
- Controlled docs mapped to CoreTrustSeal



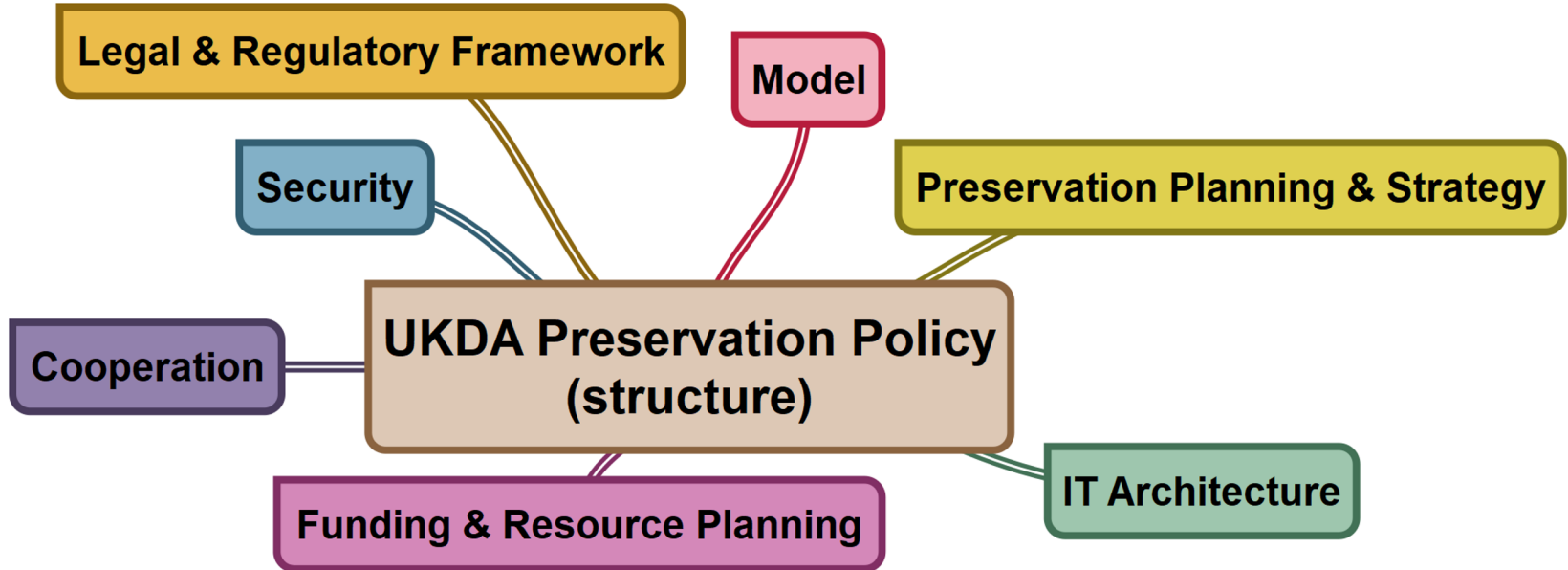


# Policy etc.

