

**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, 29 October 2010, and 30 September 2011

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. ADPNet participation does not, however, preclude the need for local data backup plans.

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

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 Webopedia, 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.webopedia.com/TERM/d/dark_archive.htm

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 state of 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.

1.4. 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 software,³ as the principal system for distributing copies of replicated content in secure, distributed locations over time;

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

- 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.

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. The ADPNet membership year begins on October 1. Membership fees are due during the month of October.

2.1. Membership Categories

ADPNet has four categories of membership, each with specific fees and responsibilities, based on the aggregate size of content to be preserved. The four categories are:

1. Anchor: the highest category of membership for organizations with large amounts of digital objects to be preserved and the necessary infrastructure to host at least one server node;
2. Host: the next category of membership for organizations with moderate amounts of digital objects to be preserved and the necessary infrastructure to host one server node;
3. Participant (Large): a category for organizations with any amount of digital objects to be preserved, but without the necessary infrastructure or desire to host a node;
4. Participant (Small): a category for organizations with a small amount of digital objects to be preserved and no ability to host a node.

The base fees, space allotment, rights, and responsibilities for each of these membership categories can be found in Appendix A: Membership Agreement. They are designed to ease the transition from one category to the next as a Member's digital preservation needs grow over time, and to ensure that each Member's costs are commensurate with its use of the Network.

Membership categories and fees are subject to change. ADPNet Members will be given a six-month advance notice of any upcoming changes in the categories or fees. Membership category is determined at time of joining the network and evaluated annually. If any member during the first nine months of the membership year exceeds the limitations of the current category fee, the additional fees to accommodate that change will be due immediately.

2.1.2. 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:

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.

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. 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. Final approval of new members will be confirmed by the NAAL Executive and Advisory Councils at the meeting following the ADPNet Steering Committee's vote. 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). Unauthorized duplication or distribution of cached content is a violation of the governance policy.

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 ADPNet 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 ADPNet servers. A withdrawing Anchor or Host Member shall delete the content of other members from its network node. Neither ADPNet 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 things:

Anchor and Host Members must agree to install and run a LOCKSS preservation node in ADPNet. This initial 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. The Network intends over time to fund server node expansion from its equipment fund.

All 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, all Members must pay the appropriate ADPNet membership fee OR join the LOCKSS Alliance and pay its annual membership fee. Membership in the LOCKSS Alliance for Alabama organizations entitles the Member to participate fully in LOCKSS for commercial electronic journal preservation and in ADPNet for the preservation of locally created digital assets up to the limits of the relevant category of ADPNet membership. All amounts of data beyond the base allotment for the category of ADPNet membership will incur additional costs. ADPNet membership itself does not confer LOCKSS Alliance Membership.

Failure of a renewing member to pay ADPNet fees within the month of October will result in the cessation of harvesting new material from that site. New members' content will not be harvested until all fees have been paid. A member organization may choose to upgrade their membership category, if desired, regardless of content quantity at the time of annual renewal.

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

- Systems Administration and Cache Monitoring (Anchor and Host members only)
- 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 voting representatives appointed by each Member according to the membership categories as defined in Appendix A. 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, 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 committee members 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 2.1.2 above). The Steering Committee shall annually elect a chairman from its membership for a term of one year.

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 members with technical expertise representing the ADPNet Anchor and Host member organizations as outlined in Appendix A. The chairman of the Steering Committee shall appoint the Committee Members from the staff of Anchor and Host 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 Steering Committee chairman shall be an ex officio member of such other committees.

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>.

4.3. 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 Policy.” Specifically, the signature certifies that the applicant institution:

1. Meets the criteria for membership described in Paragraph 2.0.
2. Anchor and Host Members agree 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. Anchor and Host Members agree to contribute locally-created and publicly available digital content to the Network and harvest digital content from other member institutions. Participant (Large) and Participant (Small) Members agree to contribute locally created and publicly available digital content to the Network (Paragraph 2.1).
4. Commits to pay the appropriate ADPNet membership fee and additional storage fees OR join the LOCKSS Alliance for the duration of its membership in ADPNet and pay ADPNet differential fees. (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).

Fees, Data Allotments, and Responsibilities

Please check the box for your preferred membership level:

Anchor:

Base annual membership fee: \$5,000 (annually)

Base local data allotment: 1.5 TB

Allotment increments to base allocation: 500 GB (min.) @ \$350/each (annually)

Governance representation: 1 seat/vote on the Steering Committee, 2 seats/votes on the Technical Committee.

Responsibilities:

- Purchase/allocate and host at least one server with sufficient capacity to accommodate the anticipated network holdings for the coming year (may require an initial investment in a server for new members at this level).
- Agree to expand server capacity as needed. (Capacity is reviewed annually in the summer to determine expansion needs; the goal is to cover future server and storage expenses through the ADPNet membership fees.)
- Provide system administration for the server(s) according to network policies (0.25 FTE).

- Guide the development of the network (time commitment ~2 hours/month).
- Make material available for ingest.
- Serve as an onramp for Participant category members (harvest content, procure content, and/or provide assistance with technical issues).
- Follow the policies and procedures of ADPNet.

Host:

Base annual membership fee: \$2,500 (annually)

Base local data allotment: 500 GB

Allotment increments to base allocation: 100 GB (min.) @ \$250/each (annually)

Cannot exceed 1 TB, must move to Anchor category.

Governance representation: 1 seat/vote on the Steering Committee, 1 seat/vote on the Technical Committee.

Responsibilities:

- Purchase/allocate and host one server with sufficient capacity to accommodate the anticipated network holdings for the coming year (may require an initial investment in a server for new members at this level).
- Agree to expand server capacity as needed. (Capacity is reviewed annually in the summer to determine expansion needs; the goal is to cover future server and storage expenses through the ADPNet membership fees.)
- Provide system administration for the server according to network policies (0.25 FTE).
- Guide the development of the network (time commitment ~2 hours/month).
- Make material available for ingest.
- Serve as an onramp for Participant category members (harvest content, procure content, and/or provide assistance with technical issues).
- Follow the policies and procedures of ADPNet.

Participant (Large):

Base annual membership fee: \$800 (annually)

Base local data allotment: 1.5 GB

Allotment increments to base allocation: 500 MB (min.) @ \$25/each (annually)

Governance representation: 1 elected representative/vote per five category members (or portion thereof) to the Steering Committee.

Responsibilities:

- Make material available for ingest by staging it on an accessible web server.
- Participate in writing plug-ins for content ingestion.
- Follow the policies and procedures of ADPNet.

Participant (Small):

Base annual membership fee: \$300 (annually)

Base local data allotment: 500 MB

Allotment increments to base allocation: 100 MB (min.) @ \$50/each (annually)

Cannot exceed 1.5 GB local data, must move to Participant (Large) category.

Governance representation: 1 elected representative/vote per five category members (or portion thereof) to the Steering Committee.

Responsibilities:

- Make material available for ingest by staging it on an accessible web server.
- Follow the policies and procedures of ADPNet.

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 (334-242-0268) or e-mail to Ron Leonard (ron.leonard@ache.alabama.gov) and Tom Wilson (tcwilson@ua.edu).

Please note: The ADPNet membership year begins October 1.

Payments are to be sent to: University of Alabama

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

See latest specifications at: http://www.adpn.org/wiki/Technical_Information

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