A Selection of Questions from the
Stewardship of Digital Assets Workshop Questionnaire

SECTION A: Institution Information

What year did your institution begin creating digital resources? __________________________

What year did your institution begin collecting digital resources? ________________________

Does your institution have a WRITTEN policy document that addresses digital holdings in each of the following areas?

- a. Mission and goals     yes  no  being developed
- b. Collection development   yes  no  being developed
- c. Emergency preparedness  yes  no  being developed
- d. Preservation           yes  no  being developed
- e. Rights and licensing    yes  no  being developed

Does your institution have written procedures that address digital holdings in each of the following areas?

- a. Mission and goals     yes  no  being developed
- b. Collection development   yes  no  being developed
- c. Emergency preparedness  yes  no  being developed
- d. Preservation           yes  no  being developed
- e. Rights and licensing    yes  no  being developed

SECTION B: Information Technology Infrastructure

Regardless of how acquired, do you have IT services in the following areas?

- a. Desktop/workstation support yes  no  being developed
- b. Network support           yes  no  being developed
- c. File management and storage yes  no  being developed
- d. Backup and disaster recovery yes  no  being developed
- e. Centralized hardware and software acquisition and maintenance yes  no  being developed
- f. Security and protocols (authentication, authorization, etc.)
Which, if any, of the following IT applications for digital collections management does your institution currently support?

- a. Digital imaging (for example, scanning, direct digital capture, digital photography
   - yes
   - no
   - being developed

- b. Collection management system
   - yes
   - no
   - being developed

- c. Publicly searchable collections database
   - yes
   - no
   - being developed

- d. Digital asset management system
   - yes
   - no
   - being developed

SECTION C: Digital Collections\(^1\): Administration and Management

For this survey, the term digital collection initiative refers to a broad range of programs and projects undertaken in cultural heritage institutions.

Does your institution have a digital collection initiative?

☐ Yes
☐ No

How many FTE staff and volunteers work on your digital collection initiative?

<table>
<thead>
<tr>
<th>FTEs in Digital Collection department</th>
<th>FTEs in other departments</th>
<th>FTEs in Volunteers</th>
</tr>
</thead>
<tbody>
<tr>
<td>None</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1 - 5</td>
<td></td>
<td></td>
</tr>
<tr>
<td>6 - 10</td>
<td></td>
<td></td>
</tr>
<tr>
<td>11 - 15</td>
<td></td>
<td></td>
</tr>
<tr>
<td>More than 15</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

What are the sources of funding for the digital collection initiative?

☐ Fees from activities
☐ Fund raising
☐ Grants
☐ Organization’s operating budget
☐ Sales of products associated with digital collections

Where does the digital initiative fit within the organizational structure?

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\(^1\) Digital Collections: A Collection, as defined in the Society of American Archivist’s *Glossary of Archival and Records Terminology*, is a group of materials with some unifying characteristic. For the purpose of the survey, the unifying element is the fact that the collections are digital in format.
SECTION D: Digital Collections: Selection and Acquisition

Digital collections may include born-digital material and digital surrogates either originating at the institution or acquired through purchase or donation from outside the institution. For this assessment, we are NOT including material licensed by your institution, such as licensed e-journals. Please include reformatted materials (converted from a physical format to digital format) and born-digital either at the institution or created by another institution and acquired, distributed and maintained by your institution, such as numeric databases or geospatial data.

Have you adopted standards or best practices for digital content creation (digitization)? If so, please specify the standards used, link to the URL if online or attach a copy if the standards are locally customized or if best practices or guidelines have been developed.

☐ Yes
☐ No

How are digital collections created?

☐ In-house
☐ Outsourced to a vendor

From which of the following types of source materials have you created digital resources? How many of each type have you created?

<table>
<thead>
<tr>
<th>TYPE</th>
<th>Approximate No. of Masters</th>
</tr>
</thead>
<tbody>
<tr>
<td>Flat works on paper/photographic prints</td>
<td></td>
</tr>
<tr>
<td>Film (film negative or glass plate negatives)</td>
<td></td>
</tr>
<tr>
<td>Microfilm</td>
<td></td>
</tr>
<tr>
<td>Three-dimensional objects</td>
<td></td>
</tr>
<tr>
<td>Analog audio</td>
<td></td>
</tr>
<tr>
<td>Video</td>
<td></td>
</tr>
<tr>
<td>Books, manuscripts and other multi-page items</td>
<td></td>
</tr>
</tbody>
</table>

If your institution is creating or acquiring born-digital resources, which of the following formats are you creating or acquiring?

<table>
<thead>
<tr>
<th></th>
<th>Creating</th>
<th>Acquiring</th>
</tr>
</thead>
<tbody>
<tr>
<td>Simple text</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Encoded text (blogs, websites, listservs, PDF documents)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Non-licensed e-books, e-journals</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Photography or other still images</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Digital audio</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Digital video</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Art or visual materials with a database or digital component</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Application, operating system or other software</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Documentation or research data</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Geospatial data</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other numeric data sets</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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2 Digital collections: A group of materials with some unifying characteristic in digital format.
Why are you creating/acquiring digital resources?

- To contribute to a collaboration/consortium
- For documentation of condition
- To generate revenue
- For identification (i.e. collections management, cataloging, etc.)
- To increase access to the collection
- For marketing and promotion of the institution
- To preserve the original by reducing handling
- For publication
- To replace collection items in the event of disaster, deterioration, etc.
- For study and use by local users
- For study and use by remote users

Of all the items you consider belonging to digital collections, are the majority unique or replicated in digital or analog versions?

