WORKING DRAFT 2 – 12 February 2004
University of Kansas
Data Collection Manual for Digital Assets

I.   **Definition of a university digital asset**
II.   **The lifecycle of a digital asset**
III.   **Digital asset attributes**
IV.   **University policy and guidelines for digital asset preservation [TO BE DEVELOPED]**
V.   **Sample record [TO BE DEVELOPED]**

I.   **Definition of a university digital asset**.
A digital asset is an electronic object that has value for some purpose. It may have been created digitally or it may have been digitized from a non-digital original source. Examples of digital assets include word processing documents, databases, websites, organizational records, digital recordings of musical performances, etc.

To become part of the University's digital preservation program, a digital asset must support (directly or indirectly) the University's fundamental instructional, research, or public service missions. A digital object should be considered a University Digital Asset if it satisfies one or more of the following criteria:
* It was created in fulfillment of the research, teaching, or creative work of University faculty, staff, or students;
* It is relevant to the planning, managing, operating, controlling, or auditing of administrative functions of an administrative or academic unit of the University;
* It was purchased or licensed by the university in fulfillment of an academic or administrative function under a contract that permits continuing use of the asset (for example, certain electronic journals licensed through the University Libraries).

Not all University digital assets will have equal priority for preservation. This working definition of "University digital asset" establishes minimum conditions for eligibility and does not determine any additional conditions that an object may need to meet to be included in the preservation program or set priorities for preservation.

Notes:
A digital object is defined for the purposes of this document as something (e.g., an image, an audio recording, a text document) that has been digitally encoded and integrated with metadata to support discovery, use, and storage of those objects. It should be noted that there is an important distinction between digital objects (e.g., an encoded text document or a digitized image) and the digital collections to which they belong. The distinction between digital objects and digital collections is analogous to the distinction between a collection of works by Arthur Conan Doyle and a particular copy of the Hound of the Baskervilles. Continuing the analogy, this document would describe standards for the description, structure and content of the digital Hound. This document, however, would be silent on how to represent the fact that A Study in Scarlet was also part of the collection. Metadata is an important component of digital objects, as it supports the discovery, use, storage, and migration of these objects over time. Metadata must be collected and associated with each digital object as part of the collection development process. Two types of digital objects may be created, simple objects or single files, such as a digital image collection, and complex objects such as a digital books which include many files that are related and linked to one another in a specific order. It is important to make a distinction between the individual image files created in a digitization project and a digital library object which is the aggregation of digitized content and its related metadata. For example, a digital book object could include

hundreds of page image files and metadata which describes their relationship to one another. [Adapted from text prepared by the California Digital Library]

For the purposes of this investigation, digital assets of the University's affiliated corporations (Athletic Corporation, Endowment Association, Alumni Association, KUCR, Kansas Unions) will be considered University assets, on the grounds that these corporations exist to fulfill the mission of the University. However, these affiliated assets may not meet additional conditions required for preservation.

To be a "University digital asset" it is not necessary that the University own the intellectual property in question (example: research papers written by faculty members may be University assets). However, it might be necessary, before the University can implement preservation measures for the asset, that the owner grant certain permissions to the University.

II.   The lifecycle of a digital asset

The lifecycle of a digital asset can be described with the following phases:

- **Creation.** The asset is created
- **Storage.** The asset is stored on digital media in such a way that it can be shared or secured as needed and appropriate in a digital format.
- **Maintenance.** The digital asset and its related objects necessary for using the asset are maintained in a manner that digital media and software are upgraded and kept up-to-date.
- **Use and Access (Active files).** The asset is actively used. Rules about access to the asset, personal privacy issues, and an understanding of who benefits from access to the asset are established.
- **Preservation or Disposal.** The asset is assessed on its appropriateness for preservation or disposal. Does it meet the minimal requirements for preserving electronic records as evidence of business or administrative actions or important in the documentation of an institution's history? Does if fall under statutory regulations?
- **Use and Access (Preservation files).** The preserved asset is used as needed. Rules about the method of preservation, access to the asset, personal privacy issues, and an understanding of who benefits from access to the asset are established.

Digital Asset Inventory

ID#: _____

(office use only)

III.   Digital asset attributes

Attributes are characteristics that describe a specific asset. They need to be collected for the inventory of university digital assets that have been preserved. Please answer the following questions about your specific asset.

Please provide a general description of the digital asset:

Primary intent or audience of the asset:

Assets are created for a particular purpose. Please select one or more of the mission-related purposes below. If the asset has another or additional purpose, please describe it under Other.

- ❑ Learning
- ❑ Instruction
- ❑ Service
- ❑ Administrative support
- ❑ Research support
- ❑ Other

Please check the appropriate content type(s) that best describe this asset:

Note: This is the list provided by Richard that will be replaced by whatever thesaurus he and Becky find. I've just included it here as a place holder.

