

IS Library Collections Digital Curation Policy

Version	Status	Reason for update	Name	Date
0.1	Draft	Policy is deliverable of P1397	Jacqueline Cooke	18/09/2015
0.3	Draft	For LMG	Jacqueline Cooke	02/10/2015
0.4	Draft	With Sponsor's comments	Robin Armstrong Viner	05/10/2015
1.0	Draft	For LUP and Faculty meetings	Jacqueline Cooke	12/01/2015

1. Introduction

The Information Service (IS) vision for digital curation is to provide a platform for the ongoing creation, presentation and use of **unique and distinctive collections** owned and curated by the University of Kent.

IS will sustainably maintain access to and preserve digital materials identified as being of long term importance to its customers' needs, teaching or research requirements, business necessity or the cultural identity of the University of Kent and its wider community.

Robust digital curation arrangements will protect the significant investment made by the University of Kent in digital resources and ensure that materials are appropriately maintained and stored to support future teaching, research and public engagement.

2. Relationship to the IS Strategy

The Digital Curation Policy supports the Vision, Mission and Values set out in the [Information Services Strategy](#)¹

The Policy supports the following IS strategic aims:

Environment - We offer modern, technology rich and inspiring study environments that stimulate creativity and enhance learning.

Resources -We invest in a rich, relevant and competitive range of teaching, learning and research resources to help our users succeed in their work and studies. We work to make resources accessible, easy to find and simple to use.

Empowerment - We encourage and enable a community of users who can confidently exploit electronic and physical resources, navigate a complex information landscape and use technology to fulfil their potential for learning, working and living in a digital society.

¹ <http://www.kent.ac.uk/is/strategy/index.htm>

Technology - We support academic and business achievements, foster innovation and promote collaboration through enabling and adopting well integrated, fit-for-purpose and cost effective technologies.

The Policy supports the delivery of projects on the [IS Operational Plan](#), notably those under the strategic theme Resources and sub-themes:

- 2.05 Special Collections and Archives;
- 2.08 Scholarly Support/ Research.

It is related to other high-level University of Kent and IS policies and procedures:

- [Copyright Guidelines](#);
- Disaster Planning;
- Business Continuity.

3. Objectives

To describe how digital curation planning and processes will be embedded within the culture and workflow of collection management in IS Library Collections.

To create a platform that can be shared with academic partners to support **Open Access** for research outputs and data and new opportunities for the use of **unique and distinctive collections** in digital form.

4. Scope

The focus of the Digital Curation Policy is those digitised or born-digital collections curated by IS on behalf of the University of Kent.

The Policy is one of the set of policies which together comprise the IS [Collection Management Policies](#).

This Policy deals with curation of digital material in collections and provides generic guidance that collection-specific policies will refer to.

This Policy aims to address the entire lifecycle of digitised and born-digital content, from acceptance or selection for digitisation to long-term curation for preservation of content and access.

This Policy records who is accountable and responsible for management of digital curation because a continual programme of active management is needed from the design and creation stage if preservation is to be successful.

5. Responsibility

Library Technologies Group (LTG) is accountable for high level responsibilities for ensuring strategic direction, for monitoring, reviewing, planning and implementing digital curation. The Chair of LTG is the sponsor or champion at senior management level within IS and through LTG will:

- Co-ordinate and monitor activities that take place in accordance with policies;
- Check that all policies and procedures implemented are contributing effectively to digital curation and feed into review and reflective planning;
- Make sure that risks have been identified;
- Ensure procedures in place to manage risk;
- Implement risk management measures.

Business Owners (IS Collection Management):

- Co-ordinate and consult with Collection Owners and stakeholders;
- Manage the Information Asset Register (IAR);
- Identify risks at service level to include risks associated with access to collections:
 - Curated by suppliers and third parties;
 - Through library technologies provided and supported by suppliers and IS.

Collection Owners (IS Academic Liaison Services):

- Create IAR records for their collections;
- Identify the strategic and business value of assets;
- Identify risks at collection-level to include:
 - Preservation risks;
 - Information risks;
 - Access risks.

6. Financial sustainability

IS financial planning and project management will include planning for ongoing digital curation. Costs for resources will be recorded in appropriate budgets, and costs will be identified through project planning or budget bids.

Periods of funding will be clearly determined from the onset and longer term modelling of ongoing costs will be included, in projects concerned with digital curation.

Digital curation resources are expected to include staff training, technical infrastructure, equipment, storage and media, changes due to evolving technology, outsourcing and storage, forward workload and costing projections.

7. Guidance and standards

Appropriate standards and guidelines will be applied to implement good working practices and workflows for digital curation.

IS will use best practice models and guidelines to achieve coherent planning for digital curation to ensure that all of the necessary steps in the curation lifecycle are covered:

- [Digital Curation Centre lifecycle model](#);
- OAIS (Open Archives Information System) [ISO 14721:2012](#).

