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UAL ARCHIVES, MUSEUM & SPECIAL COLLECTIONS DIGITAL PRESERVATION POLICY

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1. Introduction

The purpose of this policy is to set out how the University of the Arts London (UAL) intends to manage, preserve and make accessible the University's digital archives, museum and special collections, which have been selected for long term preservation because of their value.

A wide range of archives, museum and special collections are held across the six colleges of UAL. The collections are increasingly hybrid, containing both digital and physical materials. This policy aims to ensure both born digital and digitised materials held within these collections remain accessible and usable over time, to support teaching, learning and research.

This Digital Preservation Policy applies to all digital archives, museum and special collections materials held by the University for the purpose of long-term preservation and metadata associated with such digital collections.

This Digital Preservation Policy provides guidance to all staff who have responsibilities for archives, museum and special collections at the University. This policy will support decision-making and guide staff in their activities related to digital preservation. This policy is also of interest to researchers and users of UAL's collections, and to funding bodies.

The UAL Academic Strategy (2018-20) refers to a total learning environment and community, which is both physical and digital. Managing our digital assets for teaching and research supports both the Research Strategy (2015-22) and the Learning, Teaching and Enhancement Strategy (2015-22). The ability to exploit these hybrid and digital collections in support of these aims is dependent on their being accessible. The rapid changes in technology, and the short life span of digital carriers, present a risk to these valuable and often unique resources and their continued access. Early intervention is required to prevent UAL's digital materials becoming inaccessible.

This policy is a product-independent statement of principles.

2. Context

UAL is engaged in the second year of implementation of a Digital Archives and Collections (DAC) Project. During the implementation of the Project procedures will be developed to support policy statements.

UAL is working towards providing a user interface for its digital archives, museum and special collections, which meets the expectations of its creative community in terms of design and functionality, as well as engaging communities beyond the university.

3. Principles

- UAL takes a proactive and risk-management approach to digital preservation, recognising that this requires ongoing planning and active digital collections management, alongside an institutional commitment

- UAL will monitor its digital collections and may undertake preservation activities, such as the migration from one file format to another more stable format, to ensure continued access

- Digital collections development at UAL will follow the existing collecting remit of its archives and special collections, as stated in the UAL Archives, Museums and Special Collections Acquisition Policy and the UAL Collections Development and Management Policy (2019). It will also consider preservation needs associated with managing digital materials

- Physical resources are also digitised to produce digital surrogates, in support of access and the preservation of physical resources. The digitisation process will include digital preservation planning to ensure these digital surrogates will be preserved and remain accessible

- When allocating resources for digital preservation born digital materials will usually be prioritised over digitised materials, as these cannot be re-digitised if lost

- Best practice is developing in the field of digital preservation. This policy will remain responsive and will continue to be updated to reflect best practice

4. Scope

4.1 Content covered by the Digital Preservation Policy:
Digital materials held by UAL archives, museum and special collections. Digital materials at UAL are both born digital and digitised. They include those created or accepted into our collections, in line with the UAL Archives and Special Collections Development and Management Policy (2015).

The Digital Archives and Collections Implementation Manager (DAC Implementation Manager) with the Archives & Special Collections Community of Practice (ASC CoP) will provide advice to other business areas, to support the wider preservation of UAL's digital assets, e.g. UAL's research outputs.

4.2 Content not within scope of the Digital Preservation Policy:
This policy does not apply to:
- Current administrative records of the University, the responsibility for which is set out in the UAL Records Management Policy (2016, revised 2018)
- Digital collections not owned by UAL or not intended for permanent retention, for example licensed material. Although not covered by this policy, the DAC Implementation Manager will offer guidance on the migration of digital materials held on vulnerable media where appropriate

5. Selection Criteria for Digital Preservation

Not all digital materials will be preserved. Digital materials will be selected for long-term digital preservation based on the below selection criteria:
- Their uniqueness
- Their ability to support current and potential teaching and research interests
- To safeguard materials held on vulnerable media, such as portable hard drives
- To increase access and use of digital or digitised materials; to broaden their audience and widen research potential
- To promote UAL and its collections

6. Digital Collections Management

The DAC Implementation Manager will work with collections staff in the Archives & Special Collections Community of Practice to maintain a comprehensive Digital Asset Register, recording the details of digital materials and their attributes.

