COLLECTIONS MANAGEMENT POLICY

approved By the Board of Port Wardens: June 14, 2017
# INDEPENDENCE SEAPORT MUSEUM
## COLLECTIONS MANAGEMENT POLICY

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PREAMBLE

The Independence Seaport Museum is committed to the responsible stewardship of its collections. This document covers areas of collections management, including acquisition, preservation, and access. A Collections Committee has been established by the Board of Port Wardens to coordinate the management of acquisitions, rights and reproductions, and exhibition loans for the three collection divisions, Archives, Artifacts, and Museum.

The initial drafting of a Collections Procedures Manual will begin in 2017. The Collections Procedures Manual will be based on the Collection Management Policy and details the steps and responsibilities for carrying out policy. The manual is intended to serve as a reference guide primarily for staff, but volunteers may also find it informative and useful. Because this Manual is intended as a guide to current procedures, it will be updated periodically to reflect changes in best practice, ISM procedures, or research technology.
INDEPENDENCE SEAPORT MUSEUM

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INTRODUCTION

The Collections Management Policy is a statement of the mission of Independence Seaport Museum (ISM) and an explanation of how the mission is pursued through collections activity. The policy guides the Board of Port Wardens, Staff, and Volunteers in carrying out their responsibilities for collections development, care, and access. It is reviewed regularly. It includes ethical obligations that transcend legal requirements.

This policy is effective on the date of its adoption by the Board of Port Wardens and does not affect actions taken under previous policies and procedures.

INDEPENDENCE SEAPORT MUSEUM MISSION STATEMENT

INDEPENDENCE SEAPORT MUSEUM deepens the understanding, appreciation and experience of the Philadelphia region’s waterways. INDEPENDENCE SEAPORT MUSEUM will be a key component of Philadelphia’s waterfront development by connecting our community and visitors with our waterways through exhibitions and programs featuring history, science, and art, as well as experiences on the water.

J. WELLES HENDERSON ARCHIVES & LIBRARY MISSION STATEMENT

The J. Welles Henderson Archives & Library and the Curatorial Department of Independence Seaport Museum are dedicated to a deeper understanding, appreciation, and experience of Delaware River and Bay, Philadelphia’s regional waterways, and the coastal watersheds and shores of New Jersey and Delaware. To this end we identify, select, gather, preserve, maintain, catalogue, and make accessible the maritime heritage of Philadelphia and its surrounds. We do this in a way that embodies a carefully preserved heritage as well as a vibrant engagement with the museum and the public. We strive to be the intellectual underpinning of ISM’s research, exhibitions and interpretive programs and an open resource for the global community.
I. RESPONSIBILITIES

ISM’s governing body is the Board of Port Wardens. The Board consists of the officers and a number of Port Wardens not fewer than twelve.

The Board of Port Wardens has both fiduciary and policy-setting responsibilities to carry out the purposes for which ISM was formed. The Board may exercise all such powers of ISM and do all such lawful acts and things as are not by statute or by the Articles of Incorporation or by the Bylaws directed or required to be exercised or done by the members.

The President is the chief executive officer of ISM. The President implements the Board’s policies, directs and manages ISM’s activities, and reports to the Board Chair.

The Collections Committee of the Board is a Standing Committee that is appointed by the Board Chair, subject to confirmation of the Board. The President, VP of Interpretation and Visitor Experience, Chief Curator and the Director of the Archives and Library will have permanent seats on the Collections Committee. The Committee provides oversight for collections development, care, and access according to policies and procedures of the Collections Management Policy.

The Collections Committee of the Board approves certain acquisitions, all deaccessions, loans from the collections, and deposits. The Committee Chair reports to the next meeting of the Board on actions taken. On determination of the Committee Chair, Board approval is sought whenever there is an issue of sensitivity or a commitment of resources that are not the subject of a previously approved budgetary allocation. Board approval is required whenever an item to be accessioned, deaccessioned, lent, or deposited is considered to be of notable historical significance or its reasonable estimated value exceeds $10,000.

The Collections Committee of the Board is responsible for periodic review of the Collections Management Policy and making recommendations for revisions for approval by the Board of Port Wardens.

The Chief Curator and the Director of the Archives and Library implement the Collections Management Policy. The Chief Curator directs and manages collections activities and reports to the VP of Interpretation and Visitor Experience. In the absence of the Chief Curator, the Director of the Archives & Library reports to the VP of Interpretation and Visitor Experience.
II. COLLECTIONS’ SCOPE

The primary goal of Independence Seaport Museum (ISM) is to collect, preserve and interpret and make available the maritime heritage of the Delaware River and Bay. This region is geographically defined by the Delaware River Watershed in addition to the coastal watersheds and shores of New Jersey and Delaware. All of the ports, maritime activities, social and economic institutions, and industries related to these waterways are of interest to the museum.

ISM focuses its collecting as follows:

Printed Holdings: that treats primarily:

- Philadelphia and adjacent areas from the period of initial European encounters to the present
- The founding of the U.S. Navy
- The Historic Ships Cruiser Olympia and Submarine Becuna
- The migrations of people to and from Philadelphia and its surrounds
- The study of Shipbuilding and its related trades from the 1700s through present
- The role of the Delaware River Ports in the nation’s founding
- The role of the Delaware River Ports in the growth of Commerce and International trade from the 1700s to present

Manuscripts: that treats primarily:

- Early American Shipping, Ship Building and Port Activities
- The area centered on Eastern Pennsylvania (metropolitan Philadelphia in particular), southern New Jersey, and northern Delaware
- Various topics associated with the founding of the Nation
- Various topics associated with the Cruiser Olympia and Submarine Becuna.
- Other organizations and activities that reach across significant parts of the Mid-Atlantic region
- Philadelphians beyond the Commonwealth, among them merchants, soldiers, and tourists, as well as diplomats, artists, and explorers

Artifacts, Art, and Photographs: that represent or provide context for:

- The Historic ships Cruiser Olympia & Submarine Becuna
- The Founding of the U.S. Navy
- Philadelphia and adjacent areas from the period of initial European encounters to the present
- The study of Shipbuilding and its related trades from the 1700s through present
• The role of the Delaware River Ports in the nation’s founding
• The role of the Delaware River Ports in the growth of Commerce and International trade from the 1700s to present.
• The migrations of people to and from Philadelphia and its surrounds

Cartography: that illustrate primarily:

• The Philadelphia area
• The Delaware River Watershed
• Various global maps and charts as related to Philadelphians beyond the Commonwealth.

Books. That support research primarily about:

• Philadelphia and adjacent areas from the period of initial European encounters To the present
• The founding of the U.S. Navy
• The Historic Ships: Cruiser Olympia and Submarine Becuna
• The migrations of people to and from Philadelphia and its surrounds
• The study of Shipbuilding and its related trades from the 1700s through present
• The role of the Delaware River Ports in the nation's founding
• The role of the Delaware River Ports in the growth of Commerce and International trade from the 1700s to present.

