ADS DEACCESSION AND DATA DISPOSAL POLICY

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Contents

Glossary

Accession	The formal act of accepting a dataset or object into the ADS repository system
ADS	Archaeology Data Service
ADS-easy	A web-based application which allows Depositors to upload data the ADS
AIP	Archival Information Package
DIP	Dissemination Information Package
Depositor	The person or persons responsible for submitting data to the ADS
Metadata	Descriptive information about data
NFS	Networked File Storage
Object	The basic unit of digital information, for example a Report
SIP	Submission Information Package
VM	Virtual Machine

1. Introduction

This document defines the situations in which data can be removed from the Archaeology Data Service (ADS), and the ethical and legal obligations of the ADS and the Depositor. This includes formal deaccessioning (i.e. the removal of accessioned data), and removal of data that has been submitted for review or assessment but not formally accessioned.

2. Scope of document and relations

This document is focused solely on defining ADS Policy on the events that require removal of non accessioned or accessioned data from the ADS. This document is intended to act as a resource so that all ADS staff and external Depositors understand the core workflows and requirements. This document does not cover the technical detail and tasks required to remove data. Instructions on how to remove data are in the ADS Deaccession Procedure document.

This document refers to, and where relevant, will be read in conjunction with the following ADS Policy:

- The ADS Collections Policy

- The ADS Ingest Manual

- ADS Assessment and Appraisal Policy

In particular, the ADS Ingest Manual and Assessment and Appraisal Policy define the operations and policy for review and accession.

3. Ingest systems and definitions of services

The document covers the following methods for delivering data to the ADS.

- Traditional supply of data via physical media or online delivery (FTP etc) that is not using the ADS-easy or OASIS applications.

- ADS-easy: an online application for delivery of small to medium scale datasets to the ADS.

- OASIS: an online application which facilitates the delivery of unpublished fieldwork reports to the ADS.

Once accessioned all data archived by the ADS follows the same workflow (see ADS Ingest Manual and ADS Preservation Policy). However internal ADS nomenclature can differ depending on the type of collection and interface delivery.

- ADS Archives: files presented as a collection of objects under a single licence.
- Library Collections: Journal of Monograph Series that are updated on a periodic basis, archived as part of a single collection, and made available via a defined space in the ADS Library.
- OASIS reports: Collections of reports delivered via OASIS that are grouped under a single creator or publisher, archived as part of a single collection, and made available via a defined space in the ADS Library.

4. Disposal of non-accessioned data

4.1. Definition

Non-accessioned data is the broad term that covers all data submitted to the ADS via all ingest methods, but that is never formally accessioned as described in the ADS Ingest Manual.

Normally, the accession does not occur as data has stalled during the phase of work known as Assessment and Appraisal, a distinct phase of ingest and a precursor to a formal accession event itself. In certain circumstances, data is submitted for informal review or comment but never intended to be the final product.

In any case where data is held for assessment, then the data is moved to a designated space within the ADS NFS or in some cases a local file store.

For the ADS-easy and OASIS applications, files uploaded by the external user are held on a separate VM or section of the ADS NFS, where they reside until formally accessioned as part of the ingest process for those specific applications.

For the sake of this document, all of these spaces named above are referred to as **Temporary Holdings**.

It will be clearly understood that data held in a Temporary Holdings space - including ADS-easy and OASIS - has not yet been formally accessioned.

4.2. Removal of data following unsuccessful accession

In cases where pre-accession data assessment does not lead to the accession of data then in line with the ADS Assessment and Appraisal Policy (Section 5.2) an initial email with required actions will be sent to the Depositor. This may be but is not limited to:

- A missing deposit licence.

- A request for additional or revised metadata.

- A request for replacement files.

- A request for clarification of sensitive or personal data included within the archive.

If no response to the first email is received then a second email request for the additional/replacement data, metadata or documentation will be issued **30 days** after the initial request.

If no response is forthcoming within **30 days** of the second request, the Collections Development Manager will be informed. The Collections Development Manager will then issue a third, and final, request for the submission of the additional, replacement or updated data/documentation. This gives the depositor **14 days** to respond, before the process of accession will cease and the data will be removed. If a Deposit Agreement has been signed, notice of termination of the agreement will be sent and **a six month** notice period given.

Notification of the intention to stop the accession and delete the data will immediately follow once the relevant deadline has elapsed. This notification will clearly state the motivation for the decision and outline the procedures brought into effect.

All email notifications and discussions will be recorded within the ADS Collections Management System (CMS), and the retention of any emails will form part of the Documentation process (See **Section 9**).

Disposal of data will follow the Policy in **Section 4.5** Disposing incomplete accessions.

