

DIGITAL PRESERVATION POLICY **AND PLAN**

Approved by: Library Leadership Team, 29th January 2019

Review Date: February 2020 (to be confirmed)

Purpose: To: define the Library's digital preservation policy and future work related to it; provide controls and guidance for staff; communicate the Library's digital preservation activity to the public.

Scope: This policy applies to all employees, contractors, consultants, volunteers and authorised third parties who are involved in working with digital collection and corporate content that the Library preserves, and physical content that will be digitised within 10 years.

This policy must be complied with in conjunction with other relevant policies and applicable legislation which are detailed in the policy in the "Related Documentation" sections.

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1. THE LIBRARY'S ROLE IN PRESERVING ACCESS TO DIGITAL CONTENT

The collections of the National Library of Scotland are exceptionally rich and diverse. As a Library of Legal Deposit, able to claim anything published in the UK and Ireland, it has accrued a vast number of works on all subjects. As an agency responsible for collecting, maintaining and making publicly available information on the history, culture and influence of Scotland, and reflecting the ideas and cultures of the world, the Library is unequalled.

The Library's foundations were the culturally rich gift in 1925 of the majority of the non-legal manuscript and printed collections of the Advocates' Library. An accompanying Act of Parliament gave the Library the legal mandate to collect, care for and provide access to its collections which have grown in size and scope since. Today the National Library of Scotland Act 2012, the Legal Deposit Libraries Act 2003, and the Legal Deposit Libraries (Non-Print Works) Regulations 2013 provide the opportunities and responsibilities to grow and safeguard a national collection that includes an increasing amount of digital content. This brings new challenges in curation, management, preservation and access.

Digital content is acquired through legal or negotiated deposit, purchase and donation. It is created through the Library's corporate activity where business records are managed in accordance with the Public Records (Scotland) Act 2011 to ensure their authenticity, reliability, integrity, and usability. It is also created through the Library's digitisation programme. As well as meeting the Library's strategic objective to have a third of its holdings in digital format by 2025, digitisation of physical collections assists the Library's legal obligation to care for its collections by safeguarding the information held on material at risk, such as old video formats.

It is important to state that the Library does not wish to preserve all of its digital content for the long term. Some is ephemeral and other content can be automatically derived from higher quality copies. Nevertheless the Library actively preserves hundreds of terabytes of digital content made up of tens of millions of files copied and stored in multiple locations. The content stretches back to the 1980s and includes still and moving image, sound, musical notation, digital books, web and personal archives, electronic manuscripts, maps and geographic data, business records, learning resources, metadata, catalogues and databases.

The Library serves a broad community of users from across the world defined by those able to access the online and onsite services and outreach activities provided by the Library. Scottish users form a key audience and services are primarily delivered in English with some support for Gaelic. With improvements in automatic translation technology, world class Scots Gaelic and foreign language collections, and strong visual content, the Library is increasingly relevant to users of other languages. One challenge the Library faces is how to make its preserved digital content, in all its variety, available to a public with equally varied needs.

A second challenge is to identify the long-term resource requirements appropriate to the type and scale of content the Library safeguards and provides to its community of users. The Library is a large national organisation with sizeable capacity and capability. It employs over 300 people and has an annual budget over 23 million pounds, funded mainly by the Scottish Government. Most posts have a strong digital component, more than 10% fall within the Digital department and around 4% contribute directly to digital preservation. Dedicated roles exist to cover storage,

networking, IT infrastructure, databases, applications development, rights and information management, data protection, digital access, digital archiving, web archiving, audio visual preservation and digital preservation. The Library works in partnership with others to achieve its preservation goals, both in advocacy, such as through the Digital Preservation Coalition, and also practically. The latter is exemplified through the partnership between the British Library, The National Library of Wales and the National Library of Scotland to manage digital legal deposit through formal agreement and a shared infrastructure.

