The Connecticut Digital Archive

Policies

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Contents

Connecticut Digital Archive Policies

Background

The Connecticut Digital Archive (CTDA) is a collaborative effort of the Archives & Special Collections at the University of Connecticut Library and the Connecticut State Library. The CTDA is dedicated to maintaining and preserving a wide-range of digital resources that are made available to scholars, students and the general public. The CTDA has been operation since Fall 2013, providing preservation digital repository services for memory institutions and state agencies in the State of Connecticut.

Overview

The Connecticut Digital Archive's Policies (CTDA Policies) documents the University of Connecticut Library's' approach to the governance, administration, functionality, and support of tis digital repository service, known as the Connecticut Digital Archive (CTDA). CTDA Policies provides the underlying methodology behind the construction of a long-term viable digital asset preservation program among University entities, CTDA participants and interested parties.

CTDA Policies is organized into five sections:

- Organizational Policies
- Participation Policies
- Content and Metadata Policies
- User Accounts
- Access, Rights and Usage Polices
- Preservation and Infrastructure Policies

CTDA Policies draws on three of the guiding documents in the field of discovery, access, and digital preservation:

- Trusted Digital Repositories

ISO 16363, http://www.iso.org/iso/catalogue_detail.htm?csnumber=56510

- Open Archival Information System Reference Model (OAIS)

http://public.ccsds.org/publications/archive/650x0b1.pdf

- Digital Library Federation Aquifer Levels of Adoption for Shareable MODS

http://wiki.dlib.indiana.edu/confluence/pages/viewpage.action?pageId=28331

CTDA Policies also rely on existing standards and best practices regarding digital repository development and digital collection stewardship, as well as local policies and practices related to the stewardship of digital assets. The University of Connecticut Library uses published standards and best practices for digital capture benchmarking purposes. These benchmarks are based primarily on published FADGI, NARA, DLF, DPLA, and Library of Congress recommendations.

Policies Access

The most current version of the CTDA Policies can be accessed on on the CTDA website or by request.

The CTDA Policies document is reviewed every year by the Advisory Committee.

Vision and Mission

The vision of the CTDA is to serve as a standards-based repository and infrastructure supporting a diverse set of applications, services, and discovery tools that offer long-term management, secure storage, preservation solutions, and –wherever possible – open access to digital assets of enduring value, as determined by the CTDA participants.

The mission of the Connecticut Digital Archive (CTDA) is to provide services for the preservation of and access to digital assets inherent to the research, information, and educational missions of its participating institutions.

To support the mission and vision of the CTDA, the CTDA will host hardware and software infrastructure that supports digital repository services and functionalities for CTDA participant institutions; store digital assets created and collection by CTDA participants; and provide services to support long-term preservation of and access to digital assets.

Organizational Policies

Governance and Administration Policy

In order to insure that the needs of the community are being met by CTDA services, the UConn Library convenes two committees to provide strategic advice on CTDA operations and services. Final decisions about the future direction of the CTDA rests with the University of Connecticut Library.

CTDA Advisory Committee

The CTDA Advisory Committee is made up of colleagues and peers from the cultural heritage, digital preservation, and academic communities in Connecticut and represents a wide variety of talents, knowledge, and perspectives.

Membership:

Advisory Committee members serve three-year terms by invitation of the Vice Provost for University Libraries. Members represent a diverse group of experts in their respective areas, and will always include representatives from the library, archives, museum, and historical society communities as well as relevant state agencies and/or independent experts. The committee will have a minimum of 6 and a maximum of 12 members. In the case of a member dropping out a new member will be appointed as soon as is practical to fill out the remainder of the team.

Operations:

The committee meets quarterly to share experiences and provide advice on CTDA services and programs. The committee is chaired by the Assistant University Librarian, Archives, Special Collections and Digital Curation at the University of Connecticut who develops the meeting agenda in consultation with CTDA staff and the membership and facilitates the meetings. Notes will be recorded and posted on the CTDA web site.

CTDA Technical Roadmap Discussion

The technical roadmap discussion is a discussion group on how to chart the short and long term technical infrastructure of the CTDA. It is made up at its core of those working directly with the CTDA technical infrastructure maintenance and enhancement. This discussion group meets every month except holidays and reduced work days. The discussion group is convened by CTDA staff.

