



Project Number	IST-2006-033789
Project Title	Planets
Title of Deliverable	<b>Preservation Plan Template</b>
Deliverable Number	Not a formal deliverable
Contributing Sub-project and Work-package	PP4
Deliverable Dissemination Level	External Public
Deliverable Nature	Report
Contractual Delivery Date	
Actual Delivery Date	
Author(s)	TUWIEN, PP subproject

**Abstract**

This document provides a pragmatic definition of what a preservation plan is and describes its main elements.

**Keyword list**

Digital Preservation, Preservation Planning

## Contributors

Person	Role	Partner	Contribution
Hans Hofman	Main author	NANETH	First draft
PP subproject	Contribution	ALL	Discussion
Christoph Becker	Contributor	TUWIEN	Extended drafts
Stephan Strodl	Contributor	TUWIEN	Extended drafts
Hannes Kulovits	Contributor	TUWIEN	Discussion
Andreas Rauber	Contributor	TUWIEN	Discussion

## Document Approval

Person	Role	Partner
Andreas Rauber	WPL	TUWIEN
Hans Hofman	SPL	NANETH
PLANETS PP members	Sub project members	All

## Distribution

Person	Role	Partner
Andreas Rauber	WPL	TUWIEN
Hans Hofman	SPL	NANETH
PP subproject mailing list		
PP subproject meeting, January 22, 2008, The Hague	Sub-project	All
Planets-ALL mailing list, March 3, 2008	Project-wide discussion	All

## Revision History

Issue	Author	Date	Description
0.1	Hans Hofman	December 18, 2007	First draft based on discussions
0.2	Stephan Strodl	January 14, 2008	Extended draft
0.6	Hans Hofman	January 25, 2008	Extended draft
0.7	Christoph Becker	February 18, 2008	Revised and extended
0.8	Christoph Becker	February 29, 2008	Revised and extended
0.82	Christoph Becker	April 25, 2008	Revised and extended
0.83	Christoph Becker	April 30, 2008	Revised triggers
0.84	Christoph Becker	November 17, 2008	Reformatted and added history

## EXECUTIVE SUMMARY

A **preservation plan** defines a series of preservation actions to be taken by a responsible institution due to an identified risk for a given set of digital objects or records (called collection). The Preservation Plan takes into account the preservation policies, legal obligations, organisational and technical constraints, user requirements and preservation goals and describes the preservation context, the evaluated preservation strategies and the resulting decision for one strategy, including the reasoning for the decision.

It also specifies a series of steps or actions (called **preservation action plan**) along with responsibilities and rules and conditions for execution on the collection. Provided that the actions and their deployment as well as the technical environment allow it, this action plan is an executable workflow definition.

## 1. What is a preservation plan?

This document describes what a preservation plan is in the context of the Planets project, and defines its main elements.

A **preservation plan** defines a series of preservation actions to be taken by a responsible institution due to an identified risk for a given set of digital objects or records (called collection). The Preservation Plan takes into account the preservation policies, legal obligations, organisational and technical constraints, user requirements and preservation goals and describes the preservation context, the evaluated preservation strategies and the resulting decision for one strategy, including the reasoning for the decision.

It also specifies a series of steps or actions (called **preservation action plan**) along with responsibilities and rules and conditions for execution on the collection. Provided that the actions and their deployment as well as the technical environment allow it, this action plan is an executable workflow definition.

