

**Network of Alabama Academic Libraries
Alabama Digital Preservation Network (ADPNet)
Governance Policy
Adopted on the NAAL Advisory Council, 9 October 2008
Revised and Approved 30 October 2009**

1.0. Introduction and Mission

1. The Alabama Digital Preservation Network

The Alabama Digital Preservation Network (ADPNet) is a membership organization governed by the Network of Alabama Academic Libraries (NAAL), at the Alabama Commission on Higher Education, Montgomery, Alabama. ADPNet was established in 2006 with a two-year National Leadership grant awarded by the Institute of Museum and Library Services (IMLS). The ADPNet founding Members are the Alabama Department of Archives and History, Auburn University, Spring Hill College, Troy University, The University of Alabama, the University of Alabama at Birmingham, and the University of North Alabama. These institutions are the charter Members of the ADPNet Steering Committee.

The purpose of ADPNet is to create, sustain, and extend a distributed digital preservation network for cultural heritage institutions in the state of Alabama.¹

1.2. Mission

The mission of ADPNet is to manage and sustain a reliable, low-cost “dark archive”² for the long-term preservation of locally-created digital resources in Alabama. ADPNet seeks to foster better understanding of distributed digital preservation methods in the state and to create a stable, geographically dispersed dark archive of digital content that can be drawn upon if necessary to restore collections at the Member institutions.

1.3. Need for Digital Preservation

The long-term preservation of digital assets is an essential part of digital collection building. However, some institutions are creating publicly-available online collections, but failing to develop and implement strategies to assure long-term preservation of their digital collections. Along the Gulf Coast, Hurricanes Katrina and Rita resulted in the worst natural disasters in the country’s history. Throughout the years, hurricanes, tornadoes, floods, and fires have destroyed libraries and ruined collections throughout the Alabama. Unlike damage in earlier years, the aftermath of Katrina galvanized public calls for strategies to prevent such chaos after future disasters. As more content becomes available in digital formats, Alabama residents will expect organizations to recover quickly in the event of another disaster.

¹ “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.” From “Definitions of Digital Preservation,” Preservation and Reformatting Section, Working Group on Defining Digital Preservation ALA Annual Conference, Washington, DC, June 24, 2007. See: www.ala.org/ala/alcts/newslinks/digipres/index.cfm

² The California Digital Library defines a dark archive as one that is inaccessible to the public. It is typically used for the preservation of content that is accessible elsewhere. See: <http://www.cdlib.org/inside/diglib/glossary/?field=glossary&action=search&query=preservation>.

Another definition, adapted from the Wikipedia, is that “In reference to data storage, a “dark archive” is one that cannot be accessed by any users. Access to the data is either limited to a set few individuals or completely restricted to all. The purpose of a dark archive is to function as a repository for information that can be used as a failsafe during disaster recovery.” http://www.wikipedia.com/TERM/d/dark_archive.htm

1.4. Program Strategies

The library and archival professions agree that digital preservation is critical and that no single strategy is appropriate for all types of institutions or all types of data. Institutions risk losing content primarily through two ways: physical damage and/or obsolescence of hardware and software. ADPNet uses a long-term storage network as an effective solution to prevent loss of digital assets through physical damage from natural events, human intervention or error, or just the ravages of time. It addresses a pressing need for Alabama institutions to ameliorate the risk of physical damage while planning to manage obsolescence threats.

The Alabama Digital Preservation Network will:

- Highlight the importance of preserving significant digital assets to the academic community, state agencies, and other cultural heritage institutions in Alabama.
- Manage and sustain a distributed, low-cost network for the long-term archival storage and preservation of digital assets created by all types of institutions in Alabama.
- Sustain a collaborative administrative structure to manage the storage network and assure its long-term viability.
- Demonstrate that a distributed long-term storage repository for digital assets can support different types and sizes of collections from different kinds of institutions.