Preserving access to the digital content that the Library manages, in the way that is required to fulfil its obligations, requires strong organisational commitment to digital preservation. Lost or corrupted digital content impacts the Library's performance and reputation, raises its costs, and for some content can result in the irreplaceable loss of culture. Successful digital preservation maximises the public benefits of the culture the Library holds and requires a continual balance of technology, resources and organisation – key elements addressed by this policy and plan.

For more information about the Library's governance, legislation, legal status and relationship with other organisations please visit <https://www.nls.uk/about-us/freedom-of-information#class1>

2. DIGITAL PRESERVATION PRINCIPLES

The National Library of Scotland's digital preservation policy and activity is guided by the following 7 principles:

1. **Effective Governance:** We use a defined system of governance to ensure our digital preservation activities align with the Library's mission and are appropriate and effective.
2. **Sustainability:** We operate sustainably, balancing our resources with the digital content we collect, create, preserve and make available, and ensure that we do not compromise the safety of existing content to benefit new content.
3. **Transparency:** We are clear and open about our digital preservation responsibilities and activities, and document the work and plans that ensure the long term preservation of our digital content.
4. **Knowledge Transfer:** We are an active member of the digital preservation community, engaging with others to meet shared challenges, and continually improving and developing the expertise and standards we require to preserve access to our content.
5. **Safeguarding Content:** We safeguard our digital content, guarantee its integrity and, where we define it is necessary, demonstrate its authenticity.
6. **Access:** We aim to provide the best possible access to our preserved digital content within legal, ethical, financial and technical constraints.

7. **Third Party Alignment:** We require any third party that manages our digital content to help us to uphold our digital preservation principles, and we will take action to safeguard content if our principles are compromised.

3. DIGITAL PRESERVATION POLICIES AND PLANS

Each of the 7 principles is listed below, accompanied by a description of the policies, related documentation and future plans that respond to them.

3.1.1 PRINCIPLE 1 – EFFECTIVE GOVERNANCE

We use a defined system of governance to ensure our digital preservation activities align with the Library's mission and are appropriate and effective.

3.1.2 Policy

High Level governance

- Library Leadership Team: *National Librarian and Chief Executive (chair), Director of Business Support, all Associate Directors (5), Head of Human Resources*
- Library Leadership Team Steering Group: *Director of Business Support (chair), all Associate Directors (5), Head of Human Resources*

Mid-level governance

- Digital Preservation Steering Group: *Digital Preservation Manager (chair), Associate Director of Collections and Research, Associate Director of Digital, and e.g. Digital Preservation Assistant, Rights and Information Manager, Digital Transition Manager, Web Archivist, Digital Archivist, Head of Acquisitions and Description, Digital Access Manager, IT Infrastructure Manager, Moving Image and Sound Collections Manager/Preservation and Technical Manager*

Co-ordination & advocacy

- Digital Preservation Manager

Practice, expertise & implementation

- Digital Preservation Manager
- Digital collections practitioners
- Corporate records management
- Other digital practitioners: *Digital preservation, internal digitisation, access, development, infrastructure, external peers*

The Library Leadership Team (LLT), with assistance from the Library Leadership Steering Group (LLTSG), provides high level governance of the Library's digital preservation activities as part of its following responsibilities:

- Creating the Library strategy and annual Library plans.
- Regulatory, legal, ethical, technical and financial oversight.

- Monitoring Library and departmental performance.
- Requesting and scrutinising **key** digital preservation policies, business cases and standards.
- Monitoring major risks and risk reduction measures.
- Approving or requesting the creation of working groups related to digital preservation activities.

Policies and plans under the purview of LLT(SG) are not implemented or made public without LLT approval.

The Library Leadership Team and its Steering Group will meet at least twice a month.