Membership:

The technical roadmap core consists of the CTDA lead applications developer, the CTDA Program Director, and the CTDA repository coordinator. Anyone is invited to attend meetings.

Operations:

The technical roadmap meets on the 4th Monday of each month. Meetings can be cancelled or rescheduled for holidays and reduced work days. There is always a virtual component to the meeting with the option to attend in person. Anyone is invited to attend the meetings either in person or virtually. Meetings times and notes are posted on the CTDA main website.

Participation:

Technical roadmap discussions are open to anyone interested in the short and long term future of CTDA's technical infrastructure. At any time, participants may submit an issue or a development idea directly to CTDA or during one of the Technical Roadmap standing meetings. These discussion meetings will focus on how to maintain and enhance the technologies of the CTDA and knowledge of these technologies is helpful for these discussions though not a prerequisite.

Grant Support Policy

The CTDA will make available to participants all necessary financial, operational, and personnel documentation required by granting agencies when the CTDA is included as part of technical infrastructure and/or preservation activities. The CTDA will assist in development, application, and revision process of grant applications at the request of participants as resources permit.

All grant proposals created and submitted for funding to internal or external agencies and programs by CTDA participants involving the CTDA should include, either in requested funds or as in-kind financial support, realistic storage amounts for any and all digital content intended to be deposited within the CTDA as part of the grant activities. Participants will work with the CTDA Coordinator to determine realistic storage needs and costs related to all grant activities.

Policies and Guidelines Policy

The CTDA Policies document will be revisited for revisions, edits, and additions regularly. Final approval of CTDA Policies and Guidelines rests with the Vice Provost for Libraries at the University of Connecticut following review by the Advisory Committee. Access to CTDA Policies and guidelines will be made available via the CTDA website.

Participation Policies

Eligibility

Participation in the CTDA is open to all educational, cultural, and memory institutions based in the state of Connecticut that have a mission to preserve and make available historically valuable resources and records. The CTDA is not open to individuals or organizations that do not have as part of their mission a commitment to preservation and access. The CTDA encourages individuals or non-memory organizations to work with an eligible institution to preserve their organization's records.

Participation and Termination Policies

Non-Compliance

Participating institutions are expected to comply with the terms of the MOU and, in cases where an institution is paying content storage or service fees, to meet their financial obligations in a timely manner. Any institution consistently out of compliance with the policies of the CTDA may have its management access to the CTDA blocked until the situation is resolved. Since the trustworthiness of the CTDA is tied to the persistence of the historical record of what it contained and when, viewing access to an institution's digital assets will not be affected.

Termination of Participation by a Participating Institution

If an institution wishes to end its participation in the CTDA the institution may request, at its own expense, copies of its digital assets (objects and metadata) deposited in the CTDA following a mutually agreed upon format, method, and timeline.

It may also request that:

- The CTDA take custodial responsibility for previously deposited digital assets and maintain viewing access to them in the CTDA system;

- The CTDA withdraw the digital assets (see Withdrawal policy);

Since any CTDA item that has existed at some time may have been cited using its identifier the CTDA encourages institutions to allow continued access to the digital assets to insure the persistence of the historical record. The Withdrawal policy allows an institution to withhold access to the primary content but preserve information about the existence of that content.

Termination of the Participating Institution

The CTDA encourages participating institutions to designate a successor institution to be responsible for its digital content in the event that the participating institution ceases to exist. If the participating institution ceases to exist without naming a successor institution, the CTDA will take custodial responsibility for previously deposited digital assets "orphaned" by the dissolution of the institution and will endeavor to find an institution willing to take management responsibility for the digital content insofar as it can.

CTDA Termination

In the event that the CTDA service is terminated the CTDA will:

- Return to all members all digital assets deposited in the CTDA following a mutually agreed upon format, method, and timeline;

- Commit to determining a viable persistence plan for the Handle registry for all objects deposited in the CTDA;

- Furnish sufficient notice (no less than six months) to all participants concerning any and all plans to discontinue CTDA services.

Content and Metadata Policies

Content

Content Deposit and Usage Policy (General)

The CTDA and its participants encourage the deposit of digital materials within the CTDA to be openly available to the public whenever possible.

