

Strategies for Audit-based Repository Certification: Guidelines, Resources, and Tools to Prepare, Organize, and Evaluate Criteria Evidence

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ABSTRACT

In this poster, we present the current status, lessons learned, and best practices experienced thus far in the preparation for audit and certification of the Government Publishing Office's FDsys as a Trustworthy Digital Repository. The poster will serve as an introduction to a future, publically accessible toolkit and set of resources and case studies for use within repositories seeking an audit-based approach of evaluation.

Keywords

Standards and practice, models, preservation action and planning, risk mitigation, risk management, archival storage, national approaches, audit, certification, government

1. INTRODUCTION

The Government Publishing Office (GPO) launched the Federal Digital System (FDsys) in January 2009 as a content management system, preservation repository, and public website providing access to legislative, executive, and judicial publications including the Congressional Record, Federal Registrar, and Federal appellate, district, bankruptcy, and national court opinions. Since its inception, FDsys has received over one billion document retrievals, and stakeholders are eager for FDsys to pass an external ISO 16363 audit.

The Audit and Certification of Trustworthy Digital Repositories (TDR) superseded the Trustworthy Digital Repositories Audit and Certification (TRAC) and became ISO standard 16363 in 2012. Since this time, only five digital repositories have been established as "TRAC-Compliant." In addition, the TDR checklist has become a basis for certification in accordance to ISO 16919 as of November 4, 2014.

During this same time, the Library of Congress and the Institute of Museum and Library Services have made the 2015-2016 National Digital Stewardship Residency (NDSR) possible. NDSR serves to build a designated community of professionals who will advance the nation's capabilities in managing, preserving and making accessible the record of human achievement held in digital form [1]. The Government Publishing Office has been awarded one Resident from the NDSR program to assist in the preparation for audit. With the added support of this resident, GPO's first steps in the preparation for an audit includes conducting an in-depth gap analysis of artifacts mentioned in the TDR checklist versus existing GPO artifacts. Following this step, the GPO Resident will reach out to at least four certified TRAC-compliant

repositories that follow the OAIS reference model but have not pursued certification as either a TRAC-compliant or Trustworthy Digital Repository and gather feedback about the audit and certification process. The internal audit conducted by the Resident and the GPO FDsys Trustworthy Digital Repository project team is planned to be completed in May 2016. At this time, this poster will serve to summarize the current progress of the internal audit activities and knowledge gained thus far to share with the digital stewardship community.

2. OBJECTIVES

The first step for any repository seeking an audit-based approach to certification is to accomplish an internal gap analysis to address inconsistencies or required documentation related to policy and practice. Before pursuing an external audit, an organization must be strategic and specific in accurately assessing if current policies and practices are truly sustainable, consistent, and adequate for such an evaluation. While completing an internal gap analysis through the summer of 2015, the Government Publishing Office's Trustworthy Digital Repository project team will conduct a review of resources, tools, and services that repositories might consider while conducting an internal audit.

This presentation serves to support the overarching mission and values behind the NDSR program. NDSR projects provide an experiential learning opportunity for post-graduate digital preservation professionals. The Library of Congress Digital Preservation and Outreach and Education initiative has previously surveyed a variety of digital preservation organizations and institutions across the country and found that over half of respondents expressed a need for additional staff dedicated to their digital preservation efforts [2]. To meet the educational objectives of the NDSR experience, this poster will serve as an informational presentation of the NDSR Resident's experience at the Government Publishing Office. The poster hopes to act as a guide for other emerging professionals and suggest strategies during preparation for standards-based certification.

3. References

- [1] Library of Congress. 2015. National Digital Stewardship Residency. Webpage.
<http://www.digitalpreservation.gov/ndsr/>
- [2] Library of Congress. 2014. *Digital Preservation Outreach and Education Program: 2014 Training Needs Assessment Survey Executive Summary*. Technical Report.
http://www.digitalpreservation.gov/education/2014_Survey_Executive_Summary-Final.pdf

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