Mid-level governance of digital preservation is undertaken by the Digital Preservation Steering Group made up of the Digital Preservation Manager (chair), Associate Director of Digital, Associate Director of Collections and Research and other key stakeholders (see Figure 1). The group is responsible for the following areas of digital preservation activity:

- Reducing the demands on LLT(SG).
- Requesting some and scrutinising **all** policies, potential business cases and digital preservation standards and identifying those that need to be considered by LLT(SG).
- Defining performance indicators that will be used by the group to monitor and manage change and progress in the preservation environment.
- Monitoring risk and opportunity.
- Agreeing work and plans based on the availability of resources within the Digital and Collection & Research departments.
- Proposing the creation of working groups related to digital preservation activities.
- Ensuring the appropriate co-ordination and integration of digital preservation work with other Library activities and governance structures, and vice versa.

The Digital Preservation Steering Group will meet at least once per quarter, and communicate via email and phone as the pace of work dictates.

The Digital Preservation Steering Group and LLT(SG) are collectively referred to as the **Library's digital preservation governors**.

The two Associate Directors are members of LLT(SG) and act as a bridge between high and mid-level governance.

The Digital Preservation Manager is responsible for:

- Co-ordinating digital preservation activity throughout the Library.
- Ensuring that content is managed, preserved and made accessible in accordance with internally agreed standards.
- Developing, monitoring and revising the Digital Preservation Policy and Plan.
- Compiling performance indicators used by the Digital Preservation Steering Group to monitor change and progress.
- Recording, monitoring, reviewing and reducing digital preservation risks.
- Identifying and recommending significant changes to practice.

- Creating and updating policies, business cases and standards related to digital preservation for consideration by the Digital Preservation Steering Group and LLT(SG).
- Promoting digital preservation internally and externally.

The Digital Preservation Manager is managed by the Associate Director of Digital and will report to them at least once a month.

The Digital Preservation Manager and a number of other practitioners will be members of the Digital Preservation Steering Group and act as a bridge between governance and practice.

The decision making process will be recorded through meeting minutes and the creation of papers which will be stored on the Library Intranet.

3.1.3 Future Plans

- Establish the Digital Preservation Steering Group (Q4 2018/19).
- Update Library staff on the new policy and governance structure (Q4 2018/19).
- Publish a version of the Policy and Plan on the Library website (Q4 2018/19).
- Identify which upcoming policies, business cases, standards and risks will be overseen by the Digital Preservation Steering Group and which by LLT(SG) (Q1 2019/20).
- Agree a guiding 3 year digital preservation work plan primarily using resources within the Digital and Collection & Research departments (Q2 2019/20).
- Identify digital preservation performance indicators (Q2 2019/20).

3.1.4 Related Documentation

[Information about the Library's governance, legislation, legal status and relationship with other organisations \[1\]](#)

[The Library's Mission Statement \[2\]](#)

[The Library's Strategy 2015-2020 \[3\]](#)

3.2.1 PRINCIPLE 2 - SUSTAINABILITY

We operate sustainably, balancing our resources with the digital content we collect, create, preserve and make available, and ensure that we do not compromise the safety of existing content to benefit new content.

3.2.2 Policy

The Library identifies the content it wishes to digitally preserve and applies digital preservation standards to it that have been agreed by the Library's digital preservation governors. This is recorded in a Digital Preservation Register, maintained by members of digital preservation staff, and includes information about:

- the type and scope of content, grouped by content with similar characteristics and requirements
- the number, type and location of copies

- access restrictions and permissions
- how or if we make the content viewable in addition to providing a basic download to users
- any additional supporting information and metadata that is required
- retention and review periods
- any need to demonstrate the authenticity of the content

The register is used as the basis to define an envelope of digital preservation resource requirements. In conjunction with this the Library uses and develops effective monitoring and modelling processes to understand the costs, expertise and capacity required to achieve the required standards for long term digital preservation.

The Library resolves any funding and skills gaps for the content that it is committed to preserving, to the standards and within any timeframes it has set.

