Data Management Statement (DMS)

FAQs on filling in the form

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Q – Are all of the policy documents under *'Related Policies'* mandatory?

A – It is recommended that the HER either has a specific document of this type or at least specifically referenced in an equivalent document held by the host authority. If, for example, a Business Continuity Plan is in place this will be a useful aid to assessing what action is likely to be taken in the event of an emergency.

Q – Do we still need a System Security Policy with the introduction of the DMS?

A – Yes, you do as the System Security Policy goes beyond the DMS and the IT Department of the local authority needs one to clarify the safeguarding of its systems.

Q – Is the DMS form reviewed and does it get updated?

A – Yes, the form is subject to further updates in the near future. The latest version will be rolled out on each annual review. The current version is available via the website.

The HER system and software

Q – Under *HER system and software* how much information on database structure is required? In the case of HBSMR users, would the standard entity relationship diagram suffice?

A – If the HER uses an 'off the shelf' system like HBSMR or one of the other more widely used softwares, then that approach would be fine. In the case of 'bespoke' or in-house systems more detail would be required.

Q – When considering GIS layer files, do you need to provide details of all of these or could a geo-database be submitted to cover them?

A – The main requirement here is to list what is unique to the individual HER. (Listed Buildings, for example, wouldn't be of primary importance as they are available elsewhere). In some instances it would be permissible to provide a geo-database list and specifying that a more detailed catalogue is available elsewhere, however, breaking things down layer by layer would be better.

Q – Which programme components do you require?

A – Those components which are essential for the installation and running of the system and modules separate from the main database. (An example would be if you needed to recover images after a fresh software installation). This might already be available in a system manual but, failing this, the DMS will provide a place to document this information.

Data

Q – What is meant by 'linked digital files' (listed as data type in the data table)?

A – Examples might include PDFs linked into the database through an event record or links to a photo archive. Anything that is held on a separate server linked through a digital pathway within the record.

Q – Under Part A – Data, there is a question asking if our database / digital and paper based files have any existing metadata and catalogues. I understand this relates to UK Gemini, and have approached our GIS Officer for comment. He has advised me that it hasn't been pursued in house since it is a European requirement and we have left the EU now. He also pointed out that the data associated with it is quite old (the same applies to INSPIRE). I'm also confused as to whether this applies to just the GIS data or if it extends to the module data within HBSMR, the database itself and/or the digital and paper based source data associated with the HER? I'd be grateful for clarification here, and what your expectations for the HER are.

A – The metadata applies to all of the HER's holdings not just GIS and so this isn't specifically a reference to the Gemini standard. Please refer to the DMS exemplar or contact HIPsTeam@HistoricEngland.org.uk for advice relating to any specific holdings.

For both Gemini and INSPIRE we are still bound by EU rules during the transition period from the EU and these may continue to apply if brought into UK law.

Digital data backup

Q – What is meant by 'system files'?

A – The basic components or 'building blocks' of a system. This might be PHP or Oracle. Also execution files, .EXE files (or equivalent) to install software. Be specific as to what the files are and the order in which they need to be installed. (For example, if it's an Access system, mention that Access needs to be installed prior to the other components of the database).

Q – Is there a definition of 'incremental' and 'differential'? I understand how the former word could be applied to backups, but not really the latter.

A – A differential backup is a backup of all changes made to a database since the last full backup. An incremental backup meanwhile, is one which contains only the changes made since the last backup (which may be either full or incremental).

Q – We have to pay to have the recovery tested. Will Historic England pay the cost?

A –Historic England is not able to contribute to the cost. The DMS points to recognised good practice and this includes benefits to the host authority afforded by recovery testing.

Training

Q – Can I ask about the training log in the DMS? How far back should this go? Do you just want HER-specific training, or all training (if all there will be a huge list). Would it just cover the core HER staff or all staff in our team (including DM, county archaeologist etc.)?

A – The presumption is that anyone within the corporate host's IT team etc. that's responsible for the security and backing up of data will have received appropriate training. Thus the log specifically relates to HER staff (and, if applicable, others within its departmental host team) who have responsibility for safeguarding the security of the HER database. This would include awareness of and/or participation in the HER data back-up cycle and general data security. This should definitely cover

training received within the past three years and can highlight training received before this if it is seen as significant.

Q – Would General Data Protection Regulations training be included in this?

A – This relates to data security and storage and would, therefore, be included.