The CTDA encourages participating institutions to the use the CTDA in a multitude of ways and as a foundation for numerous services, including institutional repositories, digital libraries, open and preservation archives/digital asset storage, electronic press services, etc.

Content File Format Deposit and Support Policy

•   The CTDA supports the deposit and delivery of all viable bit streams

•   The CTDA supports the deposit and delivery of proprietary file formats

•   The CTDA will not prohibit any file format from being deposited within the CTDA, as long as it is not a hostile file or format

•   The CTDA will develop and support viewers, players, and other disseminators for specific file formats, as determined by the CTDA.

•   The CTDA will identify viable file formats for migration and will complete migration activities under the direction and guidance of the CTDA Coordinator as determined is necessary.

•   The CTDA will maintain a list of known file formats within the repository and the level of support they are currently receiving on an annual basis.

Content Identification Policy

The CTDA supports the ability to make persistent reference to materials deposited. Materials in all of their varying levels form an important part of the cultural record. A CTDA Digital Object is defined as the primary content data stream, derivative data streams, and associated metadata data streams. Each digital object has two unique identifiers within the CTDA: a PID (Permanent IDentifier) and a Handle. Both PIDs and Handles are assigned at the point of deposit (a.k.a. ingest). PIDs and Handles remain unique to an object deposit within the repository, even if it has been suppressed and/or withdrawn. Handles and PIDs are never reused and remain unique to the object they originally identify.

Content Ownership Policy

All digital content and/or assets deposited within the CTDA for any purpose remains the sole property of the content creator, contributor, or contributing agent as determined by institutional and local agreements prior to or at the point of submission to the CTDA.

Content Storage Procurement and Allocation Policy

CTDA central storage will be available to all CTDA participants as follows. Each institution will be allocated a minimum amount of storage services at no cost, additional storage and services may be purchased at a rate set each year in July by the CTDA. CTDA will also provide a POSF (Pay Once Store Forever) storage rate set each year in July by the CTDA.   Content migrated from Connecticut History Online (CHO) will not count against an institution's storage allocation; this includes master files that may be added as well as access derivatives already in CHO.

The University of Connecticut Library will continue to grow the storage array in keeping with the demands of the CTDA. All grant proposals created and submitted for funding to internal or external agencies and programs by CTDA participants involving the CTDA should include, either in requested funds or as in-kind financial support, realistic storage amounts for any and all digital content intended to be deposited within the CTDA as part of the grant activities. Participants will work with the CTDA Coordinator to determine realistic storage needs and costs related to all grant activities.

Content Removal Policies

Withdrawal Policy

In normal circumstances, the CTDA will retain, make publicly available, or provide controlled access to all items that have undergone the submission process and been ingested into the CTDA. Under some circumstances items will be withdrawn from view. Since any CTDA item that has existed at some time may have been cited, and to avoid loss of the historical record, all such transactions will be traced in the form of a "tombstone".

The content of the note will be one of the following:

- "removed from view at request of the creator/contributor"

- "removed from view at [institution's] discretion"

- "removed from view at CTDA's discretion"

- "removed from view by legal order"

Any links to the object within the repository that is in indexes, etc. will be removed.

Although items may be withdrawn from the CTDA for any of the reasons set out above, a request for withdrawal may be refused by the participating institution, the final decision on withdrawals rests solely with the institution, except where there are legal ramifications for the University of Connecticut Library.

Deletion Policy

Deletion of items will mean removal of the item itself, plus any metadata pertaining to the item. In this instance, there will be no "tombstone" marker as is the case with withdrawn items.

Since the integrity of the repository and the preservation of the historical record are dependent on good recordkeeping, deletion should be considered a last resort. Publicly available and controlled access items will be deleted from the repository if there is a legal requirement to do so, or in extreme cases, if it is deemed by the participant institutions and/or the University of Connecticut Library to be in its best interests.

Metadata

The CTDA will develop viable and responsible CTDA metadata practices. The CTDA will use MODS as a normalizing metadata schema. All objects in the CTDA will have, either included or created at the point of ingest, a DC and/or MODS metadata datastream.

The CTDA requires all Depositors to furnish elements equivalent to the DLF's Shareable Metadata Guidelines MODS Levels of Adoption Level 1 in accordance to the CTDA MODS Implementation Guidelines that can be found on CTDA's main website.

