

From Theory to Practice: Using ISO16363

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ABSTRACT

This tutorial will focus on an array of options and programs for audit and potential certification of trustworthy digital repositories. These will include self-audit, the European three-level model of certification, the Data Seal of Approval, peer-audit, ISO 16363 audit, and forthcoming certification of trustworthy repositories.

General Terms

Trustworthy repositories; Audit; Certification; Peer review; Self audit; External audit; ISO 16363

Keywords

Audit, management; Certification, Testing, and Licensing [The Computing Profession];

1. INTRODUCTION

Work toward assessing the quality of digital repositories can be traced to the early 2000's with the publication of OCLC's "Trusted Digital Repositories: Attributes and Responsibilities." This was based on the new OAIS ISO standard and was followed by the first version of TRAC (Trusted Repositories: Audit and Certification Checklist) in 2005 and a final TRAC version in 2007, both of which further developed the 2002 TDR document. In this same timeframe DRAMBORA (Digital Repository Audit Method Based on Risk Assessment) appeared. In 2008, DANS created the Data Seal of Approval which has become the

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foundation of the European three-level framework for audit and certification.

Building upon OAIS, TRAC, DRAMBORA, and the DSA, the ISO 16363 standard is a formal framework for determining whether an organization is a Trustworthy Digital Repository. Published in 2012, the standard considers not only the technical infrastructure used for digital object management but also organizational infrastructure, and security risk management. In 2014, ISO 16919: Requirements for Bodies Providing Audit and Certification of Candidate Trustworthy Digital Repositories appeared.

In 2015, ANAB (the ANSI-ASQ National Accreditation Board) announced that it is developing an accreditation program for certification of organizations conforming with ISO 16363 Audit and Certification of Trustworthy Digital Repositories and ISO 16919.

Publications of these standards have led to numerous approaches to audit and potential certification. This one-day tutorial aims to de-mystify ISO16363 and other trustworthy repository best practices and provide attendees with insight into the practicalities of using these tools and approaches for formal audit or self-assessment.

2. INTENDED AND EXPECTED AUDIENCE

This tutorial is designed for those interested in improving their repository with information gained through some form of audit. These may be individuals with direct digital preservation responsibilities or those with strategic and oversight responsibility related to digital preservation.

Students who are planning for preservation careers should also find this session of interest.

3. OUTLINE OF TUTORIAL

This workshop will be composed of several sessions:

- Personal introductions and overview
- Overview of the notion of trustworthy repositories
- Introduction to various types of audit and forthcoming certification of repositories
- The European three-level model of certification and an exploration of Dutch initiative to get 5 major preservation organisations certified according to this model.
- Development and implementation of the Data Seal of Approval. The DSA was developed at DANS (Data Archiving and Networked Services) in the Netherlands.
- A brief history of the development of ISO 16363 and key elements of this standard.
- ISO 16363 training options.
- Self-assessment and peer review examples for ISO 16363 audits with an exploration of the DPM Management tool that is downloadable through Artefactual.
- Implementation and support of self- and peer-review audits for ISO 16363 through Archivematica. Examples for helping repositories with self-assessments and how Archivematica addresses specific requirements.
- Audit plan for a large federally-funded repository development project.

- Panel discussion of lessons learned from standards development and case studies.
- Small group discussion – participants will break into smaller groups to discuss implications for their own institutions and opportunities for collaboration.
- Reporting out – groups will report out about their discussions and the larger group will convey what they see as (individual and collective) next steps

4. OVERALL ORGANIZING STRATEGY

The tutorial organizers will advertise this session via various listservs and other social media.

5. WORKSHOP ORGANIZERS

- Helen R. Tibbo, Alumni Distinguished Professor, University of North Carolina at Chapel Hill
- Nancy Y. McGovern, Head, Curation and Preservation Services at MIT Libraries
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