



*Alliance Digital Repository*

*Policies*

*Version 1.0*

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### **Overview**

The Alliance Digital Repository's Policies (ADR Policies) documents the Colorado Alliance of Research Libraries' approach to the governance, administration, functionality, and support of its consortial digital repository service, known as the Alliance Digital Repository (ADR). ADR Policies, in conjunction with the supporting document - ADR Guidelines, Glossary, and Supporting Documentation (ADR GGSD) - provides the underlying methodology behind the construction a long-term viable digital asset access and preservation program among Alliance members, affiliates, and interested parties.

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

- Trusted Digital Repositories: Attributes and Responsibilities and its accompanying Audit resources (TRAC)  
[\[http://www.rlg.org/legacy/longterm/repositories.pdf\]](http://www.rlg.org/legacy/longterm/repositories.pdf)
- Open Archival Information System reference Model (OAIS)  
[\[http://public.ccsds.org/publications/archive/650x0b1.pdf\]](http://public.ccsds.org/publications/archive/650x0b1.pdf)
- Digital Library Federations / Aquifer Levels of Adoption for Shareable MODS  
[\[http://wiki.dlib.indiana.edu/confluence/pages/viewpage.action?pageId=28331\]](http://wiki.dlib.indiana.edu/confluence/pages/viewpage.action?pageId=28331)

ADR Policies also draws on existing standards and best practices regarding digital repository development and digital collection stewardship, including Collaborative Digitization Program (CDP) guides and best practices, as well as local policies and practices related to the stewardship of digital assets at Alliance member institutions. For a list of model and reference repository policy documents, please refer to the ADR GGSD.

The ADR Policies document was last modified on September 17, 2007.

### **Background**

Beginning in November 2006, the Alliance Digital Repository has been engaged in development activities at the Colorado Alliance of Research Libraries (the Alliance) as part of a new service offering to its members. By providing an open source-based, preservation-oriented digital repository able to support multiple interfaces and functions (i.e. open access digital collections, institutional repository services, dark archives, etc) the Alliance is meeting a portfolio of needs identified by Alliance libraries and institutions

### **Alliance Digital Repository**

The mission of the Alliance Digital Repository (ADR) is to provide services for the preservation of and access to digital assets inherent to the research, information, and education missions of the Alliance member institutions.

The purposes of the ADR are to:

- Provide access to digital content by students, faculty, staff, patrons, researchers, and customers of Alliance institutions, as well as to the world
- Host hardware and software infrastructure that supports digital repository services and functionalities for Alliance institutions and affiliated partners
- Store digital assets created and collected by Alliance libraries, universities, and communities

The vision of the ADR 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 - when possible - open access to digital assets of enduring value, as determined by the Alliance institutions.

Examples of possible ADR applications include:

- A university's institutional repository of actively created or contributed, openly available scholarly work, including but not limited to pre-prints, post-prints, ETDs, raw datasets, publications, and instructional tools.
- A library's special collections, archival materials, and other unique materials in digital form, with interactive discovery and review tools along with methods for viewers to obtain versions for personal and commercial use.
- An institution's secure, managed repository of records and documents, including publications, policies, operational documents (minutes, contracts, employment records, etc.)

### **Colorado Alliance of Research Libraries**

The Colorado Alliance of Research Libraries, (the Alliance), is a consortium of nine institutions representing eleven major libraries located in Colorado and Wyoming. Founded in 1974 to consider ways of sharing resources, the consortium continues working toward that objective. The driving force is cooperation, the sharing of purchasing power, material and ideas.

The Alliance seeks to obtain, operate and if necessary, develop the best products and services for its members at the best terms, conditions and prices. Over the years, to meet specific unmet needs, the Alliance has developed a variety of products such as the CARL system, Uncover, Prospector and Goldrush. These products have proven of value to Alliance members and non-members alike.

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## ***Organizational Policies***

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### **Governance and Administration Policy**

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The ADR is governed by the following groups of member library and institution representatives:

- ***Alliance Board of Directors***
  - Responsible for overall ADR policy and initial funding
- ***Alliance Member Council***
  - Responsible for operational policies, continuation funding, coordinating representation, and ensuring status as an ADR Member in Good Standing
- ***ADR Executive Committee***
  - Comprised of representatives from participating institutions with significant technical and content/metadata/digital repository functionality knowledge
  - Provides leadership and direction in a timely fashion for ADR's functional activities
  - Develops ADR project specifications
  - Defines phases of development and milestones based on Implementation Team priorities and availability of tools/programming support in those areas.
- ***ADR Implementation Team***
  - Includes representation from all members, affiliates, and non-Alliance members, at the discretion of the ADR Director, Alliance Executive Director, and Associate Director.
  - Representatives are responsible for disseminating ADR information to local communities, colleagues, and supervisors
  - Responsible for articulating institutional needs
  - Develops organizational infrastructure
  - Representatives serve as liaison between Alliance Staff, Implementation Team, institutional and local communities.
- ***ADR Working Groups***
  - Existing working groups include: ETDs, Policies, Metadata
  - Future working groups can be convened as needs arise as determined by the ADR Implementation Team
- The Colorado Alliance of Research Libraries, the Alliance Board of Directors, Member Council, Member Institutions, Alliance Staff, and Library

