InterPARES 3 Project

International Research on Permanent Authentic Records in Electronic Systems

TEAM Canada

Title: Case Study 15 – cIRcle UBC Institutional Repository - Policies, Guidelines and Procedures for Management and Preservation of Digital Assets Deposited into an Institutional Repository: Workshop 05 Action Item 17 – Draft Digital Preservation Policy for Materials Submitted to cIRcle

Updated for Workshop 08

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Author:	The InterPARES 3 Project, TEAM Canada
Writer(s):	Elizabeth Shaffer School of Library, Archival and Information Studies, The University of British Columbia
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Document Control

Version history			
Version	Date	By	Version notes
1.0	2010-05-12	C. Drego, E. Shaffer	Discussion draft prepared following identification of action items for CS15 at TEAM Canada Plenary Workshop 05.
1.1	2010-05-12	R. Preston	Minor content and copy edits.
1.2	2010-05-20	C. Drego, E. Shaffer	Revision of definitions.
2.0	2010-11-06	E. Shaffer, H. Inefuku	Updated discussion draft prepared following identification of action item 39 for CS15 at TEAM Canada Plenary Workshop 06.
2.1	2010-11-09	R. Preston	Minor content and copy edits.
3.0	2011-11-01	E. Shaffer	Updated version to incorporate recommendations from TEAM Canada Plenary Workshop 07.
3.1	2013-12-02	R. Preston	Minor content and copy edits for public draft version.

> **Wks05 Action 17:** H. Colenbrander, with assistance from the Graduate Research Assistants assigned to case study 15, to develop a digital preservation policy for materials submitted to cIRcle (L. Duranti)

Overview

cIRcle is the institutional repository of the University of British Columbia (UBC), and is a service of the UBC Library. It was established in the spirit of the UBC Library's commitment to Open Access. cIRcle is a service intended to ensure UBC's intellectual output is freely accessible online and serves as both a digital repository and an electronic library, liaising with both the UBC Library and the University Archives. It is mandated to organize and preserve its content and make it available to the UBC community and to outside users via the Web.

The digital content of the repository consists of the works of the UBC community in all formats deposited by individuals and/or identified communities, including documents that could be easily lost once completed (e.g., conference papers or presentations), and documents that are posted to faculty Web sites but may not be easily searchable on the Web, giving testament to the wide range of academic materials produced by the UBC community. cIRcle uses DSpace software to house, preserve and access it contents.

Hilde Colenbrander and the Graduate Research Assistants (GRAs) assigned to the case study have revised the cIRcle Acquisition Policy (see Appendix 1). Substantial revisions have been made to the draft policy to incorporate suggested changes to the policy made by InterPARES researchers at the May 2011 TEAM Canada plenary.

Appendix 1:
cIRcle Digital Repository: Digital Preservation Policy DRAFT

Purpose
The purpose of the cIRcle Digital Preservation Policy is to make certain that action is taken to ensure the long-term preservation of the digital content in cIRcle. This policy acts as an authoritative guide for the long-term preservation of cIRcle's contents and provides a framework to guide preservation practices.

Scope
This policy covers all digital objects submitted to cIRcle.

cIRcle Working Mandate
cIRcle is the University of British Columbia's digital repository for research and teaching materials created by the UBC community and its partners. Materials in cIRcle are openly accessible to anyone on the Web, have persistent URLs, and will be continually preserved.

Policy Statement
cIRcle is committed to acquiring the intellectual output of the UBC community and its partners and making it openly accessible online. As such, cIRcle has an obligation to take the necessary actions required to ensure continued access over time, through the management and long-term preservation of its digital content.

The preservation of the digital objects acquired by and submitted to cIRcle is necessary to ensure that cIRcle can meet its obligations to its content contributors and content users.

This policy ensures that digital content in cIRcle is available to current and future users through the development and implementation of preservation and maintenance strategies that minimize the effects of information technology obsolescence and ensure the authenticity, security and accessibility of its contents.

Guidelines and procedures for the preservation of the digital content of cIRcle ensure the ongoing accessibility of cIRcle contents and will be reviewed as technology changes or new requirements are identified.

Digital Preservation Models
The objectives of the cIRcle Digital Preservation Policy will be achieved by developing procedures and guidelines that adhere to widely accepted models and standards for long-term maintenance and preservation.

cIRcle will utilize the InterPARES 2 Project's *Preserver Guidelines*[1] in the design of procedures for the long-term maintenance and permanent preservation of digital records.

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[1] Available at: http://www.interpares.org/ip2/display_file.cfm?doc=ip2_book_appendix_21.pdf.

cIRcle will also utilize any standard that complements the InterPARES models and guidelines in supporting its preservation program.