- ☐ animation
- ☐ article
- ☐ book
- ☐ book chapter
- ☐ budget
- ☐ catalog, bibliographic
- ☐ catalog, artifact or specimen
- ☐ course site
- ☐ course catalog
- ☐ course timetable
- ☐ dataset (non-spatial)
- ☐ dataset (spatial)
- ☐ directory
- ☐ email message
- ☐ handbook
- ☐ financial report
- ☐ grant application
- ☐ grant report
- ☐ learning object

☐ image
☐ image 3d
☐ map
☐ musical score
☐ plan or blueprint
☐ preprint
☐ presentation (visual/multimedia)
☐ recording, acoustical
☐ recording, musical
☐ recording, oral
☐ software (executable program)
☐ speech (text)
☐ technical report
☐ thesis
☐ transcript
☐ video
☐ website
☐ working paper

Technical characteristics:
1. What media does the asset reside on?
   - ❑ Mainframe
   - ❑ Server hard disk
   - ❑ Zip disk
   - ❑ CD-ROM
   - ❑ DVD
   - ❑ Tape
   - ❑ Other
2. What is the file format of the asset?
   - ❑ Word processing document
     - ❑ MS Word
     - ❑ Word Perfect
     - ❑ Other
   - ❑ Spreadsheet
     - ❑ MS Excel
     - ❑ Other
   - ❑ Presentation
     - ❑ MS Powerpoint
     - ❑ Other
   - ❑ Database
     - ❑ MS Access
     - ❑ Filemaker Pro
     - ❑ MS SQL
     - ❑ Oracle
     - ❑ Informix
     - ❑ mySQL
     - ❑ Other
   - ❑ Graphic file
     - ❑ .jpg
     - ❑ .gif
     - ❑ .tif
     - ❑ Other
   - ❑ Other
3. Does the asset require a specific Operating System? If yes, which one?
   - ❑ MS Windows (ver _____)

- ❑ MAC OS (ver _____)
- ❑ Linux
- ❑ Unix _____ (type, e.g., Solaris, DecAlpha, etc.)
- ❑ OS/390
- ❑ Other _____

4. Does the asset require a specific software application? If yes, which one?
    - ❑ _____?
    - ❑ _____?
    - ❑ _____?
    - ❑ Other

Note: The above list of technical attributes is not complete.

Presence of confidential or sensitive data:
1. Does this asset contain patient-identifiable data (PHI as defined by HIPAA)? *Note: include definition (or link to definition) of PHI and HIPAA*
    - ❑ Yes
    - ❑ No
2. Does this asset contain student-identifiable data regulated by FERPA? *Note: include definition (or link to definition) of FERPA*
    - ❑ Yes
    - ❑ No
3. Does this asset contain other confidential/sensitive data such as SSN, Employee ID, other?
    - ❑ If yes, then please enter a description(s) of the confidential/sensitive data.
    - ❑ No
4. Is access to this asset restricted in some other fashion? *Note: include explanation of what we mean by restricted such as…Access to an asset is considered to be restricted if it is given to only a defined set of people or if it is given only after applying for and receiving a userid and password.*
    - ❑ If yes, then…
        - o For what reason?
        - o By what means?
    - ❑ No

Strategies currently in place to preserve the asset:
Please describe any strategies currently in place for preserving the asset:
1. Back-up and recovery by
    - ❑ No current strategies exist.
    - ❑ Unix dump
    - ❑ Floppy disks
    - ❑ Desktop backup management
    - ❑ Copy to CD-ROM
    - ❑ Copy to backup tape (DLT)
2. Availability:
    - ❑ Single data source, no redundancy
    - ❑ Redundant array of independent disks (RAID)
    - ❑ Data caching
    - ❑ Server mirroring
    - ❑ Disk mirroring
    - ❑ Storage area network (SAN)
    - ❑ Clustering

Relationships to other digital or non-digital assets:

Does this asset have any of the relationships described below? If so, please include an explanation of the relationship in the space provided. (I'm assuming that each asset will receive some kind of ID number which we would use to relate to others).

1. Parent: Is the asset the source from which some other asset is derived or created?
   - ❑ If yes, then provide explanation _____
     - o Provide Asset Inventory #'s for related child assets
       - ▪ _____
       - ▪ _____
   - ❑ No
2. Child: Is the asset derived from one or more digital objects?
   - ❑ If yes, then provide explanation _____
     - o Provide Asset Inventory #'s for related parent asset
       - ▪ _____
   - ❑ No
3. Copy: Is the asset an exact copy of the same asset held elsewhere?
   - ❑ If yes, then provide explanation _____
   - ❑ No
4. Sibling: Does the asset require one or more other assets for usage, that it is not a parent or a child to?
   - ❑ If yes, then provide explanation_____
     - o Related assets Inventory #'s
       - ▪ _____
       - ▪ _____
       - ▪ _____
   - ❑ No
5. Dependencies: Does use of the asset require anything else for usage not already noted in this inventory (unique software or hardware)?
   - ❑ If yes, then provide explanation _____
   _____
   - ❑ No

Primary roles related to the asset:
Many individuals and/or units are required to create, maintain and use an asset throughout its lifecycle. Please list the appropriate job title and department for the individual(s) in each of the roles below.

Creator: the individual who authored, performed, or otherwise created the work
        Department: _____
        Jobtitle: _____
        Person: _____

Sponsor: entity which commissioned or funded the creation of the work, and is interested in the continued accessibility of the work by future generations??
        Department: _____
        Jobtitle: _____
        Person: _____

Maintainer: individual(s) responsible for routine backups of data supporting the created work.
May be creator, data steward, technical support staff, or LAN Support Services.
        Department: _____
        Jobtitle: _____
        Person: _____

Data Steward: individual responsible for maintaining records and data relating to or supporting the created work; enables access to the work and ensures preservation

Department: _____

Jobtitle: _____

Person: _____

User: individual who wishes to access the created work either now or at some point in the future

Department: _____

Jobtitle: _____

Person: _____

Intellectual Property Owner: that entity which holds the intellectual property rights of the created work. May be creator, University, or a third party.

Department: _____

Jobtitle: _____

Person: _____