IS will use recognised standards to help achieve recognised good practice and sustainability:

- [Archive Service Accreditation](#) (Through **P1398 Special Collections Service Model Review & Archive Service Accreditation Application** under sub-theme 2.05 Special Collections and Archives on the [IS Operational Plan](#));
 - Trusted Digital Repository status [ISO 16363](#).

IS will produce internal guidance:

- A copyright and Intellectual Property Rights (IPR) toolkit for use with digital collections will be developed (Through P1397 Digital Asset Management under theme 2.05 Special Collections and Archives on the [IS Operational Plan](#)).

8. Collection management policy statement

Digital curation planning will be directed at strategic level through collection management activities. Collection management policy components collection development, collection information and collection care will refer to the Digital Curation Policy and collections will be managed in accordance with the Collection Management Strategy for Digital Curation and the Technical Implementation Strategy for Digital Curation.

An Information Asset Register (IAR) will be compiled for all collections that include digital material. The IAR will be an appendix to [Collection Development Policies](#) for collections that include digital materials and will be reviewed regularly.

A Collection Management Strategy for Digital Curation is provided (see Appendix A).

An Information Asset Register template will be provided (see Appendix C).

9. Infrastructure and technical implementation policy statement

IS will implement affordable, sustainable and scalable storage and backup solutions according to the requirements of the digital collections it curates on behalf of the University of Kent.

IS will regularly review user interfaces and technical environments to ensure that the infrastructure is in place to support the discovery and delivery of content, and effective digital asset management, using reflective planning to identify necessary changes to policies and actions applied to collections and supporting software or infrastructure.

Measures will be based on best practice or accepted frameworks for managing the digital curation and preservation lifecycle of digital collections.

Distributed services and outsourcing arrangements will be considered, in which case supplier management will be considered.

Regular re-assessment of digital preservation risks will take place, with the Information Asset Register being used to help identify and manage risks to the collections.

A Technical Implementation Strategy for Digital Curation will be provided (Appendix B).

10. Review

The Digital Curation will be reviewed in 1 year by Library Technologies Group, and will be subject to review every 2 years thereafter.

The Collection Management Strategy (Appendix A) will be reviewed in 1 year by Library Technologies Group, and will be subject to review every 2 years thereafter.

The Technical Implementation Strategy (Appendix B) will be reviewed annually by Library Technologies Group.

The Information Asset Register (Appendix C) for each collection will be reviewed annually by the Business Owner.

Appendix A. Collection Management Strategy for digital collections

Digital curation planning will be carried out and recorded at collection level, making reference to the Digital Curation Policy and in accordance with the guidelines in the strategy.

Collection development

Collection Policies will include a reference to the Digital Curation Policy by inclusion of the generic clause:

Collection curation and preservation

This policy will align with the Information Services Library Collections Digital Curation Policy to sustainably maintain access to and preservation of digital materials.

Digital curation requirements and responsibilities will always be considered when planning a new collection, or reviewing support for a legacy collection. If the collection contains digital material, an Information Asset Register record will be created using a template (Appendix C), which will be appended to the Collection Development Policy for that collection.

Collection information

Information Asset Register:

The Information Asset Register (IAR), to be maintained by Business Owners, will include collection information and preservation planning information either by referring to the generic guidelines in the Digital Curation Collection Management Strategy, Digital Curation Technical Implementation Strategy or, when necessary, describing standards, file formats and workflows to be used for that collection.

IAR records will include:

- Identification information about the collection;
- An assessment of business value;
- Details of the extent of the collection;
- Retention and review procedures for records and objects;
- Process for reviewing the collection;
- Disposal policies;
- Financial and budgetary information (grants etc.);
- Standards requirements including metadata;
- Technical requirements for access and preservation;
- Copyright and intellectual property rights information.

Take down policy

Take down policies will be provided where digital collections are made public (e.g. [Kent Academic Repository \(KAR\) Take-Down Policy](#)).

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Identifiers

Persistent Uniform Resource Locators (URLs) and persistent identifiers (e.g. ORCID, doi) will be used to conform with appropriate standards.

Collection care

Preservation metadata

IS aims to include preservation metadata for the University of Kent's indigenous digital archives at collections/ sub-collection level, and to individual records as appropriate, complying with accepted standards.

Print collections

Individual Collection Development Policies will make reference to the digital continuity and preservation principles outlined in this policy, and will take the extent of digital preservation into account, when criteria are applied to select print materials for disposal.

File formats guidance

Appropriate best practice guidance should be followed when planning a digital collection and file formats to be included should be recorded.

Specific collections may be used when appropriate as models for subsequent collections (e.g. the British Stand-Up Comedy Archive Beacon Project (P1385 on the IS Operational Plan) will develop a model for audio and visual archive materials).

Monitoring

Collections will be actively managed to maintain sustainability and the health of files, to include:

- Risk monitoring;
- Preservation monitoring;
- Sustainable storage.

Appendix B. Technical Implementation Strategy for digital collections

To follow.

Appendix C Draft IAR Record

To follow.