ISM respects the collection scopes of other institutions while recognizing that there are instances when its collecting interests overlap with those of other repositories. The Museum does not collect government-owned documents or other property.
III. COLLECTIONS DEVELOPMENT

ISM develops collections through a process of ongoing acquisition and deaccession. All collections are organized for maximum research value. Materials (Documents, Artifacts, Art, & Photographs) that relate to a given entity, topic, or subject will be presented holistically with due regard to provenance and natural order.

A. Acquisition

ISM acquires items for the collections by means of donation, purchase, exchange or any other transaction by which title to the items passes to ISM.

1. Conditions

ISM selects items for acquisition only under the following conditions:

a. The item is useful to ISM’s institutional mission and falls within the collections scope definition and collections development plan.

b. The item is accepted for the permanent collections.

c. The transferor’s title to the item is free and clear and the item acquired is as represented.

d. Transfer of the item to ISM is absolute.

e. The transfer to ISM of any rights (including copyright) that the transferor may have in or to the item, the retention of any such rights by the transferor, and any conditions that the transferor wishes to place on the transfer are agreed upon in advance and stated clearly in writing.

f. Financial resources for purchases exist.

ISM selects items for the collections with consideration given to the following conditions.

g. The item is in good condition or resources exist to provide necessary conservation work.

h. ISM can provide sufficient physical care for the item according to professionally accepted standards.

i. ISM can provide sufficient intellectual access to the item.

2. Procedure for Acquisitions
a. **Level 1**: Non Accessions: Are items that are taken in and held for an undefined amount of time, such as items used to provide context for an exhibit, educational program, or in need of additional research to determine whether or not they fit in the collection. These items require the approval of the President, the Chief Curator and/or the Director of the Archives and Library.

b. **Level 2**: Regular Accessions: Are items acquired by any means that meet the Collections Scope as defined in II on page 6. These items can be accepted pending the approval of the President and Collections Committee.

Either the Chief Curator or the Director of the Archives and Library may approve additions to the records of organizations already contained in the Collections.

All acquisitions are presented to President and the Collections Committee of the Board for approval.

c. **Level 3**: Board Approved Accessions: Are items that require the approval of the Board of Port Wardens prior to accepting physical and fiduciary responsibility for the record, art, or artifact.

On determination of the President and the Collections Committee Chair, Board approval is sought whenever there is an issue of sensitivity or a commitment of resources – either for purchase or stewardship - that are not the subject of a previously approved budgetary allocation.

Board approval is required whenever an item to be acquired is considered to be of notable historical significance or its reasonable estimated value exceeds $25,000.

d. Prior to approval for items to be accessioned, the transferor signs a legal instrument of conveyance, also known as a deed of gift, which sets forth an adequate description of the items involved and the precise terms of transfer, and which notes that the deed is effective only after approval by the President and the Collections Committee of the Board.

e. Donors are responsible for securing independent monetary appraisals for tax purposes. ISM does Not appraise acquisitions for monetary value.
3. Procedure for purchases

a. **Level 1**: Requires the approval of senior management

Consistent with existing management and staff procurement procedures, the authority for routine purchases of printed materials for the Collection up to $500 for any individual piece may be made the Chief Curator or the Director of the Archives & Library at the continuing and sole discretion of the President.

All purchases of individual items over $500 and up to and including $1,000 must be approved by the President, or in the President’s absence, the President’s designee and the Chief Curator.

In cases where an auction or private offering transaction is involved, and a very narrow time window of opportunity exists, the senior management, as defined above, may authorize purchases (for either individual items or multiple items offered in a single auction or transaction event) of up to and including $2,500. In cases where this additional authority is exercised, staff will report to the Collections Committee in writing as soon as practical following the purchase for all transaction events where $1,000 or more has been spent.

Staff may not spend more than $2,500 in any month, subject to the museum’s internal controls without expressed approval of the Collections Committee. Staff reports to the Collections Committee no less than quarterly with written summary data on all recent purchase activity.

b. **Level 2**: Requires the approval of the Collections Committee of the Board. All purchases of individual items in excess of $1,000, but less than $10,000, must be approved by the Collections Committee of the Board, except as noted above.

c. **Level 3**: Requires the approval of The Board of Port Wardens

On determination of the Committee Chair, Board approval is sought whenever there is an issue of sensitivity or a commitment of resources that are not the subject of a previously approved budgetary allocation. Board approval is required whenever an item to be purchased is considered to be of notable historical significance or its value exceeds $25,000.

In considering all purchase opportunities, the staff will be responsible for judging the merits of the proposed items as to their appropriateness and value to the collection prior to purchase. Prior to purchase, staff will also be responsible for making reasonable inquiry as
to the proposed transaction’s integrity, to include such inquiry as may be reasonably necessary of the seller(s), and any persons acting in a representative capacity for the seller(s), as well as any and all representations made in relation to the proposed transaction and or item(s) under consideration regarding the authenticity, provenance, and or title to any item(s) to be considered.

B. **Deaccession:** The process by which items are taken out of the collection. This practice is a typical part of collections stewardship and a way for the Museum to refine its collections.

Items are removed from the collections by means of sale, exchange, transfer, donation, or witnessed destruction solely for the advancement of the Museum’s mission. Preference is given to a disposal method that benefits another collecting institution, represents the intent of the acquisition, and provides that a removed item remains accessible to the public.

1. **Conditions**

ISM selects items for deaccessioning only under the following conditions.

a. There are no known legal restrictions relating to disposition on the item.

b. The method of disposal is in the best interests of ISM and the public it serves.

ISM deaccessions items with consideration given to the following conditions.

c. The item is no longer useful to ISM’s institutional mission and does not fall within the collections scope definition and collections development plan.

d. The item duplicates a better example, edition, or image in the collection.

e. The item no longer retains its physical integrity, its identity, or its authenticity.

f. ISM cannot provide sufficient physical care for the item according to professionally accepted standards.

g. The item is in danger of damaging other parts of the collections.

h. ISM cannot provide sufficient intellectual access to the item.

i. ISM can record and retain information that is unique to the item but the item it is otherwise of no value to ISM.
j. The item is related to a significant body of material at another repository either through provenance or thematically and reuniting it with that body of material would significantly enhance its value for use.

k. ISM’s possession of the item is not legitimate, because the item was stolen, improperly removed from another repository, or illegally exported or imported.

l. The authenticity or attribution of the item is determined to be false or fraudulent and the item lacks sufficient research value to warrant retention. (Deaccession of an item determined to be a forgery shall be done in such a way as to minimize the risk that others will be misled as to its authenticity.)