In the absence of the Collections Development Manager, the Deputy Director or Director will issue further requests for action.

4.3. Removal of data from incomplete ADS-easy projects

In certain situations a project in ADS-easy will never be completed, and in effect never makes it through to the formal review stage prior to accession.

An incomplete ADS-easy project is defined as where a record has not been submitted/completed, and also not updated for 3 years.

In these cases a notification of intent to remove the data 30 days from ADS-easy will be issued. Unless a clear indication that the project is to be submitted is received, all data will be removed from ADS-easy within 30 days from the sending of the notification, see the Policy in **Section 4.5** Disposing incomplete accessions.

4.4. Removal of non accessioned OASIS reports

A specific part of this Policy is reserved for OASIS reports, where any of the following have been identified:

- The report does not match the metadata

- The report is corrupted / has serious technical error

- The report contains any other sensitive material, as classified in the Assessment and Appraisal Policy.

Where a report uploaded via OASIS has been flagged as problematic and not suitable for accession, the user will be notified *via the OASIS system* and the report immediately removed from ADS Temporary Holdings following the Policy in **Section 4.5** Disposing incomplete accessions. It is important to note that this does not remove the report from the OASIS application, but simply marks the report as not being suitable for archive and public release. The removal of a report from the OASIS application can only be made upon request (see Terms of Service for OASIS), or by the creator, local authority reviewer, or the national heritage organisation.

4.5. Disposing incomplete accessions

If the project was submitted, but ultimately unsuccessful, then the contents of the submitted dataset will be recorded by creating a 'data log' of the SIP following the process outlined for the creation of a deposit receipt file list. The CMS will include a copy of this documentation.

If the Depositor has requested a return of the data submitted, then a copy of the data will be returned to the depositor following an agreed plan of data transferal. Any exchange of data will include a copy of the data log/data receipt, alongside an email acknowledging the return of the dataset. The transfer will include a data receipt, signed by the depositor and returned to the ADS, to acknowledge receipt of the dataset. Any transfer of data will include the return of any physical media. The retention of all documentation within the CMS is essential.

For any removal of incomplete accessions, the entirety of what was submitted will be removed from ADS Temporary Holdings. Providing that all the above steps are completed, removal of the data from ADS Temporary Holdings does not need formal acknowledgement from the Depositor, however any such acknowledgement will still be recorded in the documentation (see **Section 9**).

4.6. Disposal of local copies of data following a successful accession

After data has been successfully accessioned and archived there may be local or temporary copies of data stored in ADS Temporary Holdings. The retention of the dataset within Temporary Holdings - including the ADS-easy or OASIS applications - continues until Archival Information Package (AIP) and Dissemination Information Package (DIP) are complete, the archive has been released and the dataset has been transferred to ADS deep/offsite storage.

Following this process data will be deleted from Temporary Holdings by the Digital Archivist responsible for the creation of the AIP within 30 days of the data being publicly released. No notification to the original Depositor is required.

5. Removal of data from SIP (deaccession) only

5.1. Definition

There are some circumstances where the accession of data has been completed, but before work on the archive is completed and the archive publicly released, that requires data to be deaccessioned.

Such requests typically follow a request by the depositor; although in rare circumstances may be the result of a lack of funding to carry out the preservation work, or identification post-accession of a serious issue within the archive that has not been responded to by the depositor.

5.2. Notification

If the decision to remove data from an accession comes from the original Depositor, then a request to remove data from an accessioned project will be made in writing by the Depositor to the ADS Collections Development Manager. The Collections Development Manager may then issue a formal email requesting information for the removal of the dataset.

If the decision to deaccession the dataset is from the ADS, such as a lack of funding or response from the depositor on a key issue, the Collections Development Manager will follow the same notification process as set out in **Section 4.2**.

Repository staff will document all discussions concerning the removal of the dataset within the CMS (see **Section 9**).

5.3. Removal of data

On receipt of the transfer receipt and acknowledgement, the deaccession and removal of data from the repository servers can commence. This will follow the ADS Deaccession Procedure.

Staff will ensure the retention of all documentation, particularly the transfer receipt, within the CMS (see **Section 9**).

A final email from the repository will notify the depositor of the complete removal of the dataset from ADS servers and the completion of the deaccession process.

6. Removal of individual files from AIP and DIP

6.1. Definition

This Policy covers scenarios where data has been archived and publicly released, but a request to remove single objects has been received, including individual reports deposited via OASIS. Requests may come from the original Depositor or a user who wishes to raise a complaint about the data itself, for example breach of copyright.

6.2. Notification from User

A request to remove data from the ADS archive from someone other than the Depositor or Copyright Holder will be made in writing to the ADS, clearly stating the reason for said removal.