The Library constantly strives to reduce the costs of managing this content while meeting its digital preservation standards.

The Library ensures existing content meets its digital preservation standards within a timeframe agreed by the Library's digital preservation governors. This includes the need to preserve vulnerable physical content, such as videotape, through digitisation.

The Library undertakes impact assessments prior to agreeing to acquire or create content which has, or may have a digital preservation requirement. If so the Library will only add content to its holdings when it can meet the content's digital preservation standards within a timeframe agreed by the Library's digital preservation governors.

The Library does not acquire or create new content that will reduce digital preservation standards for existing content.

3.2.3 Future Plans

- Improve our monitoring and modelling of digital preservation and access costs and create an improved cost calculator and tracker (2019/20).
- Confirm which groups of content in the Digital Preservation Register can be transferred to the Corporate Archive and review their retention periods (2019/20).
- Agree and record the digital preservation standards for existing content (2019/20).
- Agree a timetable to bring all of our content up to our digital preservation standards, including physical content that can be preserved via digitisation e.g. MIA videotapes (2019/20).
- Undertake a proof of concept to use a compressed video format to reduce per unit storage costs and implement if successful (2019/20).
- Update collections, digitisation, records management and procurement policies to include impact assessments that quantify required digital preservation resources (2019/20).
- Estimate whether we can sustainably preserve access to our existing content for 5 years, 10 years and for the retention periods we have set - typically in perpetuity (2020/21).
- Identify any funding and skills gaps to preserve access to content and identify how they will be addressed (2020/21).

3.2.4 Related Documentation

The Digital Preservation Register [4]

Business Classification Retention Scheme [5]

Deposit Guidance for staff (with advice to undertake an impact assessment) [6]

Donation Guidance for staff (with advice to undertake an impact assessment) [7]

Procurement policy [8]

[The Library's annual report \[9\]](#)

3.3.1 PRINCIPLE 3 - TRANSPARENCY

We are clear and open about our digital preservation responsibilities and activities, and document the work and plans that ensure the long term preservation of our digital content.

3.3.2 Policy

The Library uses the Digital Preservation Register to record groups of digital content it is responsible for preserving, and the content it owns but is the responsibility of 3rd parties to preserve (such as the non-print legal deposit content managed by the British Library).

The Library provides clear guidance to internal and external content providers about how they should supply content and related information to the Library to support the content's digital preservation. For content supplied by 3rd parties the Library also uses agreements that clearly state:

- the roles of the Library and 3rd party while fulfilling the agreement
- how long the Library is responsible for the content's preservation and the standards that will apply
- that the Library has sufficient powers to store (on and offsite as appropriate), copy and transform digital content, and to digitise physical content where access to it is at risk in the future. For content with a limited retention period the Library will require powers to delete and dispose of it.
- who the Library will contact if there is a problem with the content
- the rights and limitations that govern the use of the content

Where the Library possesses content with ambiguous terms that impede the preservation of access the Library takes one or more of the following actions:

- Clarifies or renegotiates the agreement.
- Applies its Orphan Content Policy.
- Undertakes a risk and benefit assessment as agreed by the Library's digital preservation governors and takes any consequent actions.

The Library provides to its staff maintained and centralised listings of all content agreements including procurement and purchase contracts, and donation and deposit agreements. The listings include the Library contact for each agreement to determine who monitors and enforces them.

Content providers are given a receipt by the Library for any digital content that is transferred to the Library's preservation environment. The receipt lists the transferred files, their checksums, Library identifiers and other key shareable information. A fuller receipt that includes preservation file storage locations is kept by the Library.

In the event of any data loss or breach the Library will treat it as a reportable incident in accordance with its Information Security Policy which in turn calls upon the Data Protection Policy if the content contains personal data. The Library will contact 3rd parties whose data is affected if this is defined in any agreement.

Preservation activity is co-ordinated by the Digital Preservation Manager and future work is included in Library, departmental and team plans.