## 2. Elements of a preservation plan

---

### Identification

Identification code: [unique identifier of P-Plan]

Name:

Author:

Organisation:

Date:

Abstract of this preservation plan:

Comments:

---

### Status

Progress state

Created because of <trigger> + <risk>:

New Collection Alert (NCA)

*New Preservation plan from scratch for a new collection*

Changed Collection Profile Alert (CPA)

*Change in the collection profile of an existing collection requires a revision of existing preservation plan. Examples for changes in the collection profile are new accepted object formats or significant change in collection size.*

Changed Environment Alert (CEA)

*The environment of a preservation plan consists of technology environment, designated communities and the host institution. Changes in environment can lead to a change in the evaluation of objectives of existing preservation plans, for example changed prices for hardware or software. Other changes are new available preservation strategies or used object formats in an existing preservation plan are becoming obsolete. Changes in the environment require a revision of existing preservation plans, the objectives for the evaluation remain unchanged.*

Changed Objective Alert (COA)

*Changes and developments in the environment can change the objectives for preservation evaluation over time. In this case a "Changed Objective Alert" is raised to evaluate existing preservation plans against changed objectives. Examples for changes of objectives are technology developments, new standards that have to be fulfilled by the preservation plans, change of the designated community that effects the objectives and changes of institutional policies or legal obligations.*

Periodic Review Alert (PRA)

*Periodical reviews of existing preservation plans help to improve and further develop existing plans. A "Periodic Revision Alert" is raised to re-iterate the planning activity taking into account new developed preservation strategies to improve the existing plans.*

Valid from <date>  
 Based on Preservation Plan <ID>  
 Replaced by Preservation Plan <ID>  
 Replaced on / invalidated on: <date>  
 Approved by: <responsible person|>  
 Approved on: <date>

---

## Description of the institutional setting

Policy model (PP2)  
 Usage model (PP3)  
 Mandate: e.g. Mission statement of organisation  
 Designated community for considered collection  
 References:  
   Reference to policies (legal/operational/preservation)  
   Description of relevant organisational procedures and workflows  
   Reference to contracts and agreements specifying preservation rights  
   Reference to agreements of maintenance and access

---

## Description of the collection

*The collection is the set of digital objects or records for which a preservation plan is created. It can be technically homogenous (e.g. one file-format), but might also consist of different types of objects or file formats. It can also be based on "genre" in the sense of "all emails in my repository".*

- Identification of the objects that shall be preserved. (e.g. ID-numbers pointing to a repository)
- Type of objects (general characteristics such as contained class of objects, file formats...)
- Sample Objects that are representative for the collection and are used for the evaluation process (actual objects + Description/comments and a definition of their original technical environment)

---

## Requirements for preservation

- Purpose of this plan
- Objective Tree (explicit requirements specification, e.g. PLATO-tree export)  
 Requirements:
  - usage
  - organisational
  - object-type
  - legal

---

## Evidence of decision for Preservation Strategy

- (to guarantee and document that an accountable decision has been made)
- Considered Alternatives (identifiers, descriptions and comments)
    - including based on what criteria this choice was made (e.g. results from Testbed experiments/tests)
  - Evaluation results (e.g. PLATO documentation)
  - Decision on what preservation strategy will be used
  - Effect of applying this specific P-strategy on 'collection'-> potential/possible information loss

---

## Costs

Indication and discussing of costs implications  
   Cost of preparation  
   Cost of execution of preservation plan  
 (This can be a quantitative and/or qualitative assessment)

---

## Trigger for re-evaluation/update

Trigger for re-evaluation/update of preservation plan

In principle all of the triggers listed in section 2 apply to each plan and the collection and the environment of a preservation plan need to be monitored and followed.

In this section, the specific definition of actions or events that should trigger a revision of the preservation plan should be specified.

This can for example be

- Specific thresholds changes in the evaluation of objectives
- Already foreseen events that are going to change the environment (scheduled release of a new solution....)

---

## Roles and responsibilities

Responsible person/roles carrying out this plan

---

## Preservation action plan

*A preservation action might be just a single tool, but also a composite workflow consisting of multiple characterisation services and actions.*

### ○ When: Triggers and conditions for execution

Hard-and software requirements, other dependencies

### ○ What:

- Executable Preservation Plan (e.g. executable workflow, programme) that will execute the preservation action on the digital objects and automated mechanisms for validating results of preservation action [includes <ID>]
- Other actions needed (reporting/documenting...)