

---

## Preparing to Submit Objects to the Digital Preservation Repository

To prepare an inventory of digital objects for preservation in the Digital Preservation Repository (DPR), staff from the submitting library and the DPR work together to assemble information about the inventory and to make some decisions about how the inventory will be packaged for preservation and who will have access to it. Through a series of discussions, the DPR and the library produce a set of documents that describe the inventory and grant the DPR the right to preserve it. The documents, briefly defined here, are discussed in more detail below, along with some key decisions you'll need to make as part of the pre-submission process.

- **Digital Assets Submission Agreement:** A legal document through which the library grants the DPR the right to electronically preserve assets for preservation purposes (see “Digital Assets Submission Agreement” on [page 3](#)).
- **Pre-Submission Worksheet:** A form filled out by the library that provides information about rights and specifies the number of files, metadata schema(s), METS profile(s), and proposed method of transmission. This worksheet also identifies contacts and login rights for representatives of the library (see “Pre-Submission Worksheet” on [page 4](#)).
- **Inventory Definition:** A document signed by the library and DPR staff that officially describes an inventory and provides a formal record of the decisions arrived at during the pre-submission process (see “Inventory Definition Document” on [page 4](#)).

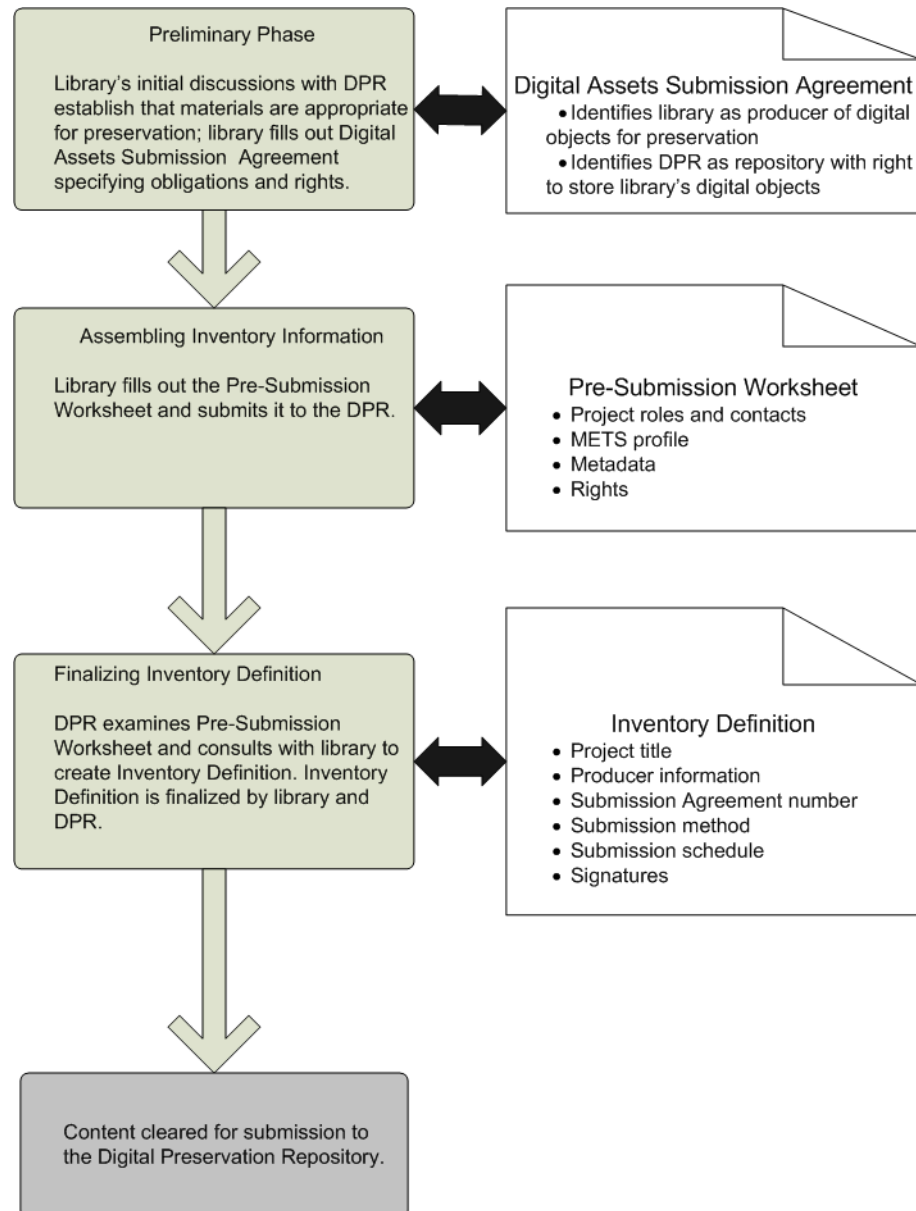
---

## Pre-Submission Process

This section outlines the DPR’s pre-submission process, and describes the agreements and documents it produces. As Figure 1 shows, the phases of the pre-submission process are:

- “Preliminary Phase” on [page 2](#)
- “Assembling Inventory Information” on [page 3](#)

- “Finalizing the Inventory Definition” on [page 5](#)



**Figure 1: Pre-Submission Workflow**

## Preliminary Phase

A library representative initiates the process of submitting a set of objects—called an inventory in DPR documentation—for preservation by mailing a query to [ucldpr@ucop.edu](mailto:ucldpr@ucop.edu) or calling (510) 987-0456.