Collections that are preserved must have accompanying metadata to support their long-term management and retrieval. This metadata will be created and maintained as part of their collections management.

Clear procedures governing ingest, storage, processing of and access to digital collections will be provided. Guidance will be provided on suitable file formats and naming conventions for both long-term preservation and those that enable access.

UAL will adhere to digital preservation standards and other relevant standards which are commonly adopted within the heritage sector and the digital preservation community, following guidance from bodies such as the Digital Preservation Coalition and the UK National Archives.

7. Resources

The long-term preservation requirements of digital materials are understood by UAL. UAL has invested in the technical infrastructure required to carry out preservation of its digital collections and has committed to a digital preservation system for an initial period of 5 years, which it is committed to reviewing.

Digital preservation activities will be planned and implemented in ways that best manage current UAL resources and can be sustained into the future.

8. Roles and Responsibilities

Staff responsible for managing and preserving digital collections will be provided with professional development opportunities to ensure they can fulfil the requirements of their job roles. This may include participation on relevant courses, attendance at events, and study visits. UAL are associate members of the Digital Preservation Coalition, who provide advocacy and training opportunities.

8.1 Digital Archives and Collections Implementation Manager
The Digital Archives and Collections Implementation Manager (DAC Implementation Manager) is responsible for:
- Leading on digital preservation activities and implementation
- The production and implementation of policies and procedures, which support the management and use of digital collections
- Managing use of the digital preservation system
- Managing the Digital Asset Register
- Liaison with the ASC CoP on digital preservation needs
- Point of contact with IT Services in support of digital preservation
- Maintaining a technology watch

8.2 The Archives and Special Collections Community of Practice
The Archives and Special Collections Community of Practice (ASC CoP) is responsible for:
- Contributing to the production and implementation of policies and procedures, which support the management and use of digital collections
- Communicating this Policy to local collections staff
- Contributing to the Digital Asset Register

8.3 Archives, Museums, Special Collections and Library Services Staff
All staff who have archives and special collections duties or responsibilities as part of their role, or interact with these collections, are responsible for:
- Liaison with the DAC Implementation Manager and the ASC CoP on digital preservation policy and procedures
- Adhering to this Policy and notifying the DAC Manager and the ASC CoP with any digital preservation concerns

8.4 Senior Managers

Senior Managers are responsible for:

- Ensuring adequate staffing levels are in place to support long-term digital collections management and that their staff are equipped with relevant skills to support the preservation of digital collections
- Supporting the DAC Project through the implementation of this Policy and related procedures

8.5 Use of digital preservation system

Digital preservation at UAL is supported by the use of a dedicated digital preservation system.

The following model is used to represent staff roles in relation to the use of the digital preservation system.