The Library documents processes, procedures, plans, key software and databases used to manage preserved digital content from receipt to delivery. Documentation is kept up to date in accordance with review schedules. It is sufficiently detailed to satisfy internal scrutiny and external assessment schemes while reducing the risks associated with insufficient knowledge of the preservation environment.

The Library publishes full or redacted versions of its digital preservation documentation as limited by the sensitive information contained within.

The Library trains and annually tests members of staff to identify, understand and use the Library's key preservation documents and tools so that the unexpected loss of a member of staff has a minimal impact on the Library's ability to safeguard its digital content.

3.3.3 Future plans

- Bring the information in the Digital Preservation Register up to date and review it annually (2019/20 onwards)
- Identify the gaps in documentation that are to be used internally and/or readied for publication, then fill the gaps as per an agreed schedule. This includes the guidance for internal and external content providers, and how data loss is identified. (2019/20)
- Review and amend all agreement and procurement templates and related procedures to ensure digital preservation needs are incorporated into them (2019/20)
- Review all old agreements to see if there are any that don't support preservation needs (possibly as required)
- Identify one or more members of staff to be responsible for maintaining centralised listings of agreements. Create the listings and identify the Library contact for each agreement. (2019/20)
- Establish a method for creating public receipts (when first required)
- Establish a new training and testing programme for staff using tools and documents to demonstrate digital preservation resiliency (2020/21)

3.3.4 Related Documentation

The Digital Preservation Register [4]

Donation and donor guidance and agreement templates [10]

Deposit and depositor guidance and agreement templates [11]

Conditions of Contract documentation [12]

Disposals Policy and Procedures [13]

Orphan Collections Policy [14]

[Information Security Policy \[15\]](#)

[Data Protection Policy \[16\]](#)

3.4.1 PRINCIPLE 4 – KNOWLEDGE TRANSFER

We are an active member of the digital preservation community, engaging with others to meet shared challenges, and continually improving and developing the expertise and standards we require to preserve access to our content.

3.4.2 Policy

The Library contributes to wider digital preservation efforts where they are relevant and coincident with its own activities. This includes:

- Working closely with the other Legal Deposit Libraries to help preserve access to non-print legal deposit content.
- Being a member of the International Internet Preservation Consortium.
- Being a member of the Edinburgh Preserves group of digital preservation practitioners.
- Being on the Web Archiving and Preservation Task Force.
- Identifying file formats for The National Archives PRONOM database.

The Library will retain its full membership of the Digital Preservation Coalition recognising and supporting its role in tackling shared digital preservation challenges, providing training, expertise, external peer review and a network of contacts for the benefit of the Library.

The Library will increase the number and diversity of people who know about and collaborate with its digital preservation activities, and provide social benefits that arise from having more digital skills and knowledge. It will do this by:

- engaging with universities and the wider public to train and inspire the next generation of digital preservation experts by working with volunteers, placement students and PhD students.
- publishing and presenting news and research related to digital preservation for the benefit of the preservation community, the Library's staff, its board and the public.
- ensuring the training needs of our staff are identified and supported, and seeking to embed digital preservation activities and related training into business as usual workflows.

The Library uses peer review, national and international standards, and certification and accreditation schemes in order to improve the work we do and demonstrate our competence to the public.

3.4.3 Future Plans

- Apply for Archive Service Accreditation (Q4 2018/19).

- Manage PhD in Artificial Intelligence and the assessment of data sensitivity in cultural organisations, in partnership with the University of Glasgow (Q4 2018/19 to Q3 2021/22).
- Minimum of 2 volunteers or placement students to help with digital preservation in 2019/20 (2019/20).
- Apply for Core Trust Seal certification (2020/21).

