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Policies

Connecticut Digital Archive and CTDA Pro

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Contents

Connecticut Digital Archive Policies	3
Background.....	3
Overview	3
Policies Access.....	3
Policies and Guidelines Policy	4
Vision and Mission.....	4
Organizational Policies	4
Governance and Administration Policy	4
Grant Support Policy	5
Participation Policies	5
Eligibility	5
Participation and Termination Policies.....	5
Content and Metadata Policies	6
Content.....	6
Metadata	8
User Accounts.....	8
Metadata and Content Exposure Policy	8
Access, Rights and Usage Policies.....	9
Authentication Support Policy.....	9
Copyright Infringement Policy.....	9
Privacy & Security Policy	10
Preservation and Infrastructure Policies	11
Preservable Formats Policy	11
Technical Infrastructure Policies	11



Connecticut Digital Archive Policies

Background

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. In 2020, the CTDA implemented CTDA Pro, a service aimed specifically at content commonly maintained by academic and research libraries.

Overview

The Connecticut Digital Archive's Policies (CTDA Policies) documents the University of Connecticut Library's approach to governance, administration, functionality, and support of its digital repository services, known as the Connecticut Digital Archive (CTDA) and CTDA Pro. CTDA Policies provides the underlying methodology behind the construction of a long-term viable digital asset preservation program among University entities, and CTDA participants and interested parties. Unless specifically stated, all policies concerning and references to CTDA are meant to include both CTDA and CTDA Pro Services.

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 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>
- Core Trust Seal
<https://www.coretrustseal.org>

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.

Policies Access

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



Policies and Guidelines Policy

Relevant sections of the CTDA Policies document are reviewed every year by the CTDA Advisory Committee and the CTDA Pro Advisory Committee. Final approval of CTDA Policies and Guidelines rests with the Dean of the Library at the University of Connecticut.

Vision and Mission.

The vision of the Connecticut Digital Archive (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 themselves.

The mission of the CTDA is to provide preservation of and access services for digital assets supporting the research, information, and educational missions of its participating institutions.

Organizational Policies

Governance and Administration Policy

To ensure that the CTDA services meet community needs the CTDA convenes advisory committees to provide strategic advice on CTDA operations and services. The CTDA will convene *ad hoc* committees or working groups made up of community members as necessary.

CTDA Advisory Committee

The CTDA Advisory Committee is made up of colleagues 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 CTDA. 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 a new three-year term effective from the previous July.

Operations:

The committee meets quarterly (or as determined by the group) 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 Resource Center.

CTDA Pro Advisory Committee

Membership:

The CTDA Pro Advisory Committee is made up Deans/Directors of the member institutions or their designates.

Operations:

The committee meets quarterly (or as determined by the group) to share experiences and provide



advice on CTDA Pro services and programs, and to consider membership fees, rights, and responsibilities. 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 Resource Center.

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 grant funded activities. The CTDA will assist members as far as resources permit in developing and submitting grant applications.

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 in the CTDA as part of the grant activities. Participants will work with CTDA staff to determine realistic storage needs and costs related to all grant activities.

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 personal and organizational 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 membership, 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 permanent 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 insofar as it can to find an institution willing to take management responsibility for the digital content.

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 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 or malicious 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 as 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)

CTDA central storage will be available to all CTDA members 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 January by the CTDA. CTDA will also provide a POSF (Pay Once Store Forever) storage rate set each year in January 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 UConn Library will continue to grow the storage array in keeping with the demands of the CTDA.

Content Storage Procurement and Allocation Policy (CTDA Pro)

CTDA central storage will be available to all CTDA Pro participants as follows. Each institution will be allocated an amount of storage services each year as part of its membership. The storage allocation for the next fiscal year will be set in January to take effect on July 1 of that year. Additional storage and services may be purchased at a rate set each year in January by the CTDA. CTDA will also provide a POSF (Pay Once Store Forever) storage rate set each year in January by the CTDA. All storage allocations and rates will take effect on July 1. 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.

Inaccessible Repository Data

Certain actions can render repository data inaccessible through typical management and access tools. When notified of inaccessible data, the CTDA will determine the cause, and offer options to restore typical access to the data. If the loss of access is the result of member actions, the member institution will be responsible for costs associated with restoring access to the data. If the loss of access is not the result of member actions, the CTDA will be responsible for the costs associated with restoring access to the data.

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 members 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 Resource Center and at:

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

User Accounts

The CTDA will make available user accounts for institutions working in the shared CTDA management channel to add and manage content. User accounts are reviewed on a yearly basis. Accounts that have been inactive for more than one year will be disabled. Any user account that has been determined as a security risk or breach will be disabled and the institution notified.

Metadata and Content Exposure Policy

The CTDA will make metadata available to harvesters and other content aggregators 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 will implement security measures to prevent the crawling or harvesting of the non-public CTDA servers.

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 members and contributors are responsible for adhering to the copyright policies of their institutions, which includes adherence to United States federal copyright law. In general, good faith is assumed on the part of members and the CTDA will work with members on broad copyright and intellectual property issues. It is the responsibility of each member 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. A member 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 member or CTDA will retain correspondence related to the alleged or apparent infringements.

Privacy & Security Policy

The 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 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.

Links to Other Sites

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 Information Technology Services (UITS) centrally manages and maintains the technical infrastructure of the CTDA.

Repository Hardware and Storage:

- UITS follows vendor-identified end-of-life cycles for hardware when appropriate.
- UITS has full redundancy for all systems.
- UITS 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

- CTDA follows the Open Archives Information System (OAIS) for digital asset preservation and repository construction.
- CTDA maintains a responsible back-up schedule.
- CTDA 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.
- CTDA maintains a disaster recovery plan that addresses the needs and necessary responses.

Connectivity and Communication Mechanisms

- University of Connecticut Library (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 monitors issues reported by CTDA users on a daily basis Monday through Friday, and confirms receipt of submissions within one to three business days depending on staff availability.
- CTDA maintains a publicly accessible knowledge base with information about how to add and manage content in the CTDA.
- CTDA maintains a push notification service to communicate planned outages and emergencies in a timely manner
- CTDA maintains a community management platform that allows conversation among CTDA community members on any topics related to the repository.
- CTDA maintains a knowledge base documenting configuration, operations, and maintenance needs of the CTDA technical infrastructure.

End of CTDA Policies