1.5. Operating Principles

ADPNet is guided by the following operating principles:

- Mutual commitment to long-term preservation of critical cultural heritage content;
- Collaboration to adopt policies and procedures that will sustain ADPNet to the mutual benefit of its partners and content contributors;
- Commitment to keeping overhead low and achieving low-cost preservation strategies;
- A cooperative, robust, and decentralized peer-to-peer approach to selecting content of shared value, and mutual support of content with a particular (critical) value to individual institutions;
- Application of LOCKSS software³, as the principal system for distributing copies of replicated content in secure, distributed locations over time;
- Wide applicability to a range of institutions and digital content;
- Commitment to storage and maintenance in migratable formats and data structures;
- Commitment to high standards for metadata and content; and
- Ongoing exploration of projects to advance digital preservation.

³LOCKSS (Lots of Copies Keep Stuff Safe: <http://www.lockss.org>) is an international non-profit initiative that provides tools and support so institutions can easily and cost-effectively preserve digital resources. LOCKSS technology is open source, peer-to-peer, decentralized digital preservation infrastructure. LOCKSS preserves all formats and genres of content. The intellectual content, which includes the historical context (the look and feel), is preserved. LOCKSS is OAIS-compliant (ISO 14721:2003); the software continually audits and repairs the stored bits and bytes. Institutions have perpetual access to 100% of their content preserved in their LOCKSS network.

2.0. Membership

Any Alabama cultural heritage institution creating publicly-available digital assets whose activities and objectives are consistent with the Alabama Digital Preservation Network's mission and principles may join ADPNet. This includes but is not limited to universities, libraries, museums, historical societies, and agencies of state government, as well as consortia of organizations and individual projects.

2.1. Requirements for Membership

There are three requirements for membership in ADPNet. First, ADPNet member institutions are responsible for bringing up and maintaining a LOCKSS server in the network and making that server available to support ADPNet initiatives and programs. The server must satisfy the ADPNet technical requirements described in Appendix B ("ADPNet Technical Specifications") below; these requirements may be revised from time to time. Second, member institutions are responsible for contributing digital content to the network and harvesting digital content from other member institutions. Third, member institutions must commit to joining the LOCKSS Alliance. No other dues or membership fees apart from the LOCKSS Alliance fee are assessed for membership in ADPNet.

2.1.2. Requests to Waive the Requirements for Membership

ADPNet members recognize that some cultural heritage institutions that produce digital content may lack the staff or the financial resources needed to maintain a LOCKSS server or pay the annual LOCKSS Alliance fee. In view of that fact, the ADPNet Steering Committee will consider requests to waive any or all of the membership requirements from institutions that wish to preserve their digital content in ADPNet but that lack the means to satisfy the requirements listed in Paragraph 2.1 above.

2.1.3. Applications for Membership

ADPNet will consider applications for membership from qualified institutions. An institution may apply to become a member by mailing or faxing a request to join ADPNet to:

Network of Alabama Academic Libraries
c/o Alabama Commission on Higher Education
Attn: ADPNet Steering Committee
P.O. Box 302000
Montgomery, AL 36130-2000
Fax: (334) 242-0268

Institutions may also submit applications for membership online or through a Web form on the ADPNet Web site (<http://www.adpn.org/>). Applications for membership will be reviewed by the ADPNet Steering Committee, and applicants may be asked to submit additional information about their digital collections and technical capabilities before the application is considered for approval. Election to membership requires a two-thirds favorable vote by the entire ADPNet Steering Committee. To complete its membership, a newly elected Member must sign and submit an ADPNet Membership Agreement affirming its acceptance of the conditions listed above.

2.2. Copyright, Intellectual Property, and Indemnification

2.2.1. Copyright and Intellectual Property

All Members bear the responsibility for determining ownership and their right to preserve content prior to submitting it for archival storage in ADPNet (i.e. intellectual property and copyright issues).

ADPNet strives diligently to comply with the spirit of the 1976 Copyright Law (title 17, U. S. Code), related guidelines issued by the U. S. Copyright Office, and subsequent U.S. laws affecting copyright. ADPNet is a dark archive. This means that it is not accessible outside of preservation routines and is available only to the ADNet Members for purposes of preservation and to replace the originating institution's local files when necessary. Each originating institution bears responsibility for handling copyright and intellectual property issues locally.