2. Procedure

   a. Based on the conditions described above, the Chief Curator and of the Director of the Archives and Library may dispose of items whose value does not exceed $1,000. Items between $1000 and $5000 are proposed items for deaccession to the President and the Collections Committee of the Board for its approval. Board approval is required whenever an item to be deaccessioned is considered to be of notable historical significance, whenever there is an issue of sensitivity, a commitment of resources that are not the subject of a previously approved budgetary allocation, or its reasonable estimated value exceeds $5,000.

   b. The method of disposal is included in the deaccession recommendations.

   c. Any transaction with the appearance of a conflict of interest is fully considered and documented. Under no circumstances is ownership to be transferred to any of ISM’s Board Members, Staff or Volunteers, or their representatives or families.

   d. All monies generated through the deaccessioning of objects from the collection will be used to enhance the care, protection and preservation of the collection or used to acquire objects for the ISM collection.

3. Limitations on applicability

   a. The deaccession policy does not apply to material that is weeded during the processing collections in accordance with professionally accepted best practice. Typical weeded items include duplicate items, newspaper clippings that have been preservation photocopied, routine circulars, receipts, cancelled checks, and routine, non-substantive correspondence.
b. The deaccession policy does not apply to books or other material culture that has been acquired but not cataloged, found to already exist in ISM’s holdings, or are outside of our collection scope.

IV. COLLECTIONS CARE

ISM maintains physical control of its collections through preservation, conservation, replacement, insurance, and documentation. The Curatorial staff monitors the condition of the collections and is responsible for maintaining collections care. The Chief Curator and/or the Director of the Archives & Library inform the President and the Collections Committee of the Board on priorities and programs for collections care. The Curatorial staff submits proposals for collections care projects to the President and Collections Committee for approval that require a commitment of resources that have not been within a previously approved budget.

A. Preservation

ISM strives to prevent deterioration or loss of collections while in storage, on exhibition, in research areas, or in transit, in the following ways.

1. Loss from factors like temperature, humidity, dust, light, mold, and insect infestation is minimized through building maintenance and the mechanical, electronic, and storage systems.

2. Loss from careless handling is minimized through established rules and procedures that authorize the person or persons who can handle collections and how they are handled. The staff is authorized to deny users access to the collections when careless handling or other negligence is observed.

3. Loss from theft is minimized through staff supervision, electronic security and surveillance systems, and other security procedures that monitor patrons and staff. Staff is authorized to inspect packages and personal belongings of visitors when entering or leaving the Archives.

4. Loss from fire, flood, and other emergencies and disasters is prevented through established emergency response plans and procedures.

B. Conservation

ISM conserves an item to halt deterioration or return it as close as possible to its original state, under the following conditions.
1. It is necessary to prevent deterioration or loss of the item, or it is desirable for aesthetic reintegration.

2. The historic, artistic, and aesthetic integrity can be retained or restored.

3. The treatment is reversible except in circumstances where no other reasonable treatment can prevent the loss of an item.

C. **Replacement**

ISM replaces an item with a duplicate or alternative format copy or substitutes that provides as much as possible the qualities of the original under one or more of the following conditions.

1. The item is beyond repair.

2. The item is in danger of sustaining irreparable damage or damaging surrounding materials.

3. The item is a reference work that is replaced by an updated edition.

D. **Digitization**

ISM recognizes the developing digital media trend and values its ability to make material accessible to a broader global community. ISM will strive to:

1. Create and maintain a web based digital catalog for all collections.

2. Make as much of the collection available over the internet as practical.

3. Create and maintain a Digital Archive according the Digital Preservation plan adopted by the Board October, 2016. (Copy attached)

D. **Insurance**

1. ISM does not substitute insurance coverage for responsible collections care.

2. ISM maintains designated nominal coverage with respect to its collections located on the premises and in temporary locations off-site through a standard fine arts insurance policy primarily to underwrite conservation costs.
3. Additional Insurance will be arranged for all incoming loan and deposit items as it is industry practice and to prevent a depletion of coverage for the museum’s owned collections should a loss occur.

ISM does not insure items on the premises that are not part of the permanent collections, except by special arrangement.

E. Documentation

ISM creates, holds, and maintains documentation of collections development, care, and access.

1. Collections development documentation includes accession and deaccession records, including receipts, provenance, conditions of acquisition, and methods of disposal.

2. Collections care documentation includes: inventory records documenting location, physical condition, storage facilities reports, treatment reports, damage or loss reports, and insurance records.

3. Collections access documentation includes exhibition loan agreements and related records, publication reproduction records, and other permissions for use.

V. COLLECTIONS ACCESS

ISM encourages wide access to its collections through reference aids, examination, exhibition, reproduction and publication. Access may be restricted because of resource limitations, care requirements, confidentiality, or other considerations.

A. Reference Aids

Collections access is assisted through unpublished and published reference aids, including online and card catalogs, finding aids, indexes, inventories, collection files, databases, guides, and other internal and external systems. Some of these reference aids are available via the Museum’s website.

1. Reference aids are prepared by staff according to professional standards and appropriate institutional practice.

2. ISM is not responsible for reference aids prepared by outside individuals or institutions in which ISM’s collections appear.

4. Access to confidential collections information, including provenance and value, may be restricted as determined by the staff.
B. Research

Collections are available for research at ISM during public hours by appointment. Copies of items in the collections may be requested for off-site research.

1. Rules for handling are established and enforced by the staff.

2. Special research privileges are not granted except in extraordinary circumstances and with the approval of the Chief Curator or Director of the Archives & Library.

3. Use of an item may be restricted due to its condition or for legal or privacy reasons.

4. Use of an item may be restricted under terms that are included in the deed of gift or invoice.

5. Photocopy, microfilm, digital, or other copies of collections are supplied through procedures established by the Chief Curator and the Director of the Archives & Library and are for reference use only. Written permission for other use, including exhibitions and publications, must be secured from ISM.

C. Short term, Incoming and Outgoing Loans

Items are used in ISM’s exhibits and are lent for exhibitions at other qualified institutions.

1. Conditions

   The Chief Curator or the Director of the Archives & Library approves items for ISM exhibitions with consideration given to the following conditions.

   a. The item is available and not needed for other ISM exhibitions or programs.

   b. The item is in suitable physical and aesthetic condition and can be transported without being exposed to undo risk.

   c. The item can be provided with suitable conditions for its care and safety.
d. The item is presented in a manner that preserves its intellectual integrity.

e. The borrower is a museum, historical society, or other educational, non-profit institution, open to the public and dedicated to a public function and accredited by AMA. Loans over $25,000 need to be approved by the Board of Port Wardens.

f. The borrower assumes all costs associated with the loan, including the costs incurred to document, transport, conserve, appraise, and Insure.

g. The borrower gives appropriate credit to ISM.


h. Long term loans not affiliated with an Exhibit or Museum program must be approved by the Board of Port Wardens.

2. Procedure

The Chief Curator approves the loan of items in the Collections provided their value does not exceed $25,000.00. Collections Committee approval is sought whenever there is an issue of sensitivity or a commitment of resources that are not the subject of a previously approved budgetary allocation. Board approval is required whenever an item to be lent is considered to be of notable historical significance or its reasonable estimated value exceeds $25,000.

D. Digital Reproduction and Publication

ISM permits digital reproduction and publication of collection materials in books, newspapers, advertisements, exhibitions, microform publications, web sites, and other formats under the following conditions.