Representatives are held harmless against any claims of copyright infringement as well as service or content misuse.

## **Participation Policy**

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### **Membership, Participation, and Fees**

#### ***Alliance Members***

- All Alliance member libraries and institutions are included in the membership of the ADR.
- Operational fees for normal ADR services are included in the annual Alliance member assessment
- Additional fees or charges to members for non-normal activities may be negotiated and charged at the discretion of the Alliance Executive Director and the Board of Directors
- Alliance member institutions have the right to send voting representation to the ADR Implementation Team.

#### ***ADR Affiliates***

During the initial development phase, ending June 2008 (FY 2008), the Alliance allows for the inclusion of non-Alliance ADR Affiliates in development activities, at the discretion of the ADR Director, Alliance Executive and Associate Directors.

Non-member ADR affiliates impacting the development phase and storage infrastructure may be assessed a participation fee prior to the end of FY2008 at the discretion of the ADR Director, Alliance Executive Director and Alliance Associate Director, and with the approval of the Alliance Member Council.

ADR affiliates have the right to send non-voting representation to the ADR Implementation Team and participate in working groups.

#### ***Non-Alliance Members***

Beginning in July 2008 (FY 2009) non-Alliance institutions and ADR Affiliates may negotiate membership solely within the ADR or as part of a package of Alliance services at the discretion of the ADR Director, Alliance Executive Director and Associate Director.

Non-Alliance ADR fees will be determined at the time of ADR membership based on the operational impact of membership on the ADR, non-member usage and anticipated usage, and the discretion of the Alliance Executive Director and the Board of Trustees, and with the approval of the Alliance Member Council.

Non-Alliance ADR institutions have the right to send an attendee the ADR Implementation Team and participate in working groups to address development topics and to garner support of identified needs and priorities via Implementation Team voting members or Alliance staff.

### **ADR Member and Affiliate Relations**

- Alliance staff will act as advocates of ADR affiliates and non-member institutions in ADR matters at Member Council and with the Alliance Board of Directors.
- An existing ADR affiliate or non-Alliance member will transition to a full member of the ADR if and when they become an Alliance member library or institution.
- Each member library and institution, ADR affiliate, and non-Alliance institution is identified as an ADR institutional community.

### **ADR Member in Good Standing**

- Any Alliance member, ADR affiliate or non-member who is current in their ADR assessment, has completed an annual MOU, and is active in the administration of the ADR is an ADR Member in Good Standing.
- ADR Members in Good Standing are encouraged to aggregate and disseminate their relevant ADR documentation within the ADR consortial community, preferably via the ADR or other Alliance content access points.

### **Memorandum of Understanding**

Beginning in July 2008 (FY2009), Alliance member institutions will complete a Memorandum of Understanding (MOU) with the Alliance outlining the roles, responsibilities, and rights of the member institution and the Alliance regarding the ADR service and members' stored digital assets.

## **Community Organization and Structure Policy**

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The ADR is administered centrally by the Colorado Alliance of Research Libraries staff and is organized around three levels of communities: consortial community, institutional communities, and local communities.

- **Consortial community**
  - The consortial community is focused on defining and developing the ADR services and functionality
  - Responsible, at a high level, for the administration of the ADR
  - The ADR consortial community consists of Alliance staff, Alliance members, ADR affiliates, and non-Alliance members.