2.2.2. Indemnification

All Members agree to hold NAAL, ADPNet, and their members harmless in the event of infringement, claims of infringement, loss of data, interoperability, and any other technical standards and governance claims by waiving any rights of recovery for any costs or damages associated with their relationships to and Agreement with ADPNet. Likewise, all Members agree to indemnify NAAL and ADPNet to the extent permitted by law for any losses and costs incurred by ADPNet and its Members such as but not limited to legal fees, costs, and damage awards arising from infringement or other claims directly related to their activities in working with ADPNet and Members.

2.3. Withdrawing from ADPNet

All Members share some rights and responsibilities in common, including agreeing to membership terms of no less than three-year duration with a one-year notice to cancel membership thereafter. This time frame provides some predictability for ADPNet as it continues to grow and will help improve services to all Members by lessening administrative burdens. Following the completion of its initial term (three years or more), any Member may withdraw from ADPNet by notifying the ADPNet Steering Committee in writing of its intention to withdraw. One year after the Steering Committee receives this notice, the withdrawing Member's content shall be deleted from all Network ADPNet servers. A withdrawing Member shall delete the content of other members from its network node. Neither ADNet nor the withdrawing Member shall have any further obligation to each other.

3.0. Costs

The Alabama Digital Preservation Network seeks to require minimal expenditures by its Members. ADPNet is built on the LOCKSS model of low cost and low barriers to adoption, and ADPNet collaborates with the LOCKSS program to develop and maintain the freely available, open-source LOCKSS software. In practice, the LOCKSS software runs on standard desktop computers and requires a modest degree of systems administration for ongoing maintenance. Costs are both in-kind and monetary and involve the following three things:

3.0 Costs, continued:

Members must agree to install and run a LOCKSS preservation node in ADPNet. This installation is at the Member's expense and is a contribution in-kind. It includes all necessary local resources needed to manage the LOCKSS node that is part of ADPNet.

Members must agree to bear the local cost of identifying, preparing, and submitting their relevant digital collections and associated metadata for harvest into ADPNet.

Finally, Members must join the LOCKSS Alliance and pay its annual membership fee. This membership entitles the Member to participate fully in LOCKSS for commercial electronic journal preservation and in ADPNet for the preservation of locally created digital assets.

Beyond these commitments, each Member of ADPNet should expect to cover its own costs associated with the following activities:

- Systems Administration and Cache Monitoring
- System equipment upgrades as needed
- Communications
- Content Provision
- Local administration

4.0. Organization and Governance

The Alabama Digital Preservation Network is a membership organization governed by the Network of Alabama Academic Libraries. ADPNet is managed by an appointed Steering Committee, a special committee of the Network of Alabama Academic Libraries.⁴ The Steering Committee represents the Members and oversees the management and operation of ADPNet.

4.1. The ADPNet Steering Committee

The ADPNet Steering Committee consists of one voting representative appointed by each Member. The term of service is one year, and representatives can be reappointed to subsequent annual terms. The Steering Committee is responsible for setting general ADPNet policy, reviewing and approving requests to join ADPNet (including requests to waive the membership requirements described in Paragraph 2.1), and reviewing and approving requests to increase ADPNet storage capacity. A majority of the membership of the Steering Committee shall constitute a quorum. A majority vote of those present at a meeting shall be required for action to be taken, with the exception of membership votes, which require a two-thirds favorable vote by the entire ADPNet Steering Committee (see Paragraph 2.1.3 above). The Steering Committee shall annually elect a chairman from its membership for a term of one year.

⁴ The Network of Alabama Academic Libraries is a state and member-funded consortium of Alabama's academic institutions and the Alabama Commission on Higher Education. For more information, see: <http://www/ache.state.al.us/NAAL>.

4.2. Committees and Working Groups

4.2.1. The ADPNet Technical Policy Committee

The ADPNet Technical Policy Committee shall periodically review the ADPNet capacity and technical specifications and prepare recommendations on issues having to do with hardware and software. The Committee shall consist of five members with technical expertise. The chairman of the Steering Committee shall appoint the Committee Members from the staff of five Members to serve an annual term, and Committee members may be reappointed to subsequent annual terms. The Steering Committee chairman shall be an ex officio member of the Technical Policy Committee.

4.2.2. Other Special Committees or Working Groups

Other Special Committees or Working Groups may be appointed by the chairman of the Steering Committee from time to time as deemed necessary to carry on the work of ADPNet. The chairman shall be an ex officio member of such other committees.