1. The user assumes all responsibility for any infringement of the U.S. Copyright Code. ISM does not claim to control copyright on collection originals unless such copyright has been transferred to ISM, but the ISM does hold copyright to digital images created by ISM staff.

2. Published digital reproductions are permitted for use only when produced from copies supplied by ISM. Exceptions must be approved by the Collections staff.

3. The user gives appropriate credit to ISM as owner of the item.
Example: “Image courtesy of the _______ Collection, J. Welles Henderson Archives & Library at Independent Seaport Museum, Philadelphia, PA”

4. The item is presented in a manner that respects its intellectual integrity.

5. Permission is granted for one-time use, after an official request is submitted.

6. Exclusive rights for unlimited use are not granted.

7. ISM does not surrender its rights as owner of the item by granting permission for its reproduction.

VI. NON-COLLECTION MATERIALS

Items that are placed with ISM but are not part of its collections include items on loan for exhibition, semi-permanent deposits, items acquired for ISM programs, or items held in storage. ISM accepts these items only for the advancement of ISM’s mission and not as an endorsement or to enhance their value. ISM is not responsible for items that are received at ISM without the previous knowledge of the Chief Curator, the Director of the Archives & Library.

A. Loans for exhibition

ISM borrows items from private sources and public institutions for its own exhibition programs. ISM exercises the same degree of care for items on loan at ISM as it does for items in its own collections (except that ISM may provide special insurance for items on loan and satisfy other conditions which are imposed by the lending source). Loans to ISM are approved by the Chief Curator provided the value of the item is below $25,000.00. Should the value exceed $25,000.00 the approval of the Collections Committee is required.

B. Deposits

ISM receives solicited items on deposit. ISM cares for deposits as it does its own collections but it does not insure deposited items except by special agreement. Deposits to the collections must be approved by the Collections Committee of the Board of Port Wardens. Deposits will be reviewed annually including contact with the Depositor.

1. Conditions

Deposits are approved with consideration for the following conditions:
a. The item meets the conditions for acquisition, including its relevance to ISM's mission, ISM's ability to provide care and access, and assurances that free and clear title belongs to the depositor.

b. There is the potential that the item may be acquired by ISM.

c. The terms of the deposit, including the duration and the disposition of the item, are agreed upon in writing with the depositor.

d. If the deposit cannot be returned at the end of the deposit period, the Collections Committee, on the recommendation of the staff, may seek legal counsel.

2. Procedure

The Collection Staff recommends permanent deposits to the Collections Committee. On determination of the Collections Committee approval is sought whenever there is an issue of sensitivity or a commitment of resources that are not the subject of a previously approved budgetary allocation. Board approval is required whenever an item to be deposited is considered to be of notable historical significance or its reasonable estimated value exceeds $25,000.

C. Program materials

ISM accepts items for use in its programming, as requested by Education and Interpretation staff.

1. An item offered for program purposes may be considered for the collections according to acquisition policies and procedures.

2. An item used for programs is not subject to ISM's collections policies and procedures and therefore may be disposed of or discarded.

D. Storage

Items are stored at ISM by other organizations according to fees and conditions approved by the President, coordinated by the Chief Curator or the Director of the Archives & Library.
VII. GLOSSARY

**Accession:** (1) item(s) added to the collections; (2) the act of recording/processing an addition to the collections.

**Acquisition:** an addition to the collections, by purchase, donation, transfer, exchange, or bequest, for which title is given to ISM.

**Alternative format copy:** a reproduction of the complete substance of an item in a physical medium different from the original.

**Appraisal:** a valuation of property.

**Archival materials:** a broad term used to encompass manuscript, graphic, and ephemeral materials; everything not included in the “printed materials” category.

**Catalog:** (1) online public access catalog (OPAC); (2) an alphabetical card file; (3) a list of things exhibited, usually with descriptive comments and often illustrations; (4) the act of classifying items methodically, usually with descriptive detail.

**Collections:** tangible objects owned by ISM for the public trust and intended to be held for the foreseeable future, to be cared for and accessible.

**Conservation:** individualized treatment which prevents or delays future degradation of items. (see also Preservation)

**Copyright:** The exclusive rights, granted by law, of the creator of a work (or his or her assignees or employers) to make or dispose of copies and otherwise control the use of a literary, dramatic, musical, artistic or other work. Ownership of copyright in a work does not necessarily pass with ownership of the work itself.

**Current printed materials:** this phrase is used to describe those acquisitions that are presented to the Collections Committee of the Board for their information only and do not require Board approval. These include books, pamphlets, serials, and broadsides published within the last 25 years.

**Deaccession:** (1) item(s) removed permanently from the collections; (2) the process of removing an item permanently from the collections.

**Deposit:** item(s) placed at ISM for research purposes while the title remains with the depositor. (See also Loan.)

**Digitization:** the process of transforming analog material into binary electronic (digital) form, especially for storage and use in a computer. This has replaced ISM’s former practice of film photographic reproduction.
**Fiduciary:** designating or of a person who holds something in trust for another; of a trustee or trusteeship.

**Graphics:** archival materials at ISM that are considered “graphics” include photographs, prints, broadsides, and maps.

Intellectual access: a way or means of understanding and using the informational content of material.

**Inventory:** (1) an itemized listing of items, usually of items for which ISM has assumed responsibility through Accession, Deposit, or Loan; (2) the act of physically locating all or a random selection of the items for which HSP is responsible.

**Curatorial Division:** the division of ISM responsible for the administration of collections; it includes the J. Welles Henderson Archives & Library, and the Curatorial Department.

**Loan:** item(s) borrowed by ISM or from ISM for exhibition purposes. (See also Deposit.)

**Non-Collections material:** item(s) that ISM does not intend to accession or for which ISM does not own title.

**Preservation:** broader measures that prevent or delay future degradation of collections, e.g., the provision of environmentally sound and secure storage, the withdrawal, restriction or copying of fragile items.

**Printed materials:** traditional library holdings, such as books, pamphlets, serials, and broadsides; everything not included in the “archival materials” category.

**Provenance:** the place of origin or source, the history of transmission of ownership.

**Restriction:** limit or restraint on the use of an item.
Executive Summary:

The J. Welles Henderson Archives and Library (JWHAL) is becoming an increasingly digital archive and library. Our digital records already exceed 250,000 items and more are added almost daily. With acquisition comes the responsibility to preserve and make available this content for our future users. As a small archive with limited resources and staffing, making records available digitally is essential to our commitment to provide public access.

Preservation of digital content is not, however, straightforward. It requires thought, action, and intervention earlier and more often than our physical collection. Up to this point, the J. Welles Henderson Archives and Library has not had a digitization policy or a digital preservation policy. Though some material have been digitized; a systematic, efficient and cost-effective way to manage and preserve all types of digital content intended for long term preservation has yet to be implemented. This strategy is to set down the parameters of a sustainable Digital Preservation Policy.