- Most are unique (single-copy works)
- Most are replicated in multiple digital versions
- Most are replicated in other analog versions
- Most are replicated in both digital and analog versions

What formats are you currently using?

- JPEG
- JPEG2000
- TIFF
- MPEG
- WAV
- PDF/PDF-A
- TXT
- HTML
- XML

SECTION E: Digital Collections: Access

Access is 'The ability to locate relevant information through the use of catalogs, indexes, finding aids, or other tools.' Collections are a group of materials with some unifying characteristic.

How do you provide access to your digital collections?

- Through a website associated with our organization
- Through a website associated with another organization
- Through a content management system
- CD/DVD/other removable media
- Standalone computer
- Local online access/intranet

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⁴ ibid.
Approximately what percentage of your digital resources is available online? ____________

Digital resources require metadata for discovery, access, management and preservation. Which types of metadata do you create for your digital collections?

- Descriptive metadata (for example, title, subject)
- Technical metadata (information describing the production process or digital attributes of the work)
- Administrative metadata (access privileges, rights, ownership of material)
- Structural metadata (for purposes of linking different parts or units of data)
- None

Which metadata schemas are you using?

- MARC
- Dublin Core, simple
- Dublin Core, qualified
- VRA Core
- CIMI
- METS
- MODS
- EAD
- Locally developed schema

What digital asset management system\(^5\) do you use? (This system may be used to manage the full life cycle of your digital objects including management of data creation, metadata repository, image repository or linkage to the image repository, registry of preservation metadata, and a means of providing access to users.)

- OCLC’s CONTENTdm
- DSpace
- Endeavor’s Encompass
- ExLibris Digitool
- Fedora
- The Gallery System
- Luna’s Insight
- Past Perfect software
- Locally developed system
- None

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SECTION F: Digital Collections: Preservation

How does your institution fund or intend to fund preservation of digital collections?

☐ Though the preservation budget
☐ Through the IT budget
☐ Through another line in the operating budget
☐ Through grants

Which of the following digital preservation strategies has your institution implemented?

☐ Migration
☐ Refreshing data
☐ Emulation
☐ Maintenance of legacy equipment
☐ Data backup
☐ Institution operates a digital preservation solution

Are you outsourcing to a digital preservation service?

☐ Yes
☐ No

What type of digital content do you deposit in the service?

☐ Text (Electronic Thesis, Dissertations)
☐ Encoded text (blogs, websites, listservs, PDF documents)
☐ Non-licensed e-books, e-journals
☐ Photography or other still images
☐ Digital audio
☐ Digital video
☐ Art or visual materials with a database or digital component
☐ Application, operating system or other software
☐ Documentation or research data
☐ Geospatial data
☐ Other numeric data sets

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http://www.crl.edu/content.asp?l1=13&l2=58&l3=162&l4=91
Does the service have:

<table>
<thead>
<tr>
<th>A publicly available Preservation Plan?</th>
<th>Yes</th>
<th>No</th>
<th>Don’t know</th>
</tr>
</thead>
<tbody>
<tr>
<td>Have you reviewed the Preservation Plan?</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Contingency plans incase of emergency?</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Are you aware of what these plans are?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Escrow arrangements for software</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>If they do, do you have access to it?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Off-site backup of the database?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Separate professional staff?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Authentication/authorization?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Customer documentation?</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Customer administrative module?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Usability testing?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Migration strategy (may be part of preservation plan)</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Other preservation actions:

If you are managing digital collections locally, what media are used for storage?

- Removable magnetic media (disks, zip disks, flash memory)
- Online magnetic media (networked hard drives)
- Optical media (CD, DVD)
- Tape
- None – there is no local preservation of digital collections

If you back up your files, where are they stored?

- In-house, in systems that our institution manages
- By a partner organization
- Outsourced to a storage site (e.g., Iron Mountain)

At what frequency do you back up the files?

- Once
- Once a year
- Quarterly
- Once a month
- Once a week
- Several times a week
- Daily

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7 Backup: The periodic capture of information to guard against system or component failure or against accidental or deliberate corruption of the system or system metadata. It is separate from the actions that most repositories will take of holding multiple copies of digital resources....Backups are not expected to prevent all information loss. They are intended to restore a system or a component to a known state in a manner consistent with other system components where this is applicable. (Trustworthy Repositories Audit & Certification: Criteria and Checklist. Chicago, IL, CRL. p. 75. Accessed August 29, 2007 http://www.crl.edu/content.asp?l1=13&l2=58&l3=162&l4=91)
**SECTION G: Digital Collections: Rights**

This section examines your institution's legal and moral right to undertake the actions necessary for digital preservation (for example, copying files, changing file format, migrating data to newer equipment, operating systems, and software, etc.).

Rate the extent to which the following statements are accurate, using a scale of 1 (meaning Not At All Accurate) to 5 (meaning Very Accurate):

<table>
<thead>
<tr>
<th>Statement</th>
<th>Not at All Accurate</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>Very Accurate</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. We consider copyright and intellectual property concerns in managing digital materials.</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☑</td>
</tr>
<tr>
<td>b. We feel confident making copyright licensing and digital copyright decisions about our digital collections.</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>c. Copyright and licensing concerns deter us from creating and preserving digital collections.</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>d. We record and maintain rights metadata to limit delivery of collections to authorized users.</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
</tbody>
</table>