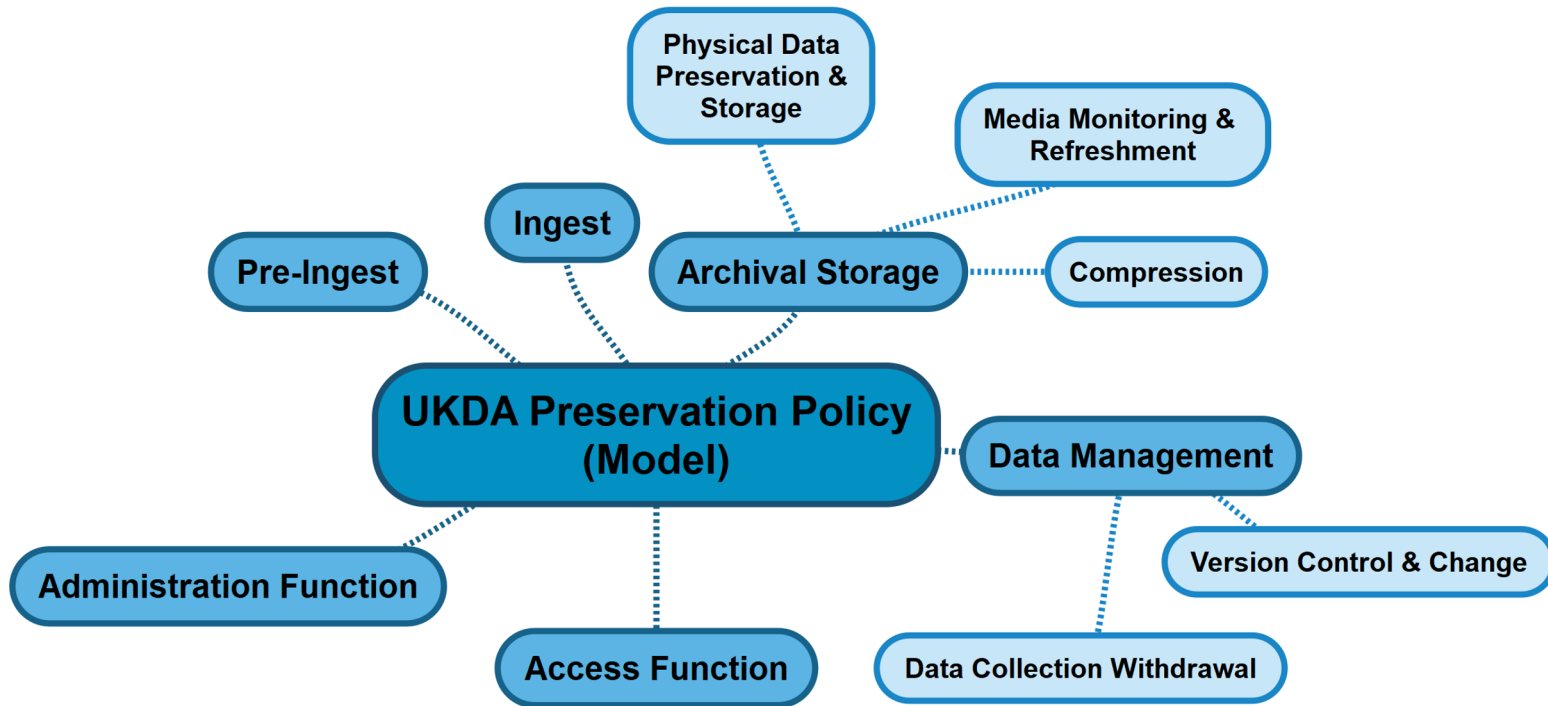


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# Preservation policy: a UKDA example