The Collections Development Manager will issue a holding response acknowledging receipt of the request and outlining that repository staff will conduct an appraisal of the record, and the associated dataset, and a response will be forthcoming.

A Digital Archivist will conduct a reappraisal of the record, and the associated collection, and report the outcome to the Collections Development Manager. Where it is felt the complaint has foundation the Collections Development Manager will contact the depositor and propose redaction of any sensitive information or the removal of the object(s) in entirety. A response will be sought from the depositor(s) within 5 working days. If no response is received then the object(s) will be redacted (i.e. withheld from public access) but not deleted unless a different outcome is required to meet legal requirements in England and Wales. In the event of any serious breach of the ADS Deposit Agreement which cannot be remedied within 30 days, ADS may Terminate the Deposit Agreement.

6.3. Notification from Depositor

A request to remove files from an ADS archive will be made in writing to the ADS, clearly stating the reason for said removal.

The Collections Development Manager will issue a holding response acknowledging receipt of the request and outlining that repository staff will conduct an appraisal of the record, and the associated dataset, and a response will be forthcoming.

A Digital Archivist will conduct an appraisal of the request, and report the likely impact to the Collections Development Manager. Where the depositor(s) agree with the repository's findings, an agreement will be sought, and a plan arranged, on the best approach to address the issue. This will include information on any additional charges incurred to update the resource or dataset.

Where changes are complex and/or significant it may be pertinent for the depositor to supply replacement copies of any affected files. Any new or replacement data will be treated in accordance with processes outlined within the Ingest Manual.

6.4. Removal of data

Once agreement has been made for the removal or replacement of data and appropriate notifications given, a Digital Archivist will implement the agreed plan. All changes will be in accordance with the ADS Deaccession Procedures document.

On completion of the deaccession process, notification of the outcomes of the appraisal, discussions with the depositor, and the subsequent change(s) will be forwarded to the original correspondent.

Unless otherwise agreed, no replaced or removed files will be returned or sent to the original depositor.

Staff will ensure the retention of all documentation relating to this event (see **Section 9**).

7. Complete removal of a released dataset

7.1. Definition

The deaccession of a collection following the completion of preservation activities and publication of the dataset is rare and only carried out in exceptional circumstances. In these circumstances, the process of deaccession is a more complex problem necessitating updates to archive web interfaces, DOIs and any catalogues where the dataset is exposed.

7.2. Notification process

A request to remove an entire dataset can only be made by the Depositor or Copyright Holder.

A request to remove an ADS archive has to be made in writing to the ADS, clearly stating the reason for said removal.

If a request to remove a collection is received the issuing of a holding response to the depositor acknowledging receipt of the email will be issued. This email will include a notification that repository staff will conduct a reappraisal of the dataset and will formally respond once that review is complete.

A Digital Archivist will conduct an assessment of the collection and will report the outcome of the assessment and likely impact to the Collections Development Manager.

The Collections Development Manager will report the outcome of the assessment to the Depositor. This report will document key findings from the assessment process, such as the timescale for removing large collections.

In some instances, the Collections Development Manager may decide that consultation with identifiable stakeholders who have a legal or ethical interest in the dataset is required. This may include:

- Any data creators responsible for the creation of the dataset.

- Any funders of the research who require it to be preserved in perpetuity.

- Any organisation(s) under whose auspices the research was carried out and who may continue to hold responsibility for the dataset.

- Any individual setting out the requirement for deposition or preservation.

These discussions will commence prior to any data removal or formal deaccession

Following agreement between the above parties a plan for the timeline of removal of the dataset will be finalised. This will include information on any additional charges incurred by the decision to deaccession the dataset, and clear instruction on if the SIP, AIP and DIP will be returned to the Depositor.

Repository staff will document all discussions concerning the removal of the dataset within the CMS.

7.3. Removal of data

A Digital Archivist will implement the agreed plan. All changes will be in accordance with the ADS Deaccession Procedures document.

Repository staff will document all discussions concerning the removal of the dataset within the CMS (see **Section 9**).

8. DOIs and metadata

It is ADS Policy to ensure that anyone that has citations to resources that have subsequently been removed are retained, and furthermore that the provenance of the deaccession or removal is recorded within all associated metadata.

Persistent Identifiers (i.e. DOIs) for any removed content will remain in place, and will in no case be removed.

The ADS will update all required internal metadata to indicate that the resource has been removed. This will be replicated in DataCite metadata, and any external aggregators or metadata services.

9. Documenting removal events

Repository staff will ensure the provision of a clear record of any discussions concerning the removal of the dataset within the CMS (and the archive file store). The retention of any emails will form part of that documentation process to ensure a detailed information trail. All documentation will be stored in accordance with the Repository Operations Manual.