Copyright and Intellectual Property

cIRcle does not require authors to surrender or transfer their copyright. Authors must hold the copyright or distribution rights to material(s) submitted to cIRcle, and must grant cIRcle permission to make said material freely available in the digital repository, and to act upon it for preservation purposes.

Withdrawal

Digital objects will not be removed from cIRcle. However, public access to digital objects may be withdrawn for a variety of reasons including, but not limited to, proven copyright violation or plagiarism, national security, falsified research, or publication embargo. In case of a dispute, the cIRcle Coordinator may remove the digital object from public view, pending resolution of the dispute, and should notify the author or copyright holder accordingly. Authors may also request withdrawal of a digital object for a variety of reasons. The head of the cIRcle community, the author or copyright holder, and the cIRcle Coordinator must approve such withdrawal of a digital object(s). The metadata for digital objects withdrawn from cIRcle will remain accessible to cIRcle administrators and will be subject to preservation actions.

The licensing agreement between an author and cIRcle is a non-exclusive one. Authors are therefore free to submit copies of their work elsewhere. However, copies of their work will remain permanently in cIRcle.

Roles and Responsibilities

cIRcle Coordinator

The cIRcle Coordinator ensures that cIRcle preservation policies, strategies and procedures are compatible with other digital preservation policies, strategies and procedures in the UBC Library and then recommends them to the UBC Library Administration for approval; is responsible for the implementation, management and auditing of the preservation of digital objects in cIRcle; monitors compliance with the policy; supervises the preservation of digital objects within cIRcle; and advises depositors on digital formats accepted by cIRcle.

cIRcle Library Assistant

The cIRcle Library Assistant assists the cIRcle Coordinator in implementing the Digital Preservation Policy; assists the Coordinator in preservation activities as required; and advises depositors on file formats accepted by cIRcle.

cIRcle Programmer/Analyst

The cIRcle Programmer/Analyst advises the cIRcle Coordinator on technical issues surrounding digital preservation; and aids, coordinates and/or undertakes the digital preservation procedures of cIRcle.

Director, Library Digital Initiatives

The Director, Library Digital Initiatives, advises the cIRcle Coordinator on issues surrounding digital preservation.

cIRcle Community
The cIRcle Community educates its members on file format(s) accepted by cIRcle.

Depositor
The Depositor ensures that submission(s) to cIRcle are in a file format(s) accepted by cIRcle.

Definitions
Author: The individual, group, or organization responsible for the content of a document submitted to cIRcle.

cIRcle Community: Faculty, department, research unit or other identified group that creates or generates material added to cIRcle.

Depositor: An individual who submits material to cIRcle either on his/her own behalf or at the request of the author(s).

Digital Object: A discrete aggregation of one or more bitstreams and related metadata and, if applicable, methods of performing operations on the object.

Digital Repository: A program or facility that acquires and stores digital objects for preservation and dissemination. In the case of a University Digital Repository, the material collected acquired and stored is produced by the University community and its partners.

File: A collection of structured data elements stored as a single entity.

File Format: The organization of data within digital objects, usually designed to facilitate the storage, retrieval, processing, presentation and/or transmission of the data by software.

Metadata: Data describing the identifying attributes of digital entities and their management through time.

University of British Columbia (UBC) Community: Faculty, staff, students, visiting scholars and other individuals and groups who participate in the activities undertaken at or in connection with the University of British Columbia.

Withdrawal: Public access to digital objects is removed; however, objects and their accompanying metadata remain in cIRcle and are subject to preservation action.

Associated Policies, Legislation and Standards
cIRcle Policies & Guidelines
Acquisition Policy
Intellectual Property Policy

Legislation
University Act (R.S.B.C., 1996, c. 468)

Canada Copyright Act (R.S., 1985, c. C-42)
Canadian Patent Act (R.S., 1985, c. P-4)
Canadian Trade-Marks Act (R.S., 1985, c. T-13)

Standards
Electronic Records as Documentary Evidence (CAN/CGSB-72.34-2005)
Microfilm and Electronic Images as Documentary Evidence (CAN/CGSB-72.11-93)

Associated Procedures
Forthcoming

Availability of Policy
This policy will be made available via the cIRcle Web site to all stakeholders including cIRcle employees, depositors, authors, rights holders and cIRcle patrons.

Policy Review
This policy is subject to approval by the UBC Library and will be reviewed every three years. As part of the review, all specific references to legislation, policies, or other documents will be updated to reflect the latest iteration of all materials.

Date Approved

Date Last Reviewed

Next Review date