Assessing progress in digital preservation

A continuum from self assessment to external audit
Options depending on where you are
Take the test ...
Trust and Preservation
Long time coming …
‘certified archival repository ….will be able to prove that they are who they say they are by meeting or exceeding the standards and criteria of an independently-administered program for archival certification’ CPA/RLG 1996

Connection to
• Outsourcing / business planning
• Legal place of deposit
• Accreditation (cf Archives for the 21st Century, RCUK Policy etc)
• Credibility of ‘the new profession’
Preservation Trust and E-Journals

*Why would you trust a preservation service? From 10000m …*

**Trust =**

\[(\text{Skill} \times \text{Transparency} \times \text{Sustainability})^\text{TIME}\]

- Technical know how, planning, standards, research, infrastructure, staff, industrial scale, risk assessment
- Business model, rights management, income, regulation, succession planning, economies of scale and scope
- Open source, community ownership, independent audit, sharing methodologies, clarity of purpose and scope, planning

[www.dpconline.org](http://www.dpconline.org)
DRAMBORA

*Repository audit based on risk assessment*

OAIS Compliance?

DANS Data Seal of Approval

*Lightweight self certification methodology for research data archives.*

Nestor Kriterienkatalog

*Participation in distributed network for preservation, national basis DIN 31644*

ASD-STAN LOTAR

*Industry specific project to integrate OAIS with STEP to ensure legal verification of CAD / CAM and PDM data*

Trusted Digital Repository

*Criteria describing ‘trust’ in preservation*

TRAC and ISO 16363

*Certification of trustworthy status* www.dpconline.org
DRAMBORA Method

- Discrete phases of **self-assessment**, reflecting the realities of audit;
- Preservation is fundamentally a risk management process
  - Define Scope
  - Document Context & Classifiers
  - Formalise Organisation
  - Identify and Assess Risks

www.repositoryaudit.eu
Risk Management Model

- Identify internal and external context
- Identify risks
- Analyse and assess risks
- Manage and treat risks
- Monitor and review
- Communicate
Compliance with OAIS?

- Negotiate with for appropriate content
- Obtain sufficient control
- Determine the scope of the community
- Ensure independent utility of data
- Follow procedures for preservation
- Disseminate data to community
OAIS Functional Model
Trusted Digital Repository...

1. Compliance with OAIS
2. Administer responsibly
3. Organizational viability
4. Financial sustainability
5. Technological and procedural
6. System security
7. Procedural accountability
Trustworthy Repository Audit and Certification (TRAC)

1. Organisational Infrastructure
   Governance, Staffing, Policy Finance, Legalities

2. Digital Object Management
   Acquisition of Content, Creation of AIP, Preservation Planning, Archival Storage, Information Management, Access Management

3. Technology, infrastructure and Security
   System infrastructure, Appropriate Technologies, Security
<table>
<thead>
<tr>
<th>C. Technologies, Technical Infrastructure &amp; Security</th>
<th>Auditor: Interviewee(s):</th>
<th>Page Date</th>
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<tbody>
<tr>
<td>C.3 Security</td>
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<table>
<thead>
<tr>
<th>Evidence (Documents) Examined</th>
<th>Findings and Observations</th>
<th>Result</th>
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<tbody>
<tr>
<td>C3.1 Repository maintains a systematic analysis of such factors as data, systems, personnel, physical plant, and security needs.</td>
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<td>C3.2 Repository has implemented controls to adequately address each of the defined security needs.</td>
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<td>C3.3 Repository staff have delineated roles, responsibilities, and authorizations related to implementing changes within the system.</td>
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<td>C3.4 Repository has suitable written disaster preparedness and recovery plan(s), including at least one off-site backup of all preserved information together with an off-site copy of the recovery plan(s).</td>
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TRAC in practice

- **E-journal content is a well developed field**
- **PORTICO is a commercial escrow agent for content**
- **Audit of an escrow agent lends credibility to it’s claims and business case**
The Center for Research Libraries (CRL) ... hereby **certifies Portico as a trustworthy digital repository.** CRL has found that Portico’s services ... **conform to the requirements** for a trusted digital repository. ... CRL has concluded that the practices and services ... are generally **sound and appropriate** to the content being archived and the needs of the CRL community. ... CRL expects that in the future, Portico will **continue to be able to deliver** content that is understandable and usable by its designated user community.