3.4.4 Related Documentation

Volunteering Policy [17]

[Research Statement \[18\]](#)

[Archive Service Accreditation \[19\]](#)

[Core Trust Seal Certification \[20\]](#)

3.5.1 PRINCIPLE 5 – SAFEGUARDING CONTENT

We safeguard our digital content, guarantee its integrity and, where we define it is necessary, demonstrate its authenticity.

3.5.2 Policy

The Library safeguards the digital content listed in the Digital Preservation Register to the digital preservation standards described therein.

The Library uses a preservation database (currently the Digital Objects Database) to record essential properties of the digital content down to file level including original paths, current paths, persistent identifiers, checksums, rights information and file management and preservation events. The database runs independently of the platform used to store the preserved digital content to allow either to change with minimum impact on the other.

The Library actively identifies risks that affect how it preserves access to its content, and then take steps to reduce them. Wherever possible risk reduction takes place before the Library creates or acquires digital content. Risks related to specific groups of content are recorded in the Digital Preservation Register. All risks are recorded in the Digital Preservation Risk Register alongside preventative and reactive actions that reduce them, a timetable for implementing change, and a tracker for measuring progress. Key risks are copied to the Corporate Risk Register. Risk management is overseen by the Library's digital preservation governors.

The Digital Preservation Data Integrity Policy, Information Security Policy and other documentation describe how the Library ensures the security and integrity of digital content. For instance:

- The Library stores 3 copies of the content to be preserved.
- Each copy of the data is stored in a different geographic location.

- Two copies are held on storage that allows them to be fixity checked at least once per year, at ingest and during file moves. The two copies are used to quickly repair any detected changes to the content.
- The third copy is stored on a different technology to the other two copies, is not part of an annual comprehensive fixity check and is used to repair content as a last resort if the other two copies cannot be used. A single user cannot have solitary access to all copies in a way that allows them to change or delete each copy of the content.
- Versioning is applied to reduce deletion and modification risks.
- Changes or deletions need to be appropriately overseen and authorised by the Library's digital preservation governors then recorded to provide an audit trail.
- Content stored off-site, which may include personal data or require additional security, is encrypted at source before transfer and while stored.

The Library ensures its IT systems, including those that interact with the public, are well supported and audited to protect the Library, its data, products, services and users of those services. The Library undertakes physical and remote penetration tests, virus and malware scanning, keeps software up to date and complies with cyber security requirements.

The Library carefully selects, manages and preserves software, tools, environments, commands, parameters and anything else necessary to manage the content and restore it back to its required state. The Library records all technology stacks used to preserve the content and periodically tests them as per its Digital Preservation Access Testing Policy and Business Continuity Tests to ensure the content remains accessible.

For some digital content it is important to demonstrate its authenticity in addition to guaranteeing its integrity. The Library will record this in the Digital Preservation Register, preserve the original bit-stream of this content, and create a sequence of receipt, ingest and fixity check events. This enables the Library to demonstrate the content remains the same as that received, although it may be impossible to allow the public to view the content as it originally appeared. The Library will create audit trails to explain how any alternative versions were derived from the original.

3.5.3 Future Plans

- Research file format risks for those formats preserved by the Library and identify the resources needed to preserve access to them (2018/19-2020/21).
- Implement new object storage with appropriate security (Q3-Q4 2018/19).
- Identify existing MIA digital content to be actively preserved (Q4 2018/19).
- Store a copy of digital preservation content in the cloud with appropriate security and develop an approach to handling the rights to store more data in the cloud (Q4 2018/19-Q3 2019/20).
- Finish migrating existing preservation data on disk to new object storage (Q1 2019/20).
- Create the Digital Preservation Risk Register (Q1 2019/20).
- Transfer MIA content from passive to active preservation storage (2019/20).
- Create the Digital Preservation Data Integrity Policy or expand the Information Security Policy to cover the same areas (2019/20).
- Update the Information Security Policy to widen its scope to include collection content stored digitally, encryption for stored data, and a reference to the Digital Preservation Data Integrity policy (2019/20).
- Achieve Cyber Essentials Plus (2019/20).

