



## **Portico Appraisal, Accessioning and Arrangement Policy**

### **1. Policy Statement**

- 1.1. Portico will preserve the intellectual content of items submitted to it for preservation in a manner which will allow the item to be recreated or rendered on current or future delivery platforms. The intellectual content of preserved items will not be disturbed through Portico's ingest and migration processes. This statement guides all of our appraisal, accessioning and arrangement decisions.
- 1.2. In order to aid appraisal and arrangement decisions, Portico requires a minimal set of descriptive metadata be provided with each preserved content unit:
  - Title
  - Identifier (in the case of e-journals, an ISSN or a publisher specific identifier that Portico can map to an ISSN is required)
  - Publication year
- 1.3. Appraisal, collection level – Portico selects content areas in which to offer preservation services based upon internal analysis, market analysis, discussions with the community and guidance from the Ithaka Board and Portico Advisory Committee.
- 1.4. Appraisal, title level – In general, Portico does not appraise content at the title level. Rather, Portico preserves the entirety of a content provider's collection without evaluating the value of specific titles within that collection.
- 1.5. Accessioning – Portico accessions content at the collection level early in the preservation process. Before processing any content, Portico secures perpetual, archival rights to preserve said content through a license agreement.
- 1.6. Appraisal & arrangement, file level – Portico's file-specific appraisal and arrangement rules are tailored to the content being processed and can be configured both by content-type and by content provider.

### **2. Implementation Examples**

- 2.1. Per the Portico Content Modification and Deletion Policy, Portico will not substantively modify content. Portico will fix minor, identifiable problems that interfere with our ability to appraise and arrange the content in order to properly associate files with the correct archival unit. Portico does not change the scholarly record (for example, if a reference list was published with extra spaces or periods, that is how it is preserved at Portico).
- 2.2. Collection level appraisal example: After extensive discussions with the community, Portico selected e-journals as the first content-type in need of preservation. As of July 2009, Portico is also offering preservation services for e-books and digitized collections.
- 2.3. File level appraisal & arrangement example:
  - Portico applies strict appraisal and arrangement rules to e-journal content. The rules are configured on a content provider by content provider basis in tailored mark-up transforms and profiles, in order to accommodate the unique styles of individual publishers. These rules include instructions to the system on how to group objects into functional units and what objects can be excluded and not preserved. These rules go through an extensive review process by the team that drafts them, by senior members of the data team, and by the archive services product manager. The e-



journal content-type is configured such that when content does not match the rules, an error is thrown during ingestion and must be manually resolved. E-journal content will not move into the archive until it is error free. Portico preserves the original submission files exactly as provided in any case in which we apply an exclusion rule, in addition to preserving the processed archival unit.

- Portico will decide on a content-type by content-type basis whether strict or lax appraisal and arrangement rules will apply. As with the e-journal and e-book content-types, new content-types will also have specific rules for each content provider – allowing Portico to tailor the ingest process as needed.

**3. Definitions**

- 3.1. Appraisal: “The process of determining whether records and other materials have permanent (archival) value.”<sup>a</sup> The appraisal process determines what content will be preserved and for how long and what content may be otherwise disposed.
- 3.2. Accessioning: The process of establishing “legal, physical, and intellectual control over the collection.”<sup>b</sup>
- 3.3. Arrangement: “The process of organizing records and papers to reveal their contents and significance.”<sup>c</sup>

**4. References**

- a. Pearce-Moses, Richard. *A Glossary of Archival and Records Terminology*. (2005). [http://www.archivists.org/glossary/term\\_details.asp?DefinitionKey=3](http://www.archivists.org/glossary/term_details.asp?DefinitionKey=3) (Accessed Apr 22, 2008).
- b. Hunter, Gregory S. *Developing and Maintaining Practical Archives*. 2nd ed. Vol. 122, *How-To-Do-It Manuals for Librarians*. New York, NY: Neal-Schuman Publishers, Inc., 2003., p. 87.
- c. Ibid. p. 113.

**5. Document History**

- 5.1. Approved by: Amy Kirchhoff
- 5.2. Last Review Date: 8/5/2009
- 5.3. Reviewed by: Stephanie Orphan, Sheila Morrissey
- 5.4. Change history:

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0.1	7/21/2009	Drafted.	Amy Kirchhoff
1.0*	7/28/2009	Made mods per Stephanie and Sheila. Synched with Portico Content Modification and Deletion Policy.	Amy Kirchhoff
1.1*	8/5/2009	Added reviewed by line.	Amy Kirchhoff

\* An approved version of this document.