Q – Are there any recommended training opportunities (particularly relating to digital security)?

A – It would be best to speak to your own IT staff about this.

Responsibilities

Q – What level of responsibility is required? Would this be at both county and district level?

A – Ideally it would be seen as an opportunity to engage with all stakeholders. If your districts are covered by Service Level Agreements they should certainly be alerted. The specific authority responsible for hosting and supporting the HER itself will have primary significance, but a broader awareness should be sought if possible.

Q – Are digital signatures acceptable?

A – Yes, a digital signature would be accepted (although, in some cases, it has not been the policy of the host authority to use them).

Q – We're in the position of serving two authorities. Were the current host authority to elect to discontinue its support for the service, what would you see as the route to safeguarding the HER? If, for example, arrangements already existed with the second authority to take over as host, would there be an automatic presupposition that a prescribed mechanism to devolve responsibility would be triggered nonetheless?

A – If safeguarding arrangements to transfer responsibility were already in place they would certainly constitute the preferred option. Otherwise we would seek to work with all interested parties, guided by the outline of the situation provided in the DMS.

Q – In times when I cannot reach higher management to sign the DMS (such as during a pandemic for example) what do we do to get the DMS signed off?

A – Please submit the DMS unsigned and we leave a note in the audit report that the DMS still requires a signature and cannot be signed off just yet. As soon as you are able to have it signed, please let us have it then.

Q – I answer to several different authorities (5) do I have to get authority from all of them?

A – Yes, please have it signed by all authorities you are reporting to.

Physical Storage

Q – We're due for an office move shortly which is likely to result in most of our hard copy resources being taken to off-site storage. The timetable means that this will have taken place before we've completed a DMS. How can we make our case for retaining our reference collection?

A –The HER's reference collection is mentioned specifically in the HER Guidance document. This element of the HER's resource is important because it underpins the day to day work and quality of the service provided. Elements that are not accessible digitally need to be kept close enough to the HER's office space to allow easy access. If an HER has been audited recently this will have included an assessment of the relative importance of the various components of the Reference Collection. (If some elements aren't consulted regularly and routinely they might possibly be better viewed as elements of the HER's backlog).

Legal Compliance

Q – I assume any arrangements for Portable Antiquities Scheme data would be included under legal compliance?

A – Yes, this will cover everything that constitutes a restricted or licenced dataset.

Q – For legal compliance - do you have any guidance or examples of what third party data might be restricted or require permissions to re-use? Beyond Portable Antiquities Scheme (PAS) I can't think of anything much - and want to check that it's because we don't have any, rather than because I don't know or haven't brought them to mind! Do you have a couple of examples of restricted datasets, in case it prompts my memory?

A – Yes, PAS is a good example. Another instance would be Crown Copyright particularly in respect of things like air photos. Another possibility (might be) the use

of the digital Historic OS Mapping, Some arrangements only allow this to be used in house and not shared outside of the department

'If in doubt include it' is probably the best general rule of thumb. Things can always be weeded out in later stages of the DMS review cycle.

Appendices

Q – What if the HER's licencing arrangements do not give the HER the capacity to make an additional copy of the record for testing purposes?

A – Under those circumstances it would be necessary to speak to the HER's IT section to establish how the test can be undertaken. Possible options might include doing the test within the same system (without overwriting) or copying to an entirely separate system. The scenario outlined in the DMS is the ideal. Other pathways might need to be explored to find a workable procedure. The important element is that the HERO should be able to view the restored data to assess its fullness and quality.

Q – You mentioned that a few modifications are likely to be made to the form. Will the new version be generally circulated and will an alert be sent out to say that it has become available? I wouldn't want to find that I had sent in an obsolete version.

A – The changes made to the form itself are likely to be minimal. Primary development will be concentrated on the accompanying guidance. This will be loaded onto the website and alerts will be provided.

Q – Is there anywhere in the form where things like the standard programmes (for example Windows 10) or PC and server requirements can be recorded?

A – These can either be entered in Part A or in the manual systems requirement documentation.

Q – Is there anywhere where we can list the media through which our data is regularly shared (for example the Heritage Gateway)?

A – This information would normally fall within the HER's recording policy.

General

Q – Would you like to receive the DMS in advance of our NRHE-HER bid paperwork, or shall I send it at the same time?

A – If you have a current DMs (via a recent HER audit) then please do submit this at the same time. If not, you can allocate time (one day) within the project task list and complete the DMS within the first three months.