Occasional Users

Super Users

Digital Specialist User
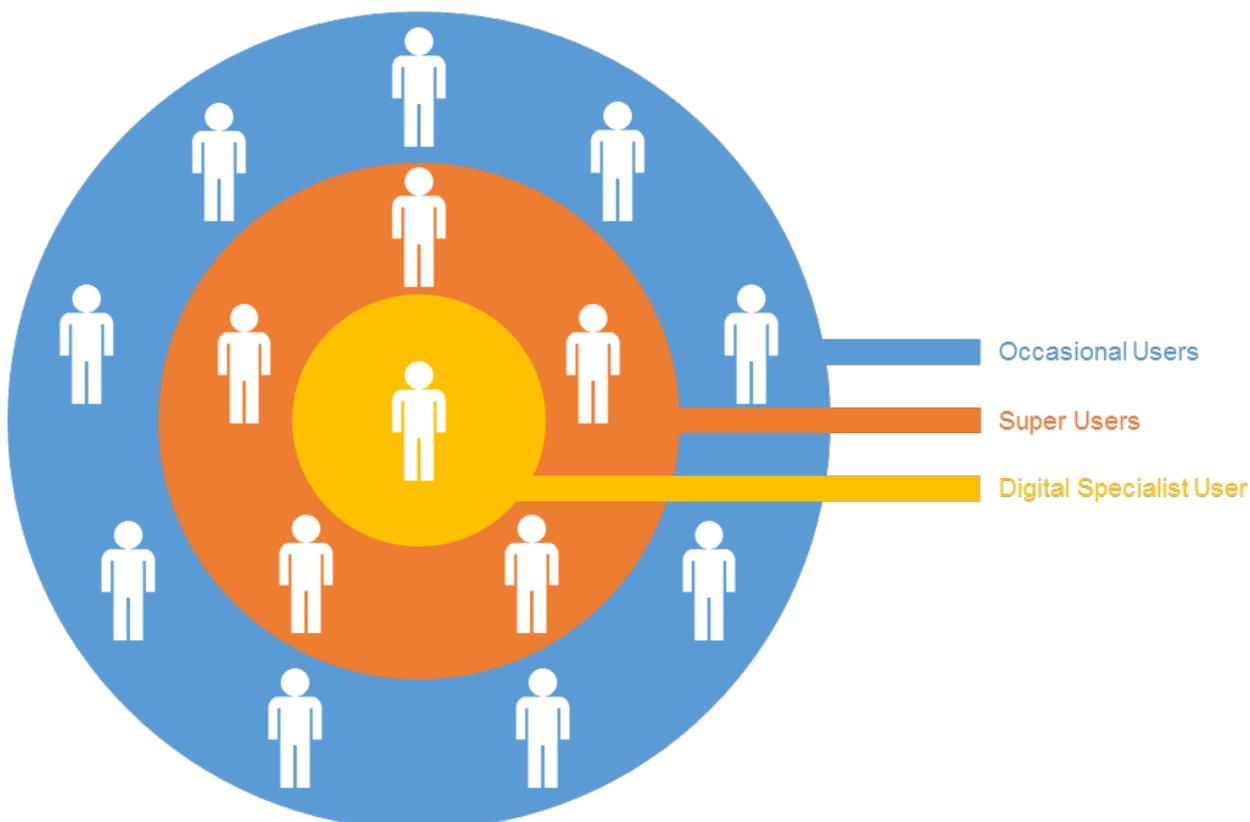
A Digital Specialist User (currently the DAC Implementation Manager) will manage use of the digital preservation system. Providing training and supporting procedures.

Identified Super Users will receive training in the use of the digital preservation system.

Other collections staff, identified as Occasional Users will also receive basic training. Occasional Users will undertake tasks using the digital preservation system with support from the Digital Specialist and Super Users.

Training and guidance in using the digital preservation system will be provided to support this model.

9. Access and Rights

UAL aims to provide access to digital collections to the widest possible audience. The default position is to make resources available in this way where possible. Use of the items may be subject to the Archives and Special Collections Development and Management Policy and relevant legislation, and there may be restrictions on access due to current technical limitations.

Access will be subject to Copyright and licensing restrictions and any relevant contractual obligations made by the donor or depositor at the point of acquisition. UAL will operate a takedown policy.

10. Use of Data

The management of and access to our digital collections will adhere to the UAL Museum, Archives and Special Collections Data Protection Policy and UAL's GDPR and information management policies.

11. Approval and Communications

This document was drafted and circulated to the Archives & Special Collections Community of Practice for comment in April 2019. Policy approved by the University Archives, Museum and Special Collections Advisory Board on 4th June 2019. Received by the Digital Archives & Collections (DAC) Board June 2019.