Summary Statement:

The preservation of our collections is central to the J. Welles Henderson Archives and Library achieving sustainable success. If we cannot preserve our records and artifacts, we will fail in our core mission to make access to future generations possible. Although we have made records available in digital format, digital preservation implies more than making an object or document available in a digital format. Digital preservation has been defined by the American Library Association (ALA) as “policies, strategies, and actions to ensure access to reformatted and born digital content regardless of the challenges of media failure and technological change. The goal of digital preservation is the accurate rendering of authenticated content over time.”

The JWHAL maintains digital resources in the form of document and photograph scans as well as audio and visual media files. Additionally, we may hold digital files of related records from outside repositories and some of our larger digitized collections are held in institutions that we collaborate with (Villanova and Penn). With regard to internal files, the Director of JWHAL and the Chief Curator work as a team to determine which in-house files are digitized and in what priority order the digitization is completed. This determination is made when the records are accessioned, during the maintenance review process for existing record groups, or at any time an urgent preservation concern arises. Ideally original or ‘master’ copies are used to produce the digital file from which a ‘use’ copy is created. This process applies to all collections, institutional history, and legal documents to which JWHAL or the Independence Seaport Museum (ISM) is a party.
This document was written by the Director of the J. Welles Henderson Archives and Library and approved by the Chief Curator, the Collections Committee, and the Board of Port Wardens of the Independence Seaport Museum.

Objectives:

- Enable uninterrupted (not necessarily instant) access to digital content over time as technology for digital content evolves.
- Collaborate with regional and national institutions to make the best use of resources and avoid duplication of effort.
- Comply with and contribute to the development of the standards and best practices of the digital preservation community.

Scope:

The JWHAL has primary responsibility for preservation of:

- Digital archival resources of enduring value
- Digital library resources of enduring value
- Digital resources from outside sources that the Library has contracted to preserve for long-term access

Program limitations: This program will not prioritize the preservation of objects that are already commercially available elsewhere or that are preserved with a trusted digital repository, except in the case of a future digital preservation strategy (such as the LOCKSS model). The program will assess candidates for digital preservation within budget limitations as well as explicit criteria specified by the Collections Committee of ISM.

Selection Criteria:

- Unique materials in danger of obsolescence in analog form and identified as “critical need” for digital preservation
- Unique materials in digital form in danger of obsolescence or loss.
- Digital collections earmarked by our patrons as requiring long-term access

1 There may be cases in which the program will archive an object that is also available within another trusted repository in order to retain the integrity of the collection. An example of this would be if a researcher deposits his/her research with JWHAL but also deposits or publishes some research elsewhere. Another example would include a case in which the Library digitizes a rare book from its collection and Google Books digitizes the same book at a later date. Although that content may be duplicated, the Library would have a responsibility to retain its copy of the digitally preserved book because Google Books has made no claim to be a Trusted Digital Repository and therefore its content is not guaranteed to be available in perpetuity.
Timeframe: Our policy, procedures, current and needed technical infrastructure, refined selection criteria, and resources framework will be completed in 2020. At that point, we will assess the overall timeframe for an operational, sustainable, comprehensive digital preservation program.

**Strategies:**

This policy follows digital preservation standards as defined in OCLC’s Trusted Digital Repositories: Attributes and Responsibilities. Accordingly, the attributes of a trusted digital repository are:

- Open Archival Information System (OAIS) compliance
- Administrative responsibility
  - Accept responsibility for the long-term maintenance of digital resources on behalf of its depositors and for the benefit of current and future users.
- Organizational viability
  - Establish an organizational system that supports not only long-term viability of the repository, but also the digital information for which it has responsibility.
- Financial sustainability
  - Demonstrate fiscal responsibility and sustainability.
- Technological and procedural suitability
  - Develop policies, practices, and performance that can be audited and measured.
- Systems security
  - Ensure the ongoing management, access, and security of materials deposited within it.
- Procedural accountability
  - Dependably carry out its long-term responsibilities to depositors and users openly and explicitly.

**Challenges:**

- Budget limitations. We must always live within our financial means. Realistically, we will not be able to preserve everything, making our selection criteria for preservation all the more imperative.
- Keeping up with technological change in terms of hardware, software, new formats, etc. At this point we are using Eloquent Archives Catalog which monitors most of these issues.
- Creating and following submission standards
- Meeting the education needs of staff involved with (but not explicitly responsible for) digital preservation.
Operating Principles:

The J. Welles Henderson Archives and Library will strive to:

- Comply with OAIS and other digital preservation standards and practices
- Ensure that content remains readable and understandable
- Develop a reliable, scalable, sustainable, and auditable digital preservation repository
- Manage the hardware, software, and storage media in accordance with environmental standards, quality control specifications, and security requirements

Roles and Responsibilities:

The J. Welles Henderson Archives and Library accepts responsibility for preserving its digital assets. The Collections Committee evaluates high-level policy documents and reviews programmatic plans and progress. The Chief Curator and Director of the JWHAL manage the digital preservation program and the lifecycle of digital objects of enduring value within the JWHAL.

Cooperation and Collaboration:

The JWHAL acknowledges that its digital preservation goals will likely exceed available resources and therefore not be able to guarantee the safety of all digital assets. Therefore, collaboration and partnerships with regional and/or like-minded organizations will be required to ensure the program’s success and to properly prioritize which assets will be addressed and in what order. These may include working with state and regional cultural heritage organizations. Such collaborations may require formal agreements that make explicit the roles and responsibilities of each member in any collaborative.

Selection and Acquisition for Preservation

The Digital Preservation Decision Flowchart (Appendix B) guides collection owners regarding preserving digital content of enduring value. The Decision Flowchart also reflects criteria for deposit.

Access and Use:

Stakeholders of JWHAL’s digital preservation program include traditional users such as staff, patrons, researchers, and stakeholders such as the Franklin Institute that have deposited archival masters with the Library for long-term preservation. Restrictions to use of collections are defined by the collection holder and vary from collection to collection.
SECTION B

Policies and Procedures

Roles and Responsibilities

There are several individuals responsible for the digital content connected with JWHAL’s forthcoming Digital Archive throughout the content’s lifecycle. Main roles and responsibilities are divided between the collection owner who is submitting materials to the archive (whether they be physical or born digital), JWHAL interns and volunteers who digitize physical materials, and the Director of the J. Welles Henderson Archives and Library.

What are the responsibilities of collection owners?

- Intellectual property rights: Ensure all proper permissions associated with the deposited content are fully established.

- Metadata: Submit appropriate descriptive, administrative, structural and possible preservation metadata\(^2\) as required by JWHAL’s documentation policy. If collection is submitted to the archive in digital form, technical metadata should be submitted by collection owner at time of deposit.

- Agreement: Sign and maintain a formal Agreement with JWHAL specifying current materials being deposited and current contact information. This must be completed before the digital collection is created.