(http://wiki.dlib.indiana.edu/confluence/pages/viewpage.action?pageId=28331). The CTDA also requires all Depositors to furnish elements needed to share records with data providers such as ResearchIt or DPLA.

User Accounts

The CTDA will make available up to 3 user accounts for institutions working in the shared CTDA management channel to add and manage content. User accounts are reviewed on a yearly basis on the CTDA sandbox and channels managed by CTDA. On CTDA sandbox and channels managed by CTDA, accounts that have been inactive for more than six months are removed. Institutions with their own channels decide on the number of users, add user accounts, and manage user accounts according to guidelines for user accounts and their institution's needs. Any user account that has been determined as a security risk or breach on any channel will be removed and the institution will be notified of the removal.

Metadata and Content Exposure Policy

The CTDA will make available to OAI harvesters OAI-Dublin Core or MODS records for all publicly viewable digital objects within the repository. The CTDA will allow web crawlers to index the CTDA, its metadata, and accessible primary content data streams at regular intervals. The CTDA staff will implement security measures to prevent the crawling or harvesting of the staging and development CTDA environment.

Access, Rights and Usage Policies

Authentication Support Policy

The CTDA will work with interested participants to support access controls and authentication using Lightweight Directory Access Protocol (LDAP), Shibboleth, and/or other identification and authentication methods.

Copyright Infringement Policy

CTDA participants and contributors are responsible for adhering to the copyright policies of their parent institution, which includes adherence to United States federal copyright law. In general, good faith is assumed on the part of repository contributors and the CTDA will work with participating institutions on broad copyright and intellectual property issues. It is the responsibility of each participating institution to educate their contributors on their rights and responsibilities with respect to copyright, and act quickly to remedy copyright problems if they come up.

In order to prevent problems with allegations of copyright infringement the CTDA will:

•   Make it clear that submissions to CTDA should comply with policies on copyright and applicable copyright laws;

•   Include in the documentation for CTDA policies on copyright and acceptable use;

•   Require submitters to the repository to warrant that their submissions do not infringe copyright.

Institutions participating in the CTDA repository will:

•   Educate their users about the requirements of copyright law, copyright consideration for materials previously or subsequently posted in scholarly journals and other forums, and fair use;

- Take appropriate action with their users if copyright infringement takes place or is alleged.

In the event that an interested party makes specific allegations of copyright infringement regarding material posted in the repository, each participating institution will:

- Forward such correspondence to the appropriate institutional copyright agent.

- Remind authors and unit administrators of their rights and responsibilities concerning copyright and scholarly expression.

Upon the request of the institution's copyright agent, the CTDA will

- Disable access to the primary content data streams of the allegedly infringing item.

- Retain the item record and metadata with a note that the content data streams are not available at this time, following the language used in the Withdrawal Policy.

- Ensure that the authors and unit administrators are notified of their counter notification rights.

- Restore access to the full object if such counter-notification is given.

In the event that a participating CTDA institution discovers that specific material in the CTDA system is posted in infringement of copyright, but no one has received actual notice from an interested party as described above, the CTDA and/or the local institution will:

- Report the discovery, and the reason for the judgment that the item is infringing, to the administrative contact for the unit under which the allegedly infringing material was posted, and the authors of the allegedly infringing material.

- Remind authors and unit administrators of their rights and responsibilities concerning copyright and scholarly expression.

- Request a warrant confirming that the material is not infringing.

- If a warrant is not received in a reasonable time period, access may be disabled until a warrant proving copyright compliance is received.

Generally, discovery of infringement should involve positive evidence of infringement. An Institution should not presume that authors have not obtained special permission to use copyrighted material in their submissions. In any of the events described above, the participant institution or CTDA will retain correspondence related to the alleged or apparent infringements.

Privacy & Security Policy

The Connecticut Digital Archive (CTDA) is committed to protecting the privacy of the users of our electronic resources. While the CTDA does gather data about system and resource usage for administrative purposes, the use of that information conforms to generally accepted privacy standards as detailed below.

- Data gathered about each session varies according to the method of connection to the resource.

- The resulting logs contain information necessary for analyzing the use of resources, troubleshooting problems, and improving services.

- These logs remain intact for at least one year from the time of accessing the resource.