# Preservation policy: a UKDA example

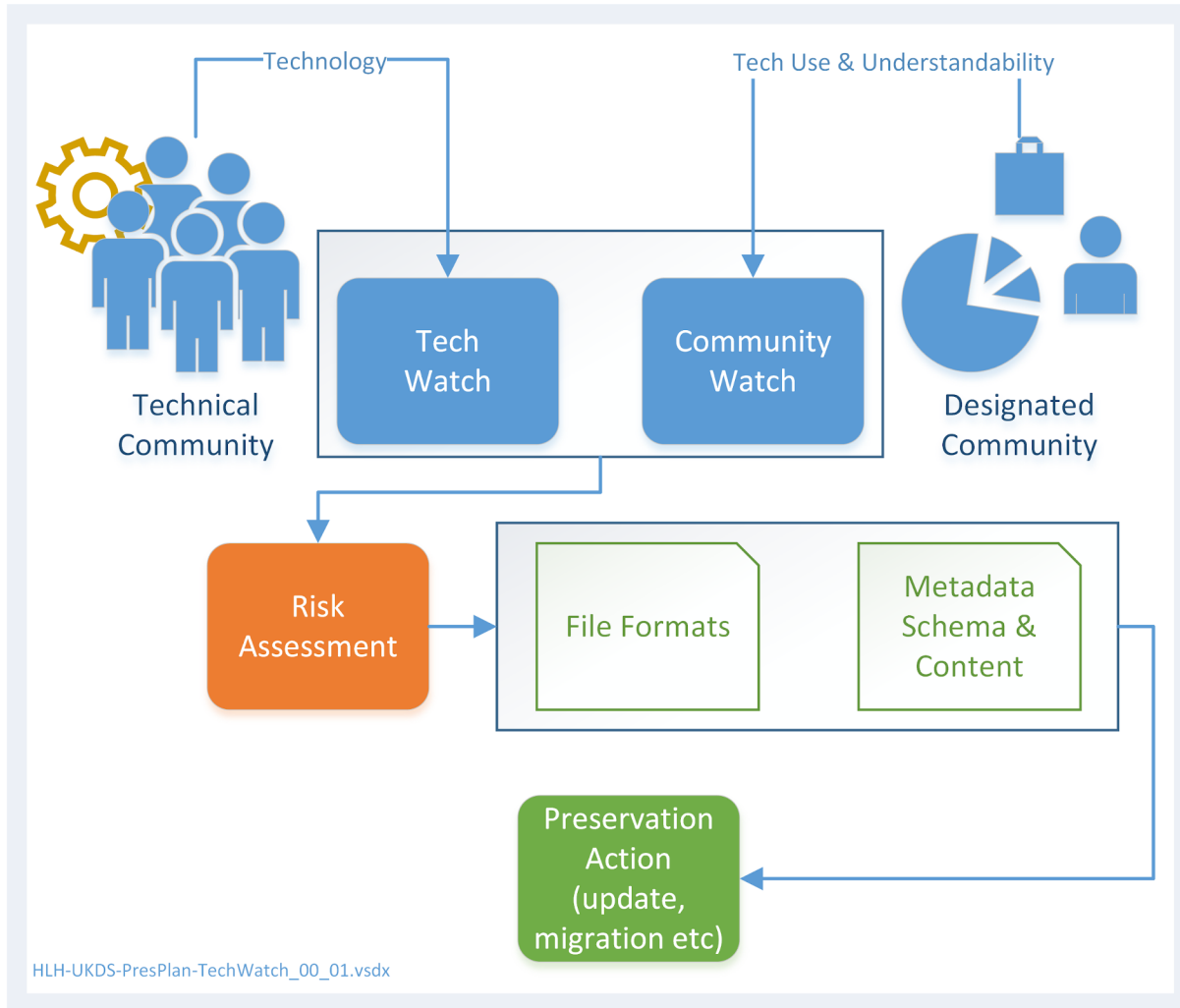


# Preservation policy: a UKDA example

## Future Plans

- Revise for OAIS, CoreTrustSeal & FAIR
- Streamline to must/should statements
- Restructure within Policy-Evidence Framework
- Clearer links to implementation documents
- White Paper release (context, background)

# Preservation policy: a UKDA example



# Preservation planning worksheet: responses

- Five completed worksheets
- Most policy components covered
- Majority of repositories indicate a status of ‘basic information exists’ / ‘managed for this particular area’
- Key questions:
  - Is Preservation Policy a hard requirement for CoreTrustSeal?
  - Can we get more explanation on R10 and level of detail required?
  - Can you link us to associated statements in policy examples?
- Publication of policies expected in Q2 2021

## Preservation Policy Planning - Worksheet

This exercise has been developed to support selected repositories in the FAIRSFAR repository support programme in getting CoreTrustSeal certified. It is part of a variety of resources prepared by FAIRSFAR 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.