- Create a Digital Preservation Access Testing Policy or incorporate the same tests into Business Continuity Planning (2020/21).

3.5.4 Related Documentation

The Digital Preservation Register [4]

[Information Security Policy \[15\]](#)

Corporate Risk Register [21]

[Cyber Essentials certification \[22\]](#)

IT Business Continuity Planning [23]

3.6.1 PRINCIPLE 6 - ACCESS

We aim to provide the best possible access to our preserved digital content within legal, ethical, financial and technical constraints.

3.6.2 Policy

The Library provides access to its preserved digital content through a variety of browser-based services which can be accessed remotely or by visiting the Library's public buildings. Anyone can use the Library, although Scottish users form a key audience. The Library's services are provided primarily in English with some support for Gaelic as per the Library's Gaelic Language Plan. The Library recognises that improvements in translation technology and the rich variety of its collections mean its services are increasingly accessible to non-English speakers.

The Library designs and maintains services that are safe for its users (see Principle 5: Safeguarding Content) and are underpinned by hardware, software and standards informed by user research, legislation and web accessibility guidelines.

The Library informs its users how digital content can be used, how we collect and use their information, and it will notify them of potentially offensive or legally restricted content.

The Library follows its Take Down Policy when it is informed of content that breaches the Library's legal and ethical commitments.

Subject to the Library's re-use policy, legal, ethical, financial and technical constraints the Library will manage access to its preserved digital content in the following ways:

- The Library records how it provides access to its digital content in the Digital Preservation Register.
- Information is stored to allow the Library to control access to content in accordance with its constraints.
- The Library makes its content discoverable and referenceable in a persistent way in accordance with its Persistent Identifier Policy, including when it facilitates machine harvesting of data.
- The Library provides metadata in line with its metadata and digital preservation standards including descriptive and technical metadata to support the discovery and interpretation of its digital content.

- The Library interprets its collections, although this may not be at file level.
- The Library provides its users with an exact or altered copy of the content as appropriate to the service offered by the Library.
- The Library recognises that it cannot always provide preserved digital content through its services in a way that meets everyone's needs. For example some digital content may not behave or appear as it did when originally created. Other content may have software or user requirements that the Library does not currently support. In such cases the Library will offer an exact copy of the current preservation copy it holds. This will be the original bit-stream or an updated version of the original bit-stream and may require the user to have specialist or subject knowledge, hardware and software to use and understand the content.
- Where the authenticity of the digital content is to be demonstrated, the Library provides information about the content's integrity since receipt and a record of any changes enacted on the data to allow the user to evaluate the content.

3.6.3 Future Plans

- Manage PhD in Artificial Intelligence and the assessment of data sensitivity in cultural organisations, in partnership with the University of Glasgow (Q4 2018/19 to Q3 2021/22).
- Create a Library-wide persistent ID policy including support for linked and open data (2019/20).
- Update the Digital Preservation Register to record the following for each group of content within it (2019/20):
 - Any required warnings or restrictions to accompany the content.
 - The ways in which the content will be provided to the Library's users.
 - Any requirement to demonstrate the content's authenticity.
- Identify what metadata the Library will display to demonstrate authenticity, and incorporate into metadata policy work (2019/20).
- Identify minimum supporting information for preservation content and incorporate into metadata policy and principles, and then track back into acquisition and creation policies to ensure data is provided at source (2019/20).
- Review the web accessibility policy and statement (2019/20).
- Identify what is required to enable digital content to be viewed. Cost requirements and identify how they will be met (2019/20–2020/21).
- Develop new access controls to content based on rights, age, location and sensitivity of information (2019/20-2020/21).
- Identify an approach to deliver preservation content using onsite or remote services a) as files within a file structure b) as emulated or virtualised viewable content (2020/21-2021/22).

