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### **Audit DRAMBORA for Trustworthy Repositories**

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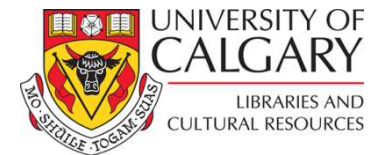
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Národní technická knihovna  
National Technical Library



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## **Audit DRAMBORA for Trustworthy Repositories: A Study Dealing with the Digital Repository of Grey Literature**

Petra Pejšová, National Technical Library, Czech Republic

Marcus Vaska, University of Calgary, Canada

**GL13, DECEMBER 5-6, 2011**



# Audit for Trustworthy Repositories

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- In order for a repository to be deemed trustworthy, it must meet its objectives, and contain the information and material, which, according to its mandate, it is supposed to contain
- 4 competing factors:
  - Authenticity
  - Availability
  - Confidentiality
  - Integrity



# Credibility of Grey Literature in Digital Repositories

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- “One of the central challenges to long-term preservation in a digital repository is the ability to guarantee the authenticity and interpretability (understandability) of digital objects for users across time”
  - Susanne Dobratz and Astried Schoger, 2009
- Task Force on Archiving of Digital Information (1996)
- RLG/NARA Audit Checklist (2005)
- Nestor Catalogue of Criteria for Trusted Digital Repositories (2006)



## Reasons Why an Audit is Done

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- Maintain a sustainable, secure repository, with a user-friendly interface
- Establish and maintain a policy that will result in a long-term repository for data producers
- Solid management foundation (quality, object, data), ensuring high-quality information is continuously deposited
- Identify weaknesses and risks, overcome challenges



## What an Audit Represents

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- Matrix methodology: a tool to aid in the decision-making of certifying a repository as a trustworthy source of information
- Software package: to guarantee access to interpretable objects
- 3 key areas of digital preservation
  - Management
  - Resources
  - Technology



# Existing Audit Methodologies and Tools

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- Digital Repository Audit Method Based on Risk Assessment (DRAMBORA)

<http://www.repositoryaudit.eu>

- Nestor Catalogue of Criteria for Trusted Digital Repositories

[http://files.d-nb.de/nestor/materialien/nestor\\_mat\\_08-eng.pdf](http://files.d-nb.de/nestor/materialien/nestor_mat_08-eng.pdf)

- Planning Tool for Trusted Electronic Repositories (PLATTER)

<http://www.digitalpreservationeurope.eu/platter/>

- Trustworthy Repositories Audit & Certification (TRAC)

[http://www.crl.edu/sites/default/files/attachments/pages/trac\\_0.pdf](http://www.crl.edu/sites/default/files/attachments/pages/trac_0.pdf)



# DRAMBORA: Tool & Methodology

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- DRAMBORA = *Digital Repository Audit Method Based on Risk Assessment*
- Of-line / On-line  
<http://www.repositoryaudit.eu/>
- Digital Curation Centre (DCC)  
Digital Preservation Europe (DPE)



# DRAMBORA: Tool & Methodology

## DRAMBORA interactive

Digital Repository Audit Method  
Based on Risk Assessment



Register for DRAMBORA

Username:

Password:


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- DRAMBORA Training
- About
- Objectives
- Benefits
- The DRAMBORA Team
- Collaborations
- Dissemination
- DRAMBORA Users

### Welcome to DRAMBORA Interactive: Log in or Register to Use the Toolkit

Welcome to DRAMBORA Interactive



Please register, log in or read about the toolkit, get an overview of its objectives, or learn of the benefits that it can offer you and your repository.



The Digital Curation Centre (DCC) and Digital Preservation Europe (DPE) are delighted to announce the release of the Digital Repository Audit Method Based on Risk Assessment (DRAMBORA) toolkit.

This toolkit is intended to facilitate internal audit by providing repository administrators with a means to assess their capabilities, identify their weaknesses, and recognise their strengths. Digital repositories are still in their infancy and this model is designed to be responsive to the rapidly developing landscape. The development of the toolkit follows a concentrated period of repository pilot audits undertaken by the DCC, conducted at a diverse range of organisations including national libraries, scientific data centres and cultural and heritage data archives.

For more information, why not download the DRAMBORA Flyer in [PDF](#) or [JPEG](#) formats?

### News

- [DRAMBORA Translated into Japanese](#)  
13th Sep 2010
- [DRAMBORA on LinkedIn](#)  
30th Nov 2009
- [DRAMBORA is part of the SHAMAN Assessment Framework](#)  
1st Jun 2009

### Download

Please [register](#) to download the offline copy of the DRAMBORA Toolkit

### Comment

Submit feedback via our [feedback form](#) or [email us](#).

### Get Help

Get help in the DRAMBORA evaluation process by volunteering to host a [DRAMBORA facilitated assessment](#).