CTDA's commitment to user privacy extends to our agreements with participating institutions. If a user links from the CTDA to an external provider or digital object, the privacy policies of that provider will apply.

Information Collected and Stored Automatically

When submitting content or browsing through the CTDA website, reading pages, or downloading information, certain information about the visit is gathered and stored. This information does not identify the user personally. Information that is automatically collected and stored includes but may not be limited to:

- the Internet domain and IP address from which the CTDA website was accessed,

- the type of browser and operating system used to access the CTDA site,

- date and time the CTDA site was accessed,

- pages visited, and

- the address of the last site visited before linking to the CTDA site.

This information is automatically gathered and stored to make the site more useful to visitors, keep a tally of the number of visitors to the site and report on the types of technology visitors are using.

Personal Information Deliberately Sent

If users provide the CTDA with personal information by submitting a digital object or by filling out a form and submitting it through the site, the CTDA will use that information to ingest the object or to respond to a request. Personal information is only shared with another agency if the inquiry relates to that agency, or otherwise required by law. The CTDA does not create individual profiles with the information provided to give to any private organizations. The CTDA does not collect information for commercial marketing.

Site Security

For site security purposes and to ensure that this service remains available to all users the CTDA employs software programs to monitor network traffic to identify unauthorized attempts to upload or change information, or otherwise cause damage.

CTDA contains digital objects and the associated metadata from many different institutions. At the time of submission, the institution or person that submits material may determine if an object or any of its derivatives is open access or is only available to a more restricted community.

Open access objects and the associated descriptive metadata will be exposed to Internet search engines so that it is exposed and made available to the world. Objects that have restricted access will not be exposed to Internet search engines and will be available only to authorized users.

The website has links to many other organizations. In a few cases the CTDA site links to private organizations. By linking to another site, users are subject to the privacy policy of the new site.

Preservation and Infrastructure Policies

Preservable Formats Policy

The CTDA will work within evolving "best practices" to be responsible stewards and will work to preserve the metadata and supported digital and media objects. The CTDA will research the "state of the art" preservation practices and offer preservation ideas and recommendations. Choices regarding preservation will be based on the CTDA's community demand. Assessments will be continuously undertaken regarding ongoing technical feasibilities and digital repository "best practices."

•   The CTDA commits to preservation of source primary content data streams at the bit stream level

•   The CTDA commits to preservation of standards-based core metadata in an interoperable format for all objects

•   The CTDA will support migration as demand and resources warrant, but only guarantee preservation and access to the source primary content data streams and core metadata

•   The CTDA will develop a file transition and migration plan for file formats identified with defined levels of service regarding preservation.

Technical Infrastructure Policies

The University of Connecticut Library (UCL) centrally manages and maintains the technical infrastructure of the CTDA.

Repository Hardware and Storage:

•   UCL follows vendor-identified end-of-life cycles for hardware when appropriate.

•   UCL has full redundancy for all systems.

•   UCL commits to managed growth of repository hardware (i.e. servers, switches, etc.) as capacity needs are met and in keeping with vendor-identified upgrades.

Digital Preservation, Back-up Systems, and Disaster Recovery

•   UCL follows the Open Archives Information System (OAIS) for digital asset preservation and repository construction.

•   UCL maintains a responsible back-up schedule.

•   UCL actively monitors the performance of the CTDA hardware and responds to infrastructure issues in a timely fashion

•   The CTDA will produce a PREMIS (originally PREservation Metadata Implementation Strategies) datastream on demand for all objects deposited in the CTDA, in order to document the audit trail and chain of custody of each digital object.

• UCL maintains a disaster recovery plan that addresses the needs and necessary responses of the CTDA.

Connectivity and Communication Mechanisms

• UCL maintains email for communication with the CTDA: CTDA@uconn.edu.

• UCL maintains a user-identified issue tracking service for the CTDA: http://helpspot.uconn.edu. CTDA staff monitor the bug reporting activities of CTDA users on a daily basis Monday through Friday, and confirm any bug submissions within one to three business days depending on staff availability.

• UCL maintains a system for communicating future technical developments and enhancements of the CTDA platform.

• UCL staff maintains a knowledge base documenting configuration, operations, and maintenance needs of the CTDA technical infrastructure.