After determining that an inventory is appropriate for the repository, the DPR requests a Digital Assets Submission Agreement registering the library as the “producer” of a digital inventory for the repository. In some cases, referencing

a previously signed and recorded Digital Assets Submission Agreement is sufficient.

## Digital Assets Submission Agreement

The Digital Assets Submission Agreement [[PDF](#)] is a legal agreement a library fills out to begin the process of submitting inventories for preservation in the DPR. It serves the following functions:

- Identifies the library as producer of digital objects for preservation
- Includes an indemnity statement that protects the University of California should any third-party rights infringement occur
- Establishes the type of rights and license the library is giving the DPR
- The agreement does NOT transfer copyright to the DPR

### License Options

The License section of the agreement includes three options. The options, described in legal language in the agreement, are summarized here:

- Selecting option 3.1 grants the CDL the right to preserve and provide access to the inventory
- Selecting option 3.2 grants the CDL the right to preserve, provide access to, and redistribute the inventory
- Selecting option 3.1 grants the CDL the right to preserve the inventory

### Signatures

The agreement must be signed by a person in the library organization who has signature authority for contracts and legal agreements, usually the department head or organization director. The library completes and signs two copies of the agreement, and sends both to the DPR. A DPR representative countersigns both originals, and returns one to the library.

## Assembling Inventory Information

In this phase, the DPR requests the library's technical contact person to fill out a Pre-Submission Worksheet describing the inventory.

## Key Decisions Made During the Pre-Submission Period

### Rights Granted to CDL (Digital Assets Submission Agreement)

Whether executing a new Digital Assets Submission Agreement or referring to an existing agreement, you must decide which rights you are granting the CDL for a particular inventory.

## Copyright and Permissions

During the pre-submission process you will be asked about the copyright status of your objects and whether you have the right to deposit. Rights should belong to one of the following four categories:

- The content is in the public domain
- The copyright is held by the submitter
- The library has obtained permission from the copyright holder to deposit the object
- The submission is an exercise of the depositor's rights of use under Sections 107 and 108 of the U.S. Copyright Act

## User Roles and Access Levels

The DPR provides access to an inventory based on an authorized user's role. Each authorized user must be named and assigned a role of Administrator, Submitter, or Consumer. For definitions of these roles see the [Preservation Glossary](#).

## METS Profile

Presently, the DPR ingests content in the form of METS (Metadata Encoding and Transmission Standard) encoded digital objects. The DPR depends upon METS Profiles to successfully process submitted objects. (For more information about METS see the [METS web site](#).) METS profiles describe classes of METS digital objects that share common characteristics, such as content file formats (e.g., digital images, TEI texts) or metadata encoding formats (e.g., MODS or Dublin Core).

The DPR currently supports two METS profiles: [UCBImagedObjectProfile](#) and [UCBPagedTextObjectProfile](#). You may choose to use one of these two profiles, one of the other [registered profiles](#), or a profile of your own creation. Note that using a previously registered profile significantly streamlines the pre-submission process.

[CDL Guidelines for Digital Objects](#) contains further details regarding preparing digital objects for deposit in the DPR.

## Submission Method

The DPR offers three means by which libraries can submit objects and otherwise access its services:

- an HTML Interface for one-object-at-a-time processing
- a Java Toolkit to create customized or bulk access
- a SOAP Interface which allows you to integrate DPR submission and other services from within your library's own applications

For information about the Java and HTML interfaces, and for contact information to learn about the SOAP interface, go to <http://www.cdlib.org/inside/projects/preservation/dpr/>.

## Recording Pre-submission Decisions

The DPR assesses the Pre-Submission Worksheet from technical and legal perspectives, and then works with the library to refine details about METS profile, submission method, rights information, and any other questions and issues identified by the DPR or the library for the objects in the inventory.

The DPR records the agreements reached during this phase as a first draft of the Inventory Definition.

## Finalizing the Inventory Definition

The Inventory Definition formally records decisions about and attributes of an inventory of digital objects to be submitted to the DPR. A DPR representative compiles the Inventory Definition based on a library's Pre-Submission Worksheet and conversations with a library representative (usually the staff member most familiar with the technical details of the submission process, who may be an IT staffer, a librarian, or a project manager).

Once the Inventory Definition is finalized and signed, the submission of digital objects can begin.

## Preparing for Transmission

A CDL representative will discuss the transmission method with the library's technical representative.

The first batch of objects a library submits to the DPR are a kind of test transmission, monitored by CDL staff who check to make sure that transmission takes a reasonable amount of time and that the objects arrive undeformed by the transmission and with their metadata properly formatted. Further details about transmission can be found in the *Digital Preservation Repository Technical Overview*.

## Useful Links

- *Overview of the UC Libraries Digital Preservation Repository* [[PDF](#)]
- *Digital Preservation Repository Technical Overview*: [[PDF](#) tk]
- *Digital Assets Submission Agreement*: [[PDF](#)]
- *Digital Preservation Glossary* [[HTML](#)]
- E-mail the DPR: [ucl DPR@ucop.edu](mailto:ucl DPR@ucop.edu)