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\(^2\) Preservation metadata stores technical details on the format, structure and use of the digital content, the history of all actions performed on the resource including changes and decisions, the authenticity information such as technical features or custody history, and the responsibilities and rights information applicable to preservation actions. It often includes the following information:

- Provenance: Who has had custody/ownership of the digital object?
- Authenticity: Is the digital object what it purports to be?
- Preservation activity: What has been done to preserve the digital object?

- Technical environment: What is needed to render and use the digital object?
- Rights management: What intellectual property rights must be observed?
What are the responsibilities of the J. Welles Henderson Archives and Library?

- Reliability: Carry out all digitization processes according to formal Agreement between collection owners and the J. Welles Henderson Archives and Library.


What are the responsibilities of the Digital Preservation Program?

1. Insure digital stewardship for all material. JWHAL staff, volunteers and interns must work together to manage stored digital material throughout all phases of the collection’s life cycle. The phases are:
   a. Assessment phase: Chief Curator or Director of JWHAL performs a curatorial assessment of materials intended for the Archive and/or Collections. Assessment includes filling out the accession forms, which specify such things as initial format, archival format, access considerations, copyright restrictions, etc.
   b. Acquisition and creation phase: Chief Curator or Director of JWHAL selects digital formats and defines technical specifications and workflow processes for creation of collections and related metadata. For material that JWHAL will be digitizing, this will include a workflow for digitizing according to archival specifications and metadata creation. For born-digital objects submitted to the Archive, this will include a workflow for possible migration to accepted Archive format and initial checksum verification.
   c. Deposit phase: Digital Archive validates each package of digital objects and related metadata that is submitted.
   d. Archive and preservation phase: Chief Curator or Director of JWHAL will perform yearly checks to ensure the usability of digital objects over time. This includes their refreshment and possible migration to new formats.

2. Reliability: Provide services as agreed to in all Agreements with collection owners.

3. Documentation: Maintain current documentation of supported formats and disseminate the preservation action plan for each supported format. (See Appendix C for supported formats).

4. Financial: Determine costs of long-term preservation and services and disseminate them to Chief Curator and the Collections Committee.

5. Preservation: Provide data for preservation treatments that are as lossless as required given the Collection Department’s resources and current knowledge.
6. **Sustainability:** Professionally manage the Program in a way that is administratively, financially, and technically viable long-term.

**DIGITAL ASSETS**

**Quality Creation and Benchmarking**

The JWHAL Digital Archive is committed to providing long-term storage to all deposited content by applying best practices for data management and digital preservation while also acknowledging the complexities involved in preserving digital information. The Archive commits to preserving content in the form it is originally deposited if deposited in an acceptable format *(See Appendix C).* The Archive will preserve the content, structure and functionality of the files through migration to newer formats or other preservation strategies, where feasible. The Archive will provide basic services including secure storage, backup, management, and quality checks.

At the outset, the Archive will provide preservation support for specific file formats only. We have determined these by applying a set of evaluation criteria including: prevalence of the format in the marketplace, availability of tools for migration and availability of local resources to take specific preservation actions. Over time, our ability to provide full preservation support for more formats is likely to grow as additional tools and techniques are developed and adequate staff and resources are allocated to fully support the service offered.

This service is currently provided only for formats that are both publicly documented and widely used, giving us a high degree of confidence in our preservation commitment, making it more likely that tools will exist or be developed to undertake preservation actions, and that those actions will result in an understood and controlled migration. The content may also be normalized (transformed to another stable format) to provide additional assurance that functionality is preserved. Finally, if possible, the content will be preserved as originally deposited to ensure the original bit stream is always available. Jpeg and PDF are examples of supported formats, as their specifications are publicly available and it is well supported and widely deployed. The formats specified in Appendix C will be re-evaluated at the end of each calendar year to determine if new standards should be adopted.

**Selection and Acquisition Policies and Procedures**

While several types of digital collections will be supported by JWHAL for access purposes, only collections that are selected for long-term preservation will become the highest priority for long-term management and preservation.
The Chief Curator or the Director of JWHAL will make the final decision regarding which collections will be preserved within the Digital Archive (following the recommendations of collection owners, archivists [and perhaps subject specialists] who are depositing materials into the archive and who will in turn become some of the archive’s main community of users. **The Digital Preservation Decision Flowchart (Appendix B)** will be used as a guide in this process.

In order to maintain their research value, significant individual collections may be retained in their entirety, even if only a portion of the collection is unique material. This will be done on a case-by-case basis and be decided by the Chief Curator or the Director of JWHAL. If space and funding constraints become too difficult, these will be the first collections to be re-evaluated. This process, if undertaken, will be an open process and will incorporate the Digital Preservation Flowchart as well. It should be noted that JWHAL reserves the right to de-accession collections from long-term preservation on a case-by-case basis, with due observance of institutional and contractual obligations. In cases of de-accession, collections can and should be transferred to another trusted digital repository, if appropriate. De-accession criteria is detailed in the Collections Policy

**Transfer Requirements and Deposit Guidelines**

**Deposit process:** It is our aim to provide public access to as many collections as possible via our Online Catalog\(^3\) because we believe that preservation is of little use without minimum level access. Therefore, when a collection is deposited for long-term preservation, the process will depend on whether or not:

1. The collection will be or has been uploaded to our DAM for public access or
2. It is a private collection that needs to be archived but its content not made available to the public for a specified time period

If the collection IS being uploaded to the Eloquent Archive Catalog

- Accession Package (AP) needs to be created and master files and associated metadata need to be transferred to the Digital Archive Drive file folders on our servers.

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\(^3\) Currently, our online catalog is Eloquent Archives, a web based software solution that handles the storage, management and delivery of digital collections to the Web.
If the collection is NOT being uploaded to our Eloquent Catalog

- Accession Package (AP) needs to be created

**AP Requirements**

- The Accession Package for Digital submissions consists of:
  - Accessions Information sheet
  - Submitted Digital Preservation Decision Flowchart (see Appendix B)
  - Original objects to be digitized or the digital objects to be submitted
  - Associated descriptive (and sometimes technical/preservation) metadata received from collection owners.
  - Signed Gift or Purchase Agreement

All information on the decision flowchart and Accessions form is informative for digital preservation, but the essential information to document the deposit transaction includes:

- Information that identifies the depositor and a description of the deposit
- Exact listing of the files received (original file name and checksum are good identifiers)
- Date of the deposit
- Signed Gift or Purchase Agreement

The AP includes additional metadata, files, or replacement files that were requested or received from the depositor to complete the deposit, when applicable. Persistent identifiers for the submission and the files should be assigned upon arrival or as soon after as possible.

As the scope of digital content received by the Library expands (e.g., websites, audio and video files), the level and nature of the metadata for new digital content will adjust accordingly.

**Deposit agreement requirements and responsibilities**

The Chief Curator and the Director of JWHAL can de-accession objects from the Digital Archive as part of a responsible collection management decision, but the Archive will not be a temporary storage solution for digital objects. Temporary storage can be dealt with on a more cost-effective, less management intensive basis by other solutions.