4.3. Communication

All Members are expected to participate in collaborative communication activities supporting ADPNet and to bear associated local costs. Communication methods include in-person meetings, telephone and video conferencing, e-mail, and Web-based applications that support collaboration such as Wikis. ADPNet Members are encouraged to disseminate information of their work via professional conferences and publications.

4.4. Annual Meeting

The ADPNet Steering Committee will meet annually to discuss and make recommendations for the following year, review and recommend any changes needed in the governance policy, review network capacity and technical specifications, and other needed actions. The venue and agenda shall be distributed to the member organizations at least ten days in advance of the meeting. The Chairman of the Steering Committee will present recommendations for action to the NAAL Advisory Council.

5.0. Services and Operations

5.1. Content Oversight

All Members retain ownership of the content they submit to ADPNet. This content may remain in the network indefinitely. However, the Steering Committee reserves the right to review and remove any stored files, including but not limited to content that has not been made publicly accessible by the submitting member or content that has been submitted without proper copyright clearances. Further, the Steering Committee may remove the content of any Member that has failed to maintain the obligations of its membership category. A Member shall be given written notice that its content is to be removed due to failure to meet its membership obligations. If the obligations resulting in the written notice are not met in accordance with ADPNet requirements, the member's content will be removed one year after the date of the notice. Some materials may be removed immediately upon notification, for example, materials that have not been made publicly accessible or that violate U.S. Copyright laws (title 17, U.S. Code).

5.2. Disaster Recovery

In the event of data loss by a Member, that Member may recover the content it has submitted to ADPNet. ADPNet is intended to complement, not replace, local procedures for backing up server computers and the digital content that resides on them, and the ADPNet recovery process is intended solely to replace content lost due to a disaster event. All Members are expected to follow best practices for backing up their local files.

5.3. Network Reports

Members have access to various reports generated by their LOCKSS servers. It is the responsibility of each Member to review these reports to assure that its network node is reliably harvesting content and polling other nodes for content.

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**Appendix A
Membership Agreement**

This page should be completed by an individual with organizational signature authority for the institution joining the Alabama Digital Preservation Network (ADPNet). Signature indicates agreement to the terms and conditions of the document entitled “Alabama Digital Preservation Network Governance Document”. Specifically, the signature certifies that the applicant institution:

1. Meets the criteria for membership described in Paragraph 2.0.
2. Agrees to install and maintain a LOCKSS server in the Network and make that server available to support ADPNet initiatives and programs. The server must satisfy the ADPNet technical requirements as described in Appendix B (“ADPNet Technical Specifications”); these requirements may be revised from time to time as described in Paragraph 2.1
3. Agrees to contribute locally-created and publicly available digital content to the Network and harvest digital content from other member institutions. (Paragraph 2.1)
4. Commits to joining the LOCKSS Alliance for the duration of its membership in ADPNet. No other dues or membership fees apart from the LOCKSS Alliance fee are assessed for membership in ADPNet. (Paragraph 2.1)
5. Commits to a membership term in ADPNet of no less than three-years’ duration, with a one-year notice to cancel membership thereafter. (Paragraph 2.3)

Thank you for applying to join the ADPNet, and welcome!

Please print clearly or type information requested in the form below.

Institution: _____

Signature by Authorized Representative: _____

Print Name & Indicate Title: _____

Date: _____

Approved by ADPNet Steering Committee: _____

Signature of ADPNet Steering Committee chairman: _____

Date: _____

Return a copy of this signature page via fax (334-242-0270) or e-mail to Ron Leonard (ron.leonard@ache.alabama.gov) and Aaron Trehub (trehuaj@auburn.edu).

PLEASE MAIL THE COPY WITH YOUR ORIGINAL SIGNATURE TO:

Network of Alabama Academic Libraries
c/o Alabama Commission on Higher Education
P. O. Box 302000
Montgomery, AL 36130-2000

When this application has been accepted by the ADPNet Steering Committee, a copy of the fully executed agreement will be returned to you.

Appendix B: ADPNet Technical Guidelines

Appendix C: ADPNet Preservation Guidelines (file types, formats, and schedules) (*forthcoming*)