**worth it’s weight in pixie dust?**
ISO 16363
- Development of TRAC
- Organisational Infrastructure
- Digital Object Management
- Security Risk Management

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<thead>
<tr>
<th>A</th>
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<tbody>
<tr>
<td>3. ORGANIZATIONAL INFRASTRUCTURE</td>
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<tr>
<td>3.1 GOVERNANCE &amp; ORGANIZATIONAL VIABILITY</td>
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<tr>
<td>Metric</td>
<td>Supporting Text</td>
<td>Examples of Documents the Repository can use to demonstrate it is Meeting this Requirement</td>
<td>Brief description of evidence (add rows if necessary to list all relevant documents for a metric) Use short titles for documents. Provide detailed description of each document on the Reference tab.</td>
<td>Explanation of how the repository addresses this metric</td>
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<tr>
<td>3.1.1 THE REPOSITORY SHALL HAVE A MISSION STATEMENT THAT REFLECTS A COMMITMENT TO THE PRESERVATION OF, LONG TERM RETENTION OF, MANAGEMENT OF, AND ACCESS TO DIGITAL INFORMATION.</td>
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<td>This is necessary in order to ensure commitment to preservation and access at the repository’s highest administrative level.</td>
<td>Mission statement or charter of the repository or its parent organization that specifically addresses or implicitly calls for the preservation of information and/or other resources under its purview; a legal, statutory, or government regulatory mandate applicable to the repository that specifically addresses or implicitly requires the preservation of information and/or other resources under its purview.</td>
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<tr>
<td>3.1.2 THE REPOSITORY SHALL HAVE A PRESERVATION STRATEGIC PLAN THAT DEFINES THE APPROACH THE REPOSITORY WILL TAKE IN THE LONG-TERM SUPPORT OF ITS MISSION</td>
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<td>This is necessary in order to help the repository make administrative decisions, shape policies and allocate resources in order to successfully preserve its holdings.</td>
<td>Preservation Strategic Plan; meeting minutes; documentation of administrative decisions which have been made.</td>
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<td>3.1.2.1 The repository shall have an appropriate, formal succession plan, contingency plans, and/or escrow arrangements in place in case the repository ceases to operate or the governing or funding institution substantially changes its scope.</td>
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<td>This is necessary in order to preserve the information content entrusted to the repository by handing it on to another custodian in the case that the repository ceases to operate.</td>
<td>Written and credible succession and contingency plan(s); explicit and specific statement documenting the intent to ensure continuity of the repository, and the steps taken and to be taken to ensure continuity; escrow of critical code, software, and metadata sufficient to enable reconstruction of the repository and its content in the event of repository failure; escrow and/or reserve funds set aside for contingencies; explicit agreements with successor organizations documenting the measures to be</td>
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ISO 16939: 2011

*Standard for a certification authority*

‘PTAB’

Integrated framework to unify:

‘basic’, ‘extended’ and ‘formal’ certification

- ISO16363
- DIN 31644
- Data Seal of Approval

Initial Audits

*Reports from audits*

*Auditor training*

*No specific audit facility yet*
Archives Accreditation:

- Organisational Health
- Collections
- Stakeholders

5 years to prepare for digital

Public Records Scotland

Model record plans

Sector specific

LOTAR
BIM
...

it's not over yet!
Let’s get you going: Data Seal of Approval

1. The producer deposits data with sufficient information for others to assess the quality and compliance with disciplinary and ethical norms.
2. The producer provides the data in formats recommended by the repository.
3. The producer provides the metadata requested by the data repository.
4. The repository has an explicit mission in the area of digital archiving.
5. The repository uses due diligence to comply with regulations and contracts.
6. The repository has documented procedures for managing data storage.
7. The data repository has a plan for long-term preservation.
8. Archiving follows explicit workflows across the data life cycle.

http://datasealofapproval.org/
http://datasealofapproval.org/

9. The repository assumes responsibility for access to the digital objects.
10. The repository enables the users to utilize the data and refer to them.
11. The repository ensures the integrity of digital objects and metadata.
12. The repository ensures the authenticity of digital objects and metadata.
13. The technical infrastructure supports standards like OAIS.
14. Consumers must comply with access regulations set by the repository.
15. Consumers conforms to any codes of conduct that are generally accepted for the exchange and proper use of knowledge and information.
16. Consumers respect the applicable licences of the repository regarding the use of data.