



Recommended Guidelines and Procedures for Certifying Digital Archives

Wu Zhenxin, Zhang Mei, Zhang Xiaolin

iPRES2007

National Science Library, CAS,

12 October, 2007



Overview

1. Existing approaches in TDR certification
2. Application context in China
3. Certification process
4. Further questions



1. Existing approaches in TDR certification

Current Certification efforts

- TRAC (RLG/NARA)
 - ◇ <http://www.oclc.org/programs/ourwork/past/repositorycert.htm>
- DRAMBORA (DCC/DPE)
 - ◇ <http://www.repositoryaudit.eu/>
- nestor catalogue (nestor)
 - ◇ <http://nestor.sub.uni-goettingen.de/index.php>
- DINI-certificate (DINI)
 - ◇ <http://www.dini.de/>
- Other implied approaches



2. Application context in China

2.1 NSTL digital archive network

- Supervised by Government
- Developed cooperatively
- Controlled participants
- Share responsibility
- Share investment
- Interoperability built-in
- Service to designated communities



2.2 Entrance certification

who can join the network?

(1) Legally independent public organization

◇ basic principle to participate in the network;

(2) Usually the major subscriber

◇ easier to solve rights issues;

(3) Organizational commitment

◇ clearly defined statement of responsibilities in an open ways;

(4) Financial commitment;

◇ financial sustainability implied in the business practices and plans;



2.2 Entrance certification

(5) Technical expertise

- ◇ experience in DL and DP practice;

(6) Organization and personnel

- ◇ sustainable organization with stable structure and staff with adequate skills;

(7) Willingness to adhere to certification standards and processes

- ◇ to guarantee the interoperation among the network;

(8) Public service tradition:

- ◇ ability, willingness and achievements to provide public services;

(9) good practices in legal issues

- ◇ good legal consciousness and record in this field.



2.3 On-going certification

Adapted from TRAC

(<http://www.crl.edu/PDF/trac.pdf>) :

A. Organizational Infrastructure

- A1. Governance & organizational viability
- A2. Organizational structure & staffing
- A3. Procedural accountability & policy framework
- A4. Financial sustainability
- A5. Contracts, licenses & liabilities



2.3 On-going certification

B. Digital Object Management

B1. Ingest: acquisition of content

B2. Ingest: creation of the archivable package

B3. Preservation planning

B4. Archival storage & preservation/maintenance of AIPs

B5. Information management

B6. Access management

C. Technologies, Technical Infrastructure & Security

C1. System infrastructure

C2. Appropriate technologies

C3. Security



2.4 Criteria modification and extension (1)

(1) Organizational infrastructure

- Coordinated rights management:
 - ◇ Uniform rights management framework
 - ◇ special attention to service rights from data provider;
 - ◇ special attention to service rights to each other;
- Collaborative management of the network
 - ◇ operation management based on collaboration
 - ◇ Stronger obligation to standards.
 - ◇ support of fail-safe mechanisms and succession planning measures



2.4 Criteria modification and extension (2)

(2)service

- Service ability to outside organization
 - ◇ The repository has the ability to provide services to the third party in terms of technology, administration, and funding.
- Appropriate access control mechanism
 - ◇ such as the IP control
- Appropriate financial policies
 - ◇ Do the services charge yes or no;
towards whom;
how much;
in what ways;
- Policies, measures is open, recognized or approved by appropriate bodies



2.4 Criteria modification and extension (3)

(3) preservation Management

- Stronger standard requirements on metadata, object management, object transfer...
- Workflow management has to be transparent
- Built-in backup process in redundant archives
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(4) Technologies, IT infrastructure and security

- Meet the requirement of high volume access

3. Certification process (1)

	External	Internal
Certificate objects	the archival network	the single repository <ul style="list-style-type: none">• entrance qualification• performance evaluation
Certifying bodies		
Frequency		
Degree		
Transparency		

3. Certification process (2)

	External	Internal
Certificate objects	<p>Ideally: government entrusted professional certification agencies;</p> <p>In the beginning: independent expert group(third party/ objective certification);</p>	NSTL expert group
Certifying bodies		
Frequency	<p>NSTL self-assessments act as the preview screening for the external certification.</p>	
Degree		
Transparency		

3. Certification process (3)

	External	Internal
Certificate objects		
Certifying bodies	every two years, Selective; every two rounds covers all	once a year
Frequency		
Degree		
Transparency		

3. Certification process (4)

	External	Internal
Certificate objects	<p>we suggest several levels:</p> <ul style="list-style-type: none">○ certified○ certified with reservation,○ conditional certified,○ delayed certified,○ fail to certified <p>For NSTL is part of the archival network, it cannot award the first and last certification as the external one.</p>	
Certifying bodies		
Frequency		
Degree		
Transparency		

3. Certification process (5)

	External	Internal
Certificate objects		
Certifying bodies		
Frequency		
Degree	Requirements, process, results, follow up actions of certification should be all through the public website.	
Transparency		



4. Further questions

- If someone fails to be certified, what should they do?
- How to share burden?
- How to ensure the interoperability?
- How much power does transparency have?
- How does the expense of certification?
- How to certify certifying body?
- What's the impact of specific conditions of each repository on certification?
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Thanks to

Zhang Zhixiong

Li Chunwang

Chang Wei

Lin Ying



Thank you!

Any questions, suggestions or comments?

Zhang Mei

zhangmei@mail.las.ac.cn