Template for submission policies

Theme	submission policy
Name	Name of Submission policy
Version of submission policy	X.X
Date of agreement	DD.MM.YYYY
Revision Date	one year after date of agreement
Owner	responsible organisation unit
Donating body	Team/institution xyz
Corresponding contract / Memorandum of Understanding	Contract name Contract date
Approved by	responsible managers of both sides
Date of approvement	
Applicable to following collections	Collection ID

1. Description of data storage

1.1 Content

Description of data storage (folder names / directory structure / path names), the material types deposited there, and the applicable licence texts and versions in each case.

1.1.1 Directory tree of the organizational/structuring directory structure (without data packages)

Directory tree starting from the top directory of the data storage up to the level above the data packages

1.1.2 Overview of the collection structure

Path	Collection ID*	Collection / material type	Subcollection	Legal basis of archiving	Access rights in Rosetta (Access Rights)	Usage rights (dcterms: accessRights)	Password-protected files

	Digital reproductions_in the public domain						
	123						
	Published literature_licence agreement_XY_with_PW						

*A collection ID corresponds to an ingest process for data packages with identical ingest parameterisation.

1.1.3 Licence texts and versions

Overview of the licence terms applicable to objects in the collection.

License temrs	documented as	key value	Associated collection ID
Right of access to the document as granted by the producer	dcterms: accessRights		
Legal basis of archiving	dc:rights		
Name of the Submission Agreement	dcterms:license		

1.2 Metadata

Description of metadata delivered (use of the GVK interface, description of additional metadata with the metadata standard)

1.2.1 Use of the K10plus interface

Collection ID	Use of the K10plus interface
	Yes/no

1.2.2 Additional metadata delivered

Collection ID	dc.xml	Source metadata with the metadata standard
	Yes/no	*Dublin Core/METS/MODS/EAD/Other*

Mapping specification

Element Name	Element description	Mandatory (M = Mandatory, O = Optional)	repeatable (Y = Yes, N = No)	Example	Dublin Core Element	String building

1.3 Structure

Structure of data packages in data storage (agreed structure and responsibilities)

1.3.1 Data model of the agreed data structure(s)

The donating body is responsible for creating the agreed data structure. TIB's Digital Preservation team checks the delivered packages for conformity with the agreed data structure. Non-compliant packages are sent back to the donating body by the Digital Preservation team.

Generic data model (1-n)

1.3.2 Assignment of collections to the corresponding SIP specification

Collection ID	SIP specification
	1 file with identifier
	1-n representations with 1-n files or complex data structures

	1-n files with metadata via OAI interface

1.2.3 Metadata Profile

Descriptive MD Elements	DNX Elements

2. Configuration and ingest parameterisation

Assignment of the collection structure in the donating body's data storage for ingest parameterisation in the digital preservation system

Collection ID	Collection	Subcollection	Institution	Department	Producer	dcterms: license	Boilerplate	Material flow	Approval group	User defined A	User defined B	IE entity type
Digital reproductions_in the public domain	*Digital reproductions*	*In the public domain*	*XYZ*	*Retro-digitisation*	*XYZ retro-digitisation*	*XYZ_in the public domain_under_Section_64_German Copyright Act (UrhG)*	*Submission policy_with_XYZ*	*METS_deposit*	*Default*	*XYZ_digital reproductions*	---	*Book*

3. Representations

Description of representations to be recorded (name of representation, content, assignment of files/directories from the collection to the representations)

Representation	Description
MASTER	*Original files*
MODIFIED_MASTER	*Modified copy of original files before ingest*
DERIVATIVE_COPY	*Access copy*
OCR	*OCR*
...	*Additional representations can be created.*

	Collection ID	MASTER	MODIFIED_MASTER	DERIVATIVE_COPY	OCR	Additional representations
Content	*Digital reproductions_in the public domain*	*TIFF files*	---	*JPEG files*	*XML files with OCR*	---
	123	*1-n PDF files in the "Original" directory*	*1-n PDF files in the "edited" directory with additionally created title page*	*1-n PDF files from the "edited" directory are compressed into 1 PDF file for the presentation platform*	---	---

4. Transfer of legacy holdings (already existing data)

4.1 Data transfer

Description of the legacy data transfer (existing data at the time of the initial transfer)

Transfer type	Transmission interval	Location
SFTP / transmission from hard disk	*Daily/monthly/.../annually*	

4.2 Submission procedure

Description of the submission procedure for the first delivery as well as regular additions

Submission interval: daily/weekly/monthly/quarterly/half-yearly/annually *(Delete where inapplicable)*

Collection ID	Submission procedure
	Manual/automatic

5. Transfer of newly received data (new additions)

5.1 new additions

Description of the takeover of new additions and the takeover procedure (takeover in a fixed time cycle of stocks added since the initial takeover)

Transfer type	Transmission interval	Location
SFTP / transmission from hard disk	*Daily/monthly/.../annually*	

5.2 Submission procedure

Description of the submission procedure for the first delivery as well as regular additions

Submission interval: daily/weekly/monthly/quarterly/half-yearly/annually *(Delete where inapplicable)*

Collection ID	Submission procedure
	Manual/automatic

6. Preservation level

*Description of the existing conservation levels and allocation of the conservation levels to the individual stocks*The following conservation levels have been agreed. Restrictions apply to password-protected files. If password protection prevents preservation measures, only Bitstream Preservation can be guaranteed for these files. Password-protected files must be identified by the submitting institution and reported to the TIB's long-term archiving team when the data is transferred. They are marked with corresponding metadata in the long-term archiving system.

Preservation level	Description	Concerns
Full preservation	Preservation of data flow and content by preservation management	Files without password protection
Bit preservation	Preservation of the data flow	Password-protected files and proprietary file formats

Collection ID	Preservation level
	Full preservation / bit preservation / a mixture of both

Collection ID	Directory name for pw-protected files	Path

7. Reporting

Description of the elements and frequency of reports

Report following data submission

A report is created each time a data delivery is transmitted. Where needed, a report can be created for each collection ID.

The package name is the directory name of the delivered data package, as described in 1.1.1.

Package name	SIP ID in the system	Status

Report during operations

A report on the donating body's collections or subcollections can be created during DP operations, by arrangement. The desired content must be agreed with TIB's Digital Preservation team.

Reporting interval	Package name	ID in the system	Agreed content of report

8. Export

Description of export

Packages can be exported from the DP system. The following options are available:

- Complete export of a package with all representations, including all metadata, in the form of an METS-XML
- Export of individual representations, including all metadata, in the form of an METS-XML

The donating body defines the desired form of export for individual packages.

Export can be performed quarterly using the routines currently available in the program. In the process, all newly created packages and packages that have been modified during this period are exported for that interval (quarter).

Packages are exported in the structure in which they were ingested. Export of an individual AIP is based on the "File Original Path" element. "File Original Path" contains the original name of the data package. The package name is the directory name of the delivered data package, as described in 1.1.1. On this basis, the original directory structure is reconstructed during export. Packages are compressed into subcollections based on the metadata assigned in ingest parameterisation, ensuring preservation of the structure of subcollections (see 1.1.2 Overview of the collection structure).

In the event of the export of a service user's whole collection from TIB's digital archive, the contract regulates the relevant deadlines and lead times.

The exit scenario is the complete export of all of the donating body's archived objects. The exit strategy is based on the export functions described above.