3.6.4 Related Documentation

The Digital Preservation Register [4]

[The National Library of Scotland website \[24\]](#)

[2018-23 Draft Gaelic Language Plan \[25\]](#)

[Web accessibility and policy statements \[26\]](#)

Audience research [27]

[Re-using material \[28\]](#)

[Privacy and how the Library uses personal data \[29\]](#)

[Copyright \[30\]](#)

Advice on providing access to legally restricted content [31]

[Take down policy \[32\]](#)

3.7.1 PRINCIPLE 7 – THIRD PARTY ALIGNMENT

We require any third party that manages our digital content to help us to uphold our digital preservation principles, and we will take action to safeguard content if our principles are compromised.

3.7.2 Policy

Members of Library staff notify the Digital Preservation Manager of any digital content that is managed, or is planned to be managed, by third parties. Notification must take place before any agreement is made. The content and third party service is then reviewed to determine if the Library has any preservation responsibilities, including whether it needs to validate the care provided by the third party. If so the content, service and the Library's responsibilities will be recorded in the Digital Preservation Register.

The review also assesses the content in accordance with the Library's Data Protection Policy to ensure any personal data is appropriately managed. This process is overseen by the Library's designated Data Protection Officer.

The Library is clear about its expectations of the third party and their role in safeguarding content, including complying with relevant legislation and the consequences of any defaults. This is made explicit in a written and enforceable agreement with them. If the Library is taking responsibility for preserving content that is hosted by a third party then the third party must allow the Library to take timely copies of this content. The Library must be able to, and will, validate the care provided by third parties.

The Library incorporates these requirements into its procurement workflows, terms and conditions for the purchase of goods and services, and other agreements.

As part of its planning process the Library creates exit strategies for the data managed by third parties to ensure that the Library can assume more responsibility for safeguarding digital content if it is required.

The Library will transfer data to the 3rd party in accordance with the Information Security Policy.

3.7.3 Future Plans

- Identify all digital content that is managed by third parties to determine whether there are any preservation requirements (2019/20).
- Work with the Rights and Information Manager and Procurement Officer to integrate exit strategies and 3rd party preservation responsibilities early in the procurement and agreement process (2019/20).

- Provide updated training and guidance to staff to help them work with 3rd parties and Library content (2019/20).
- Develop a 3rd party preservation evaluation framework and apply it to all 3rd parties including the Legal Deposit Libraries Digital Library Store (2020/21).

3.7.4 Related Documentation

[Data Protection Policy \[16\]](#)

Conditions of Contract documentation [12]

Procurement policy [8]

[Information Security Policy \[15\]](#)

APPENDIX 1: LINKS TO RELATED DOCUMENTATION

[1] Information about the Library's governance, legislation, legal status and relationship with other organisations:

<https://www.nls.uk/about-us/freedom-of-information#class1>

[2] The Library's Mission Statement:

<https://www.nls.uk/about-us/what-we-are/our-mission>

[3] The Library's Strategy 2015-2020:

<https://www.nls.uk/media/1194639/2015-strategy-2.pdf>

[4] The Digital Preservation Register:

[Not available online]

[5] Business Classification Retention Scheme:

[Not available online]

[6] Deposit Guidance for staff (with advice to undertake an impact assessment):

[Not available online]

[7] Donation Guidance for staff (with advice to undertake an impact assessment):

[Not available online]

[8] Procurement policy:

[Not available online]

[9] The Library's annual report:

<https://www.nls.uk/about-us/publications/annual-review#report>

[10] Donation and donor guidance and agreement templates:

[Not available online]

[11] Deposit and depositor guidance and agreement templates:

[Not available online]

[12] Conditions of Contract documentation:

[Not available online]

[13] Disposals Policy and Procedures:

[Not available online]

[14] Orphan Collections Policy:

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[15] Information Security Policy:

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[16] Data Protection Policy:

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[17] Volunteering Policy:

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