- Administrators at this level include Alliance staff, Implementation Team and Executive Committee members, working groups.
  - The consortial community maintains a relationship with Member Council and the Board of Directors, as well as will institutional communities.
- **Institutional community**
    - The institutional community is the central management point within the local library system or campus(es)
    - Institutional communities are administered by an institutional administrator or administrative group
    - Institutional communities and administrator(s) are responsible for institutional activities outlined in an annual memorandum of understanding (MOU), which may include establishing and enforcing local policies, providing training and support, collaborating with ADR staff on the creation of workflows and templates, and the set-up of local communities, as well as other activities related to the administration and operation of the ADR at the institutional level.
    - Institutional communities maintain a relationship with the ADR consortial community and their local communities, which they authorize, create, and support in a manner understood at and by each institution. Institutional communities are subject to the consortial policies which govern the ADR
  - **Local community**
    - Local communities are identified as departments, programs, faculty members from academic institutions, as well as other organizations and individuals
    - The consortial community encourages the designation of one or more local community administrator(s) to facilitate its interactions with the institutional community
    - Local communities maintain relationships with their respective institutional communities and are subject to the institutional and consortial policies that govern the ADR

## **Community Termination Policy**

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- If an Alliance member, ADR affiliate, or non-Alliance member ceases to participate in the ADR as an institutional community, the Alliance and said member will determine at that time the distribution, if any, of digital assets deposited in the ADR.
- Any content removed from the repository as part of a community termination will follow the ADR Content Removal Policies, as appropriate.

- Institutional communities will develop a plan for the preservation or distribution of local communities' deposited digital assets if a local community ceases activity. This plan will be mutually agreed upon and documented by the institutional and local communities.

### **Grant Support Policy**

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

### **Policies and Guidelines Policy**

The ADR Policies document will be revisited for revisions, edits, and additions annually during the June meeting of the ADR Implementation Team. If the policies need to be reworked prior to the annual review, the ADR staff can propose edits and augmentations at any Implementation Team meeting where two-thirds of the Alliance members are present.

Final approval of ADR Policies and Guidelines rests with the Alliance Board of Directors following review by Member Council.

Access to ADR Policies and guidelines including revisions will be made available via the ADR Colorado Alliance of Research Libraries' community

The contents of the GGSD may be edited and/or augmented at any time at the discretion of the ADR Director, Alliance Executive Director, Alliance Associate Director; with the approval of the ADR Implementation Team representatives.

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## ***Content and Metadata Policies***

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### **Content Deposit and Usage Policy (General)**

- The Alliance and its members encourage the deposit of digital materials within the ADR to be openly available to the public whenever possible.
- The ADR supports all forms of digital content deposit, including dark archival content, dim archival content, light archival content, institutional repository content, and open access repository content, as well as other digital content identified by member libraries, institutions and the Alliance.
- The Alliance encourages member libraries and institutions to use the ADR in a multitude of ways and as a foundation for numerous services, including institutional repositories, digital libraries, light and dark archives/digital asset storage, electronic press services, etc.

### **Content File Format Deposit and Support Policy**

#### **Content File Format Deposit**

- The ADR supports the deposit and delivery of all viable bit streams
- The ADR supports the deposit and delivery of proprietary file formats
- The ADR will not prohibit any file format from being deposited within the ADR, as long as it is not a hostile file or format

#### **Content File Format Support**

- The ADR will develop and support viewers, players, and other disseminators for specific file formats, as identified by the ADR Implementation Team and Alliance staff
- The ADR will identify viable file formats for migration and will complete migration activities under the direction and guidance of the ADR Implementation Team, as determined is necessary.
- The ADR 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 ADR supports the ability to make persistent reference to materials deposited. Materials in all of their varying levels form an important part of the scholarly dialogue and record. An ADR 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 ADR: a PID (Permanent Identifier) and a Handle.

- Both PIDs and Handles are assigned at the point of deposit (a.k.a. ingest)

- A PID is formatted as: coalition:x [where x is the next sequential number available in the ADR. Example: coalition:121
- A Handle is formatted as: [http://hdl.handle.net/10176/\[PID\]](http://hdl.handle.net/10176/[PID]). Example: <http://hdl.handle.net/10176/121>

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 ADR 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 ADR.

## **Content Storage Procurement and Allocation Policy**

### **Initial storage procurement and allocation**

- During the initial development phase of the ADR, ending June 2008, ADR central storage will be available to all Alliance members on a first-come, first-serve basis.
- Request for additional Alliance funding for Alliance-wide storage procurement can be made to the Board of Directors by the Member Council at the recommendation of the Implementation Team with the discretion of the ADR Director, Alliance Executive Director, and Associate Director.

### **Ongoing storage procurement and allocation policy**

- The Alliance will continue to grow the storage array in keeping with the demands of the ADR. Projected growth activities will be documented annual in the “Storage Growth and Allotment Plan” included as part of the PGSD.
- An Annual Base Storage allocation will be provided to all ADR Members in Good Standing
- An Annual Reserve of disk space will be maintained and distributed to cover minor overages of Annual Base Storage Allotments at the discretion of the ADR Director.
- All grants proposal created and submitted for funding to internal or external agencies and programs by Alliance members involving the ADR will include, either in requested funds or as in-kind cash support, realistic storage amounts for any and all digital content intended to be deposited within the ADR as part of the grant activities.
  - Any Alliance members or ADR Affiliate members will work with the ADR Director to determine realistic storage needs and costs related to all grant activities.