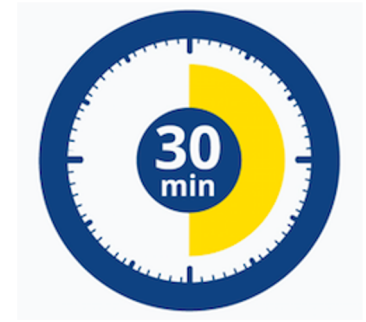
### Objectives

- 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 'X' 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).



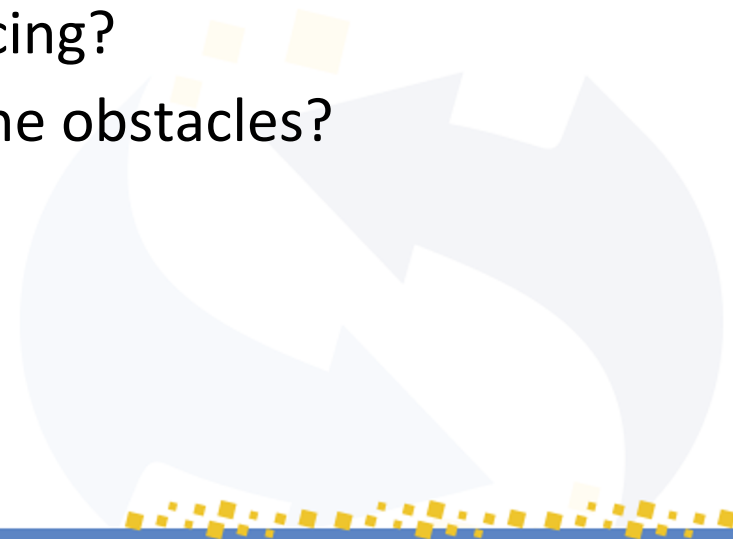
# Introduction to breakout sessions

- Time for more elaborate discussion and exchange of ideas on preservation planning (e.g., implementation stages, obstacles, solutions).
- Four participants and one facilitator per breakout room
- Mixed groups to facilitate team learning and reflection
- Task: after discussion, ask one participant to share top three highlights during plenary discussion:
  - At what **stage** are you in developing preservation policy?
  - What **main obstacles** are you facing?
  - How do you **plan to overcome** the obstacles?

# Plenary discussion

Reporting back from breakout sessions:

- At what stage are you in developing preservation policy?
- What main obstacles are you facing?
- How do you plan to overcome the obstacles?





## Next steps for you

- **March 2021:** final versions of your self-assessments to be submitted to CoreTrustSeal
  - depending on your progress and readiness
- FAIRsFAIR support team at your disposal for further help
- Upon request, further topical, in-depth discussion sessions
- Autumn/winter 2021:
  - other half of the funding provided (based on successful CoreTrustSeal certification and/or best efforts)
  - lightweight reporting on spending of the funds

## Nexts steps for FAIRsFAIR

- Keep providing support material, also for a wider repository audience
  - We actively use your experiences for this
- The RDA FAIR data maturity model WG released [final core assessment object metrics](#).
  - In 2021 we will use your FAIR-questions as input to our recommendations on how to integrate FAIR data properties into certification repository requirements

# References

- Digital Preservation Policy Toolkit ([DPC](#))
- Conversational CoreTrustSeal ([Zenodo](#))
- Earlier meetings in the support programme:
  - Workshop presentation 19 November, 2020 ([Zenodo](#)).
  - Workshop presentation 6 February, 2020 ([Zenodo](#)) and workshop exercise material ([Zenodo](#)).
  - General support call for repositories 11 June, 2020 ([Zenodo](#))
- FAIRsFAIR Deliverables and Milestones:
  - D4.1: Draft recommendations on FAIR dataset requirements ([Zenodo](#))
  - M4.2: Draft Maturity Model Based on Extensions and-or Additions to CoreTrustSeal Requirements ([Zenodo](#))
  - D3.3: Description of FAIRsFAIR's Transition Support Programme for Repositories ([Zenodo](#))
  - [All project outputs](#)
- Blogpost ([FAIRsFAIR](#))