# Policy Component Types, Decision Points, and Impacted Actions

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Putting digital preservation practices into place requires a great deal of decision making, which is ultimately captured in policies or procedures. The checklist below provides some suggestions of what kinds of decisions would need to be made in order to perform specific preservation actions, and what kind of policy, procedure, or policy component those might be found in.

Note that an organization does not necessarily need to have all of these documented in policies, nor will every organization perform all of the actions listed. It is also not exhaustive: there are other decision points, actions, and policy components that might not be listed here. This list is intended to be a starting point to aid in decision-making. Additional space is provided so that you can add more over the course of this workshop from experience that you've made in other projects/institutions.

## PRESERVATION ENVIRONMENT MISSION STATEMENT

**DECISION POINTS**

- ❑ Who can submit content?
- ❑
- ❑
- ❑

**IMPACTED ACTIONS**

- ➔ Selection
- ➔ Accession / Acquisition
- ➔
- ➔
- ➔

## DIGITAL COLLECTION POLICY

**DECISION POINTS**

- ❑ What content is accepted?
- ❑
- ❑

**IMPACTED ACTIONS**

- ➔ Selection
- ➔ Accession / Acquisition
- ➔
- ➔

❑ ➔

## DIGITIZATION SPECIFICATION

**DECISION POINTS**

- ❑ What file formats are accepted?
- ❑ What file types are created (preservation, mezzanine, access)?
- ❑ What are the format specification requirements?
- ❑ What metadata is created and by whom?
- ❑
- ❑
- ❑

**IMPACTED ACTIONS**

- ➔ Reformatting
- ➔ Create derivatives
- ➔ Quality control
- ➔ Create metadata
- ➔
- ➔
- ➔

## PRODUCTION SPECIFICATION

**DECISION POINTS**

- ❑ What file formats are accepted?
- ❑ What are the format specification requirements?
- ❑ What other materials should be delivered with the final production?
- ❑ What metadata is created and by whom?
- ❑
- ❑
- ❑

**IMPACTED ACTIONS**

- ➔ Shoot video / audio
- ➔ Edit
- ➔ Create metadata
- ➔ Create submission package
- ➔
- ➔
- ➔

## SUBMISSION AGREEMENT & SPECIFICATION

### DECISION POINTS

- ❑ What contents are required for the preservation package? How is completeness verified?
- ❑ How should the content be packaged?
- ❑ When is fixity information created? By whom? How is it delivered?
- ❑ Is fixity checked at Ingest?
- ❑
- ❑
- ❑

### IMPACTED ACTIONS

- ➔ Package SIP
- ➔ Create fixity information
- ➔ Validate fixity information
- ➔ Assign preservation level
- ➔ SIP completeness check
- ➔
- ➔
- ➔

## INGEST SPECIFICATION

### DECISION POINTS

- ❑ How are unique IDs guaranteed for SIPs and their components?
- ❑ Is virus checking done? If so, for all content?
- ❑ Are files normalized if they don't conform to our format specification?
- ❑ Are derivatives created during ingest?
- ❑ Is metadata extracted from files? How is it stored?
- ❑ What metadata is logged about the ingest process?
- ❑
- ❑

### IMPACTED ACTIONS

- ➔ Generate unique ID
- ➔ Virus check
- ➔ Normalization
- ➔ Create derivatives
- ➔ Characterization
- ➔ Create metadata
- ➔
- ➔

## AIP SPECIFICATION & VERSIONING

**DECISION POINTS**

- ❑ What are the required contents of an AIP? Are there different requirements for different classes?
- ❑ What events trigger the creation of a new AIP version?
- ❑ How are AIPs structured (e.g., physical or logical)
- ❑
- ❑
- ❑

**IMPACTED ACTIONS**

- ➔ AIP completeness check
- ➔ AIP version creation
- ➔
- ➔
- ➔

## STORAGE POLICY

**DECISION POINTS**

- ❑ How many copies of an AIP are required?
- ❑ Are backups made synchronously or asynchronously?
- ❑ How are copies tracked?
- ❑ How often are tests of backups performed?
- ❑ How often is fixity checked?
- ❑ How are repairs performed in the event of a fixity check failure?
- ❑
- ❑
- ❑

**IMPACTED ACTIONS**

- ➔ Backup & replication
- ➔ Disaster recovery testing
- ➔ Fixity audit
- ➔ Data repair
- ➔
- ➔
- ➔

## MIGRATION POLICY

**DECISION POINTS**

- ❑ What approach will be taken in the event of format, software, or hardware obsolescence?
- ❑ Does the repository normalize to a standard format on ingest?
- ❑ How are changes tested?
- ❑ How are changes documented?
- ❑
- ❑
- ❑

**IMPACTED ACTIONS**

- ➔ Normalization
- ➔ Format migration
- ➔ Software migration
- ➔ Hardware migration
- ➔
- ➔
- ➔

## METADATA POLICY

**DECISION POINTS**

- ❑ What metadata is created by the repository?
- ❑ What metadata is required for submission?
- ❑ What metadata is stored where?
- ❑ Who is responsible for oversight of what metadata?
- ❑
- ❑
- ❑

**IMPACTED ACTIONS**

- ➔ SIP creation
- ➔ AIP creation
- ➔ Reporting
- ➔
- ➔
- ➔

## PRESERVATION PLAN

**DECISION POINTS**

- ❑ What is the strategy to ensure long-term accessibility of data (e.g. emulation, migration)?
- ❑ Is all content treated to the same level of preservation?
- ❑ Should a specific hash algorithm be used?
- ❑
- ❑
- ❑

**IMPACTED ACTIONS**

- ➔ Migration
- ➔ Ingest
- ➔ Fixity creation
- ➔ Fixity checking
- ➔
- ➔
- ➔

## SUSTAINABILITY PLAN

**DECISION POINTS**

- ❑ How often is assessment of the repository performed?
- ❑ Is external certification a goal?
- ❑ What is the contingency or succession plan for the data if the repository ceases to exist?
- ❑ What are the essential roles and responsibilities?
- ❑
- ❑
- ❑

**IMPACTED ACTIONS**

- ➔ Repository audit/assessment
- ➔ Staff planning
- ➔ Financial planning
- ➔
- ➔
- ➔