- Members may opt to use some or all of their Annual Base Storage Allocation, as well as request access to the Annual Reserve storage from the Implementation team to meet all or part of their grant activity needs.
- Members requiring additional storage significantly beyond their Annual Base Storage Allocation will purchase additional dedicated storage from the Alliance at the rate and increments defined in corresponding year's Storage Growth and Allotment Plan
- Request for additional Alliance funding for additional Alliance-wide storage procurement in any given year can be made to the Board of Directors by the Member Council at the recommendation of the Implementation Team with the discretion of the ADR Director, Alliance Executive Director, and Associate Director.

## **Content Removal Policies**

### **Deletion Policy**

Publicly available and controlled access items will be deleted from the repository if there is a legal requirement to do so, or if it is deemed by the member institutions and/or the Alliance to be in its best interests.

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.

Items that have not completed the ingest/submission/deposit process and have not been made publicly available or permanently part of the repository may be deleted as part of the ingest/submission/deposit workflow by the content creator and/or contributor without notification to the institutional community/collection administrator and/or the Alliance

### **Withdrawal Policy**

In normal circumstances, the ADR will retain, make publicly available, or provide controlled access to all items that have undergone the submission process and been accepted into the ADR.

It is foreseen that there may be times when it is necessary to remove items entirely from the repository (see Deletion Policy). It is also understood that under some circumstances items will be withdrawn from view, but to avoid loss of the historical record, all such transactions will be traced in the form of a note in remaining metadata record.

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

- o "removed from view at request of the creator/contributor"
- o "removed from view at [community's] discretion"
- o "removed from view at [institution's] discretion"
- o "removed from view at Alliance's discretion"

- o "removed from view by legal order"

Since any ADR item that has existed at some time may have been cited, we will supply a "tombstone" when the item is requested, which will include the original metadata (for verification) plus one of the above withdrawal statements. Any links to the object within the repository will be removed.

Although items may be withdrawn from the ADR for any of the reasons set out above, a request for withdrawal may be refused by the community or institution, the final decision on withdrawals rests solely with the institution, except where there are legal ramifications for the Alliance.

## **Metadata Policy**

The ADR looks to the ADR Metadata Working group, with membership open to all Members in Good Standing, as the primary guides for the development of viable and responsible ADR metadata practices.

- The ADR will use MODS as a normalizing metadata schema
- All objects in the ADR will have, either included or created at the point of ingest, a MODS metadata data stream
- Following the recommendation of the ADR Metadata Working group, the ADR will require all object creators and/or contributors to furnish elements equivalent to the DLF's Shareable Metadata Guidelines MODS Levels of Adoption [<http://wiki.dlib.indiana.edu/confluence/pages/viewpage.action?pageId=28331>].
  - o Level 1 is suitable for "Dark Archives" deposits only
  - o Level 2 or greater should be used for all deposits intended to be viewable by any non-administrative audience, including Dim Archives, Light Archives, and Institutional Repository Submissions.
- If a local community cannot support a minimum of Level 1 MODS metadata or equivalent elements in interchangeable metadata schemas, they will be required to notify their institutional community, which in turn will report the non-conformance to the ADR to be logged for preservation and recovery purposes

The ADR staff will support the creation, inclusion and mapping of other standards-based schemas (MARC, VRA, DC, etc.) as need is determined by members and Alliance staff.

## **Metadata and Content Exposure Policy**

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

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## ***Access, Rights, and Usage Policies***

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### **Authentication Support Policy**

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

### **Copyright Infringement Policy**

Member libraries and individual repository contributors are responsible for adhering to the copyright policies of their parent institution, which includes adherence to United States federal copyright law. In general, good faith is assumed on the part of repository contributors and the ADR will work with member libraries on broad copyright and intellectual property issues. It is the responsibility of each participating library or organization 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 ADR will:

- Make it clear that submissions to ADR should comply with policies on copyright and applicable copyright laws
- Include in the documentation for ADR policies on copyright and acceptable use.
- Require submitters to the repository to warrant that their submissions do not infringe copyright. (This is part of the submission process.)

Local institutions participating in the ADR 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, with sufficient information to be substantially in compliance with the Digital Millennium Copyright Act (DMCA)

[<http://www.copyright.gov/legislation/dmca.pdf>] notification requirements, each participating institution will:

- Forward such correspondence to: the library or institutional DMCA copyright agent, 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.