This policy will be subject to annual review.

Version	Date Approved	Approved By	Brief Description
Version 1.0	4th June 2019	University Archives, Museum and Special Collections Advisory Board	Current version Prepared by: Elisabeth Thurlow, *Digital Archives & Collections Implementation Manager, Library Services*; Sarah Mahurter, *Manager, UAL Archives & Special Collections Centre, Library Services*; and Jessica Crilly, *Associate Director Content and Discovery, Library Services*

12. Appendix 1 Guidance

To follow

13. Appendix 2 Glossary

Archives: A collection of historical documents or records providing information about a place, institution, or group of people.

Born digital: Digital files that were created in digital form; those that were not derived as a surrogate from physical form and not intended to have an analogue equivalent[1].

Cataloguing: The process of providing access to materials by creating formal descriptions to represent those materials[2].

Collection: Items created or collected by one particular person or organisation, and maintained as a distinct grouping[3].

Digital Asset Register: A document or database where collections managers or those responsible for digital collections and their preservation systematically record all digital content.

Digital object: A representation of some piece of information in digital form[4]. For example, a digital object might be a word processing files, an image, or a digital audio file.

Digital materials: A broad term encompassing digital surrogates created as a result of converting analogue materials to digital form through digitisation, and 'born digital' for which there has never been and is never intended to be an analogue equivalent[5].

Digital preservation: The maintenance and management of digital objects, including both those that are born digital and were converted to digital format from analogue, so that they can be accessed and used by future users[6]. Digital preservation is a combination of people, processes, and technologies, which together provide the means to capture, preserve and provide access to digital objects, for as long as necessary.

Digital surrogate: A facsimile version of an original document.

Digitisation: The process of creating digital files by scanning, photographing, or otherwise converting analogue materials[7].

Digitised: The materials created through the process of digitisation (see definition above). Used to distinguish materials that have been transformed from the media in which they were created from materials that are born digital[8].

E-book: An electronic version of a printed book which can be read on a computer or device.

File Format: a standard way that information is encoded for storage in a computer file. It tells the computer how to display, print, and process, and save information. It is dictated by the application program which created the file, and the operating system under which it was created and stored[9].

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[1] http://www.dcc.ac.uk/digital-curation/glossary

[2] https://www2.archivists.org/glossary/terms/c/cataloging

[3] https://www.nottingham.ac.uk/manuscriptsandspecialcollections/researchguidance/usingarchives/glossary.aspx

[4] https://www.lib.umich.edu/preservation-and-conservation/digital-preservation-glossary

[5] https://dpconline.org/handbook/glossary

[6] https://www.lib.umich.edu/preservation-and-conservation/digital-preservation-glossary

[7] https://dpconline.org/handbook/glossary

[8] https://www2.archivists.org/glossary/terms/d/digitization

[9] https://dpconline.org/handbook/glossary

Obsolescence: The process of becoming obsolete or outdated and no longer used. In the context of digital preservation this can refer to file formats becoming obsolete, meaning they can no longer be accessed due to the software no longer being readily available.

Hybrid collection: A library, museum or archive collection that contains a mix of digital and analogue materials.

Ingest: The process of preparing and uploading a digital information package into a digital preservation system.

Long-term preservation: The act of maintaining information, in a correct and independently understandable form, over the long-term[10].

Metadata: Data about other data, or information which describes significant aspects of a resource[11].

Migration: A means of overcoming technological obsolescence by transferring digital resources from one hardware/software generation to the next. The purpose of migration is to preserve the intellectual content of digital objects and to retain the ability for clients to retrieve, display, and otherwise use them in the face of constantly changing technology[12].

Records Management: The function of managing records to meet organisational needs.

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[10] http://www.dcc.ac.uk/digital-curation/glossary
[11] https://dpconline.org/handbook/glossary
[12] https://dpconline.org/handbook/glossary