**Access and Use Policies**

What are the access and use policies for the materials and objects held in the Digital Archive?
JWHAL employs Eloquent Archives software. This system is a web based Catalog searchable through any browser on any internet capable device. The software holds EAD and DACS standard arrangement and descriptions of all archival collections and accepts digital records from individual images to complete record groups and entire books. The digital material is linked to the overall collection and will be stored on a separate drive identified as the Digital Archive Drive. The Eloquent catalog is held off premises and therefore not subject to the intermittent accidental shutdowns of a small archive network. The Eloquent system is backed up in separate locations and the ISM network system is backed up daily on a cloud system. When financially feasible we will secure the ability to independently back up our database on a regular basis.

Public access will be via Eloquent. Thought there will be a reciprocal link between the web Catalog and the ISM website, the JWHAL catalog will have its own catalog face that will come up via browser searches. The Catalog is key word searchable and responsive to keyword searches on any standard browser. Eloquent allows most objects within the Digital Archive to be seen by the public, but it does not constitute the archive itself. Collections that are not included in the Eloquent Online catalog will be accessible via special request with due recognition of the Government Records Access Management Act (GRAMA) and the Freedom of Information Act (FOIA).

The Eloquent Archives system is a web based system and does manage descriptive metadata. Collections that have copyright and donor restrictions will be entered into the Eloquent Online Catalog but flagged so that the files are not available to the general public without prior consent by the collection owner. This function will be controlled by the Director of JWHAL.

**DIGITAL PRESERVATION STRATEGIES**

The digital preservation strategies employed by JWHAL can be divided between program and collection level.

**Program-level**

- Monitor collections to track changes in their service requirements.
- Monitor available technologies for possible upgrades.
- Assess risks for loss of content posed by technology variables such as commonly used proprietary file formats and software applications.
Collection-level

- Every two years, the JWHAL staff will evaluate the digital content materials to determine what type and degree of format conversion or other preservation actions should be applied.

- Metadata attachment. The JWHAL staff will determine the appropriate metadata needed for each object type and how it is associated with relevant objects.

- Periodic update meetings with the Eloquent Datacenter Staff will take place.

**Technological Infrastructure**

**Digital Archive Operations**

Ingest file formats

Pre-ingest files need to be in one of the acceptable formats outlined in Appendix C. Reformatting will be accomplished by the JWHAL staff once the collection has been legally transferred to the JWHAL Archive. The Chief Curator and/or the Director of the JWHAL will assess the condition of the collection upon receipt and determine digitization priority. This determination will be according to the standards outlined in the accessions process and will be on a case-by-case basis.

Security

The current security of materials within the Digital Archive is assured through the Eloquent Archive system. Details are available at: [https://www.eloquent-systems.com/cloud/security/](https://www.eloquent-systems.com/cloud/security/) Security for the Digital Archive will be via the ISM network system set up.

Emergency Planning

The Digital Archive’s current emergency plan is detailed in Appendix E.

**Platform Requirements and Procedures**

Platform requirements and procedures most likely will change as improved technology becomes available. These changes will be made by the in-house technical staff at ISM and the staff at Eloquent Systems.
SECTION C
IMPLEMENTING THE POLICY

We have begun entering existing digitized material into the Eloquent system and are in the process of setting up and migrating material into our in-house Digital Archive. The process began January 2016. To date, the Eloquent system is not open on line, but should be open by Oct. 1, 2016.

Our short-term plan for implementing our Digital Preservation Policy includes both ongoing, yearly actions as well as a multi-year strategy towards the implementation of a viable digital preservation program.

Ongoing actions occurring every two years

- Conduct format migration appraisal and migrate to new formats as needed. This will be accomplished in-house, until an improved viable, affordable digital preservation solution is available.
- Continue to provide skilled staff and research, with links to a wider network of distributed development activity, researchers, and services for digital preservation.
- Add to our set of central services, standards, and tools for a greater range of distributed digital preservation services.

2016

- Plan for and gain approval for financial considerations related to sustaining a viable digital preservation program.
- Draft and vet the Technological phase of our Digital Preservation Policy.
- Draft and vet the Financial phase of our Digital Preservation Plan.

2017

- Implement the technological and financial phase of our Digital Preservation Plan via a viable digital preservation solution. This could extend beyond 2017.
Publicizing and Promulgating the Policy and Plan

The first steps in publicizing the organizational policy will be to:

- Create and maintain a page on ISM website with links to all related policies, forms and appendixes.
- Engage in public relations activities surrounding the Eloquent Online Catalog website to highlight and disseminate our policy and future plans.
- Engage in training/education activities surrounding policy and plan implementation.
- Compile the experience of research undertaken to draft the policy for potential conference presentation and/or written articles on the subject.
APPENDIX A: Definitions and Further Resources

**Digital Archive**: A digital archive and library which is intended to be maintained for a long time, i.e. periods longer than individual human lives and certainly longer than individual technological epochs. Digital archives are distinct from digital libraries in the sense that digital libraries are repositories that collect and provide access to digital information, but may or may not provide for the long-term storage and access of that information. Source: [http://info.wgbh.org/upf/glossary.html](http://info.wgbh.org/upf/glossary.html)

**Digital Preservation**:
**Short Definition**: Digital preservation combines policies, strategies and actions that ensure access to digital content over time.

**Medium Definition**: Digital preservation combines policies, strategies and actions to ensure access to reformatted and born digital content regardless of the challenges of media failure and technological change. The goal of digital preservation is the accurate rendering of authenticated content over time.

**Long Definition**: Digital preservation combines policies, strategies and actions to ensure the accurate rendering of authenticated content over time, regardless of the challenges of media failure and technological change. Digital preservation applies to both born digital and reformatted content. Digital preservation policies document an organization’s commitment to preserve digital content for future use; specify file formats to be preserved and the level of preservation to be provided; and ensure compliance with standards and best practices for responsible stewardship of digital information. Digital preservation strategies and actions address **content creation, integrity** and **maintenance**.

**Content creation** includes: clear and complete technical specifications, production of reliable master files, sufficient descriptive, administrative and structural metadata to ensure future access, and detailed quality control of processes.

**Content integrity** includes: documentation of all policies, strategies and procedures, use of persistent identifiers, recorded provenance and change history for all objects, verification mechanisms, attention to security requirements, and routine audits.

**Content maintenance** includes: a robust computing and networking infrastructure, storage and synchronization of files at multiple sites, continuous monitoring and management of files, programs for refreshing, migration and emulation, creation and testing of disaster prevention and recovery plans, and periodic review and updating of policies and procedures. Source: American Library Association (ALA)
Migration: Migration focuses on the digital object itself and is the act of transferring or rewriting data from an out of date medium to a current medium and is considered one of the only viable approaches to long-term preservation of digital objects. Source: [http://en.wikipedia.org/wiki/Data_migration](http://en.wikipedia.org/wiki/Data_migration)

Preservation Metadata: Preservation metadata stores technical details on the format, structure and use of the digital content, the history of all actions performed on the resource including changes and decisions, the authenticity information such as technical features or custody history, and the responsibilities and rights information applicable to preservation actions. It often includes the following information:

- **Provenance:** Who has had custody/ownership of the digital object?
- **Authenticity:** Is the digital object what it purports to be?
- **Preservation activity:** What has been done to preserve the digital object?
- **Technical environment:** What is needed to render and use the digital object?
- **Rights management:** What intellectual property rights must be observed?

