Audit & Certification: an auditors perspective

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4 June 2013
Audit & Certification

• Quality assurance of scientific e-infrastructure
• Quality assurance of digital items in this e-infrastructure

• Are the repositories “trustworthy”?
• Regular checks needed!

• Work in APARSEN on Audit and Certification
The history

2002
- OAIS ISO 14721 published (updated 2012)
- Par. 1.5: standard(s) for accreditation of archives.

2005
- Checklist for Certification of Trusted Digital Repositories (RLG/NARA)
- Testaudits performed by RLG

2007
- Trusted Repositories Audit and Certification final report.
- (Input for Repositories Audit and Certification Working Group (RAC-WG))

2012-
- ISO 16363 Audit and Certification of Trustworthy Digital Repositories (RAC-WG)
- Draft ISO 16919 Requirements for bodies providing Audit and Certification for candidate trustworthy repositories (RAC-WG)
- Primary Trustworthy Digital Repository Authorisation Body (PTAB)
The standard 16363

• ISO 16363- 2012 Audit and Certification of Trustworthy Digital Repositories

Organisational Infrastructure  Digital Objects Management  Infrastructure and Security Risk Mgmt.

Metrics

• Statement of requirement
• Supporting text
• Examples: repository demonstrates it is meeting this requirement
• Discussion
The standard 16363

- ISO 16363- 2012 Audit and Certification of Trustworthy Digital Repositories
- Guidance for auditors
- Other standards also applicable (security)
- Dependent on auditors experience

Consistency!
The standard 16919

- ISO has a range of standards of good auditing practices
- ISO 16919- ? **Requirements for bodies providing Audit and Certification for candidate trustworthy repositories**
- Defines a process for accreditate auditors.

ISO

CASCO: Committee on Conformity Assessment: advice

IAF: International Accreditation Forum

Monitoring & Approving

National standards bodies

Assessors, Training/Accreditation Group

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DRI Dublin, 4-6-2013
What to expect from an auditor?

In general:

- Impartiality, Competence, Responsibility, Openness, Confidentiality, Responsiveness to complaints

- Qualifications via experience and training:
  - 4 years full time practical workplace experience in data management, libraries, archives or information technology with a focus on digital preservation
  - Have successfully completed a training course, the scope of which covers TDR audits and audit management
The standard 16919

As long as ISO 16919 is not an approved standard:

no formal ISO 16363 audit possible yet!
no formal ISO 16363 certification possible yet

Expected to be ready in 2013, PTAB group involved in process.
The APARSEN test audits

- 3+1 European repositories (DANS, UKDA, CINES-DAD, DNB), 3 American ones

- ISO 16363 and DIN 31644 (developed by German Nestor Group)

- (in-) formal certification via ISO 16363

- Testing of practical use of (draft) standards
  - Metrics understandable and usable
  - Consistency in evaluation of the evidence
  - How much effort and time is needed for a repository
  - Is the standards applicable on different kind of repositories?
Audit procedure

- EU Framework (Basic, Extended and Formal)

- 2 Stages:
  - 1. Repositories completed a Self-Audit template (Checklist based on 16363)
    - Checklist plus documentation returned to audit team to prepare audit
  - 2. Site visit (2 days)
    - Verbal feedback with first impressions
    - Detailed report: areas for improvement
Audit procedure: lessons learnt

- Consistency requires extra attention from Audit Team
- Plan time to let the repository introduce themselves
- Native speaker in the Audit Team
- The repositories found it more work than expected to finish the Self Assessment Checklist
- Feedback: How is conformancy measured?
  - “yardstick”
  - Detailed Audit Plan + Handbooks will explain this in future audits
- Hugely rewarding process for all participants
Are we ready?

Formally no: there is no formal ISO 16363 audit and certification possible yet

but:

Be prepared and have a look at

http://www.iso16363.org/

• news from the PTAB Group
• References to ISO16363
• Self-Assessment Template

http://www.iso16363.org/preparing-for-an-audit/