Upon the request of the local library or institution's copyright agent, the ADR participating library 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.
- At local discretion an organization may choose to publicize the correspondence alleging infringement.
- Ensure that the authors and unit administrators are notified of their counter-notification rights under the DMCA.
- Restore access to the full text if such counter-notification is given.

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

- Report the discovery, and the reason for our 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 library or ADR should not presume that authors have not obtained special permission to use copyrighted material in their submissions. Nor should it be presumed that academic research publication violates anti-circumvention provisions of the DMCA.

In any of the events described above, the library or ADR will retain correspondence related to the alleged or apparent infringements.

## **Privacy & Security Policy**

The Alliance Digital Repository (ADR) is committed to protecting the privacy of the users of our electronic resources. While the ADR Website 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 visiting the site.

ADR's commitment to user privacy extends to our agreements with participating organizations. **If a user links from the ADR 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 ADR 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:

- the Internet domain and IP address from which the Library's website was accessed,
- the type of browser and operating system used to access the Library's site,
- date and time the Library's site was accessed,
- pages visited, and
- the address of the last site visited before linking to the Library's 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 ADR with personal information by submitting a digital object or by filling out a form and submitting it through the site, the ADR 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 ADR does not create individual profiles with the information provided to give to any private organizations. The ADR 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 ADR employs software programs to monitor network traffic to identify unauthorized attempts to upload or change information, or otherwise cause damage.

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

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

## **Links to Other Sites**

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

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## ***Preservation and Infrastructure Policies***

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### **Preservable Formats Policy**

The Alliance ADR will work within evolving “best practices” to be responsible stewards and will work to preserve the metadata and supported digital and media objects. The Alliance ADR Implementation Team members will research the “state of the art” preservation practices and offer preservation ideas and recommendations. Choices regarding preservation will be based on the ADR’s community demand. Assessments will be continuously undertaken regarding ongoing technical feasibilities and digital repository “best practices.”

These preservation choices will then be collected into broader community consensus within the higher education and research community as a form of bottom-up standards development that benefits from active work in curation and ongoing member involvement.

- The ADR commits to preservation of source primary content data streams at the bit stream level
- The ADR commits to preservation of standards-based core metadata in an interoperable format (i.e. MODS expressed in XML) for all objects
- The ADR 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 ADR will develop a file transition and migration plan for file formats identified by the Alliance members with defined levels of service regarding preservation.

### **Repository Termination Policy**

- The Alliance will return to all members all digital content deposited within the ADR following a mutually agreed upon format, method, and timeline.
- The Alliance commits to determining a viable persistence plan for the Handle registry for all objects deposited in the ADR
- The Alliance will furnish sufficient notice (no less than six months) to all members via the Alliance Board of Directors, Member Council, and Implementation Team any and all plans to discontinue ADR services.

### **Technical Infrastructure Policies**

The Alliance centrally manages and maintains the technical infrastructure of the ADR.

#### **Repository Hardware and Storage:**

- The Alliance will grow the RAID storage array incrementally as need is identified following a documented plan reviewed annually.

- The Alliance maintains at least a RAID 6 configuration, and optimally a RAID 10 for storage at all times.
- The Alliance follows vendor-identified end-of-life cycles for hardware when appropriate.
- The Alliance aims to achieve full redundancy for all systems by FY 2012.
- The Alliance 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**

- The Alliance follows the Open Archives Information System (OAIS) for digital asset preservation and repository construction.
- The Alliance conducts internal audits of the ADR, in keeping with measures set forth by the Certification of Trusted Digital Repositories following every ADR release.
- The Alliance maintains nightly incremental and full weekly back-ups to tape of the ADR for one month.
- The Alliance actively monitors the performance of the ADR hardware and responds to infrastructure issues in a timely fashion
- The Alliance maintains a Premis event data stream for all objects deposited in the ADR.
- The Alliance maintains a disaster recovery plan that addresses the needs and necessary responses of the ADR.

### **Connectivity and Communication Mechanisms**

- The Alliance maintains connectivity via the Front Range GigaPop (FRGP), as well as at least one T1 connection for redundancy purposes.
- The Alliance maintains multiple emails for communication with the ADR: adr@coalliance.org; adr-help@coalliance.org
- The Alliance maintains an user-identified issue tracking service for the ADR: <http://adresource.coalliance.org/bugzilla>. ADR staff monitor the bug reporting activities of ADR users on a daily basis Monday through Friday, and confirm any bug submissions within twenty-four hours.
- The Alliance maintains a technical wiki for technical communication about the development of the ADR [URL?]
- ADR Systems Documentation
  - The ADR staff maintains a knowledge base documenting configuration, operations, and maintenance needs of the ADR technical infrastructure.