APPENDIX B:
Digital Preservation Flow Chart

Is this a unique collection of "enduring value" that was not commercially mass produced?

- Yes
  - Do you have permission from the copyright holder (if necessary) to archive this digital collection?
    - No
      - Check Do not archive content
    - Yes
      - Are any objects in this collection available in another Trusted Digital Repository?
        - Yes
          - Which Repository? _____________________
            - If collection is in another Trusted Digital Repository, check Do not archive content.
          - No
            - Check Full Preservation
        - No
          - Check Full Preservation

Is this collection available in a Trusted Print Repository or is there a hard copy available that will be kept long-term?

- Yes
  - Is the hard copy deteriorating or in poor condition or on a near-obsolete format or media?
    - Yes
      - Check Full Preservation
    - No
      - Check Bit-Level Preservation
- No
  - Would it be possible to recreate the digital collection from the hard copy?
    - Yes
      - Check Bit-Level Preservation
    - No
      - Check Do not archive content

___ Do not archive content
___ Full Preservation

Source for Chart: U Michigan Digital Archives
APPENDIX C:

Supported Formats Table

This table summarizes the formats that JWHAL is considering to provide digital preservation for. The 1st column refers to the type of resource. The 2nd column refers to the physical version of the resource to be digitized and archived. The 3rd column specifies which digital formats we will accept from collection owners in the case that the object is already digitized. The 4th column specifies which formats we will store the digital object in, with our preferred format in bold. The final column lists some resources for transferring your digital object into a format we support. This table was adapted from a Table designed by the staff at the J. Willard Marriott Library Digital Archive and is subject to change at any time.

<table>
<thead>
<tr>
<th>TYPE</th>
<th>SUPPORTED PHYSICAL VERSION</th>
<th>SUPPORTED DIGITAL FORMAT</th>
<th>DIGITAL ARCHIVE STORAGE FORMAT</th>
<th>FILE CONVERSION RESOURCES</th>
</tr>
</thead>
</table>
| Text   | Book, Loose leaf sheet, Manuscript, Map | - JPEG2000  
- PDF  
- PDF/A-1 (ISO 19005-1)  
- TIFF (minimum 8 bit grayscale, 24 bit color, 3000 to 5000 pixels across the long dimension) | - PDF/A-1 ISO 19005-1  
- JPEG2000 (lossless)  
- TIFF (uncompressed) | Multi PDF Converter  
XNConvert  
http://www.adobe.com/products/acrobatpro/ |
| Image  | Photograph print, Photograph negative (sheet film, 35mm) | - JPEG2000 (lossless)  
- TIFF (uncompressed) | - JPEG 2000 (lossless)  
- TIFF (uncompressed) | Multi PDF Converter  
XNConvert |
| Audio  | Audio cassette, Reel-to-Reel audio tape, Phonograph record (33, 45, 78 rpm) | - AIFF (PCM)  
- FLAC  
- WAV (PCM) | - AIFF (PCM)  
- FLAC  
- WAV (PCM) | Multi PDF Converter  
XNConvert |
| Moving Image | VHS videotape, Mini DV videotape, 16mm film | - AVI (uncompressed, motion JPEG) | - Motion JPEG 2000 (ISO/IEC 15444-4) | - QuickTime Movie (uncompressed, motion JPEG) | Multi PDF Converter XNConvert |
| Web | N/A | - PDF/A-1, ISO19005-1 | - XML (includes XSD/ XSL/XHTML, etc.; with included or accessible schema and coding explicitly specified) | - PDF/A-1, ISO19005-1 | Multi PDF Converter XNConvert |

**APPENDIX D: De-Accession Criteria**

To be considered for de-accessioning, an object must meet the guidelines of the JWHAL Collections Policy and the de-accession decision must be authorized by the Chief Curator, Director of JWHAL, and the Collections Committee.

- **Relevance:** inclusion of the object in the collections does not support the JWHAL’s mission or fit within its collecting goals.

- **Care of the Object:** JWHAL is no longer able to provide proper care for special preservation requirements associated with the object.

- **Duplication:** the object is an exact duplicate or unnecessarily duplicates the subject matter or relevance of another object within JWHAL.

No action pertaining to the de-accessioning or disposition of an object will be undertaken that would impair the integrity and good standing of the J. Welles Henderson Archives & Library within the community at large or within the Archival and Library profession.
APPENDIX E:
Current Security, Emergency Planning, Platform Requirements and Procedures:

Security
- Security of files currently is by daily back up to the ISM cloud storage system. The Eloquent System also backs up the material at their location.
- JWHAL also works in conjunction with the Villanova Digital Library and OPenn digital library on larger digitization projects. All large, digitized collections will be housed in their catalog and “dark archive” until such time as larger secure storage becomes feasible for JWHAL.

Emergency planning
In any incident requiring data restoration from the backup (such as catastrophic destruction of the data center), data will be restored as of the time the last back up (e.g., within 24 hours of the incident.)

Other incidents, which do not damage the on-site backup tapes, will be restored to the prior day.

Monitoring collections:
All digital files will be placed on a maintenance schedule. If the archival material from which the digital collection is produced is a JWHAL collection, the digital maintenance schedule will co-inside with the Records Maintenance Schedule.

Platform Requirements and Procedures
For archival Eloquent collections
- The JWHAL currently uses Eloquent Systems Archive. The Catalog is housed and run off premises and thus does not impact the ISM network.
- This process most likely will change as improved technology becomes available. These changes can be made by the JWHAL staff and but must maintain the current level of service to the patron
APPENDIX G:
References

The following organizations and resources informed the development of this policy:

British Library Digital Preservation Strategy

Center for Research Libraries: Digital Archives
http://www.crl.edu/archiving-preservation/digital.archives

ERPA Digital Preservation Policy Tool
http://www.erpanet.org/guidance/docs/ERPANETPolicyTool.pdf

Harvard University: Library Preservation
http://preserve.harvard.edu/guidelines/imagedig.html

Inter-University Consortium for Political and Social Research
http://www.icpsr.umich.edu/icpsrweb/ICPSR/

ICPSR Workshop Action Plan #1
https://www.library.utah.edu/personal/u0079759/Shared%20Documents/Forms/AllItems.aspx

ICPSR Digital Preservation Policy Sample Framework

ICPSR Deep Blue Preservation pages
http://deepblue.lib.umich.edu/about/deepbluepreservation.jsp

Massachusetts Institute of Technology Museum De-accession Criteria

North Carolina Digital Preservation Policy Framework

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

Trusted Digital Repositories: Attributes and Responsibilities