# How to use DRAMBORA

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- On-line version
  - External links
  - Attached files
  - Coherence
  - Model examples
- English language
- Incremental method



# DRAMBORA: Advantages vs. Disadvantages

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<b>Advantages</b>	<b>Disadvantages</b>
Online version (interactive content, internal activity)	Implementation and methodology available only in English
Methodology and implementation of tools	Does not support Czech character set - iso-8859-2/windows-1250
Descriptors and examples (ease of use, intuitive, applicable)	Read-only access not permitted
Evaluation or risk	Exporting not possible



# Audit of the National Repository of Grey Literature (NRGL)

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- 2009 - first audit: filed test
- 2010 – second: routine operation – 2011...
- WHY?
  - Warranty for partners
  - Define objectives
  - Management repository
  - The need for the methodology
  - Materials for managements



## NRGL Audit – Preparatory Phase

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- Data Collection
  - documents, standards, descriptions, procedures, staffing, physical facilities, budget information, etc.

The following examples of individual audit parts are often shortened for presentation purposes.



# NRGL Audit – Mandate and Equipment

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**NTK status:** To build national repository of grey literature and to make the information and findings contained in the repository accessible for NTK users using modern information technology.

<http://www.techlib.cz/default/files/download/id/1747/dodatek-c-1-k-zl-ntkpdf.pdf>

## Repository Hardware

Hardware used to run the repository software and database - SUN SUNXFIRE 4500 server, OS SOLARIS 10



# NRGL Audit – Functional Class

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## Supporting Functions:

Legal & Regulatory Legitimacy

Functions and characteristics corresponding to legislative, regulatory or common law rights and responsibilities of the repository.

## Operational Functions:

Acquisition & Ingest

Functions and characteristics corresponding to the repository's negotiation, submission, receipt and ingestion of data from creators and suppliers.



## NRGL Audit – Staff

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**Position:** Manager

**Unique Staff ID:** 1

**Telephone:** +420232002485

**Staff Email:** [petra.pejsova@techlib.cz](mailto:petra.pejsova@techlib.cz)

**Address:** NTK, Technicka 6/2710, 160 80 Praha 6

**Status:** Coordinator

**Username:** petrapej

**Name:** Miss Petra Pejsova

**Alt. Email:** [petra.techlib@gmail.com](mailto:petra.techlib@gmail.com)

**Roles:** Management





## NRGL Audit – Roles

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**Role Name:** Management

**Description:** Establishes strategy and objectives of the repository, Establishes strategy of the repository content provider network...

**Corresponding Staff Members:** Manager

**Activity Responsibilities:** Budget Management, Cooperation Network, Team Management, NUSL Publicity

**Risk Responsibilities:** Loss of Staff Members, Pilot Project End, Disaster Recovery, Partner Network Voluntary, Backup Tapes...



## NRGL Audit – Limitations

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**Name:** Documents Publication Status

**Description:** The Repository is devoted to grey literature, so it accepts only non-published or semi-published documents

**Type:** Policy

**Functional Class(es):** Supporting Functional Classes - Acquisition & Ingest

**Web Links:**

[http://nusi.techlib.cz/index.php/Typologie\\_dokument%C5%AF\\_NU%C5%A0L](http://nusi.techlib.cz/index.php/Typologie_dokument%C5%AF_NU%C5%A0L)



# NRGL Audit – Goals

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**Name:** Best Practices

**Description:** Best practices for building similar cooperating institutional repositories are one of the planned outputs of the project

**2010:** Best practices for partners created in the technical and methodical areas, see section Constraints - Methodology of the cooperation with NUSL etc.

**Functional Class(es)\*:** Supporting Functional Classes - Efficient & Effective Policies



## NRGL Audit – Activities

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**Activity Name:** Repository Backup

**Activity Desc:** To create the backup copy of the system to preserve the current setup and of the repository database to preserve it's content

**Activity Role(s):** Administrator

**Related Assets:** Repository Hardware, Repository Software

**Related Objective(s):** Main Function

**Functional Class(es)\*:** Preservation of Digital Object Integrity, Authenticity & Usability

**Related Risks:** Backup Tapes Storage



# NRGL Audit – Risk Identification

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- Risk identification and mapping to the corresponding roles
- Determination the seriousness of risks
- Design risks mitigation or elimination
- Determination of the date of inspection
- Risk analysis - assessment of severity - Pareto 80/20 rule
- In 2009 were identified 16 risk
- In 2010 were identified 6 new risks
- Third audit is in process now



## NRGL Audit – Risk Example

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**Risk Number 4:** Partner Network Voluntary

**Risk Description:** The planned network of partner organizations, supplying content for the repository, is based on organizations voluntariness, there is no legal regulation in place.

**Risk Owner(s):** Management, Legal Support

**Risk Impact:** High

**Treatment Strategy:** Continue to promote NUSL among potential partners, create a partner success story

**Strategy Owner:** Management

**Check Date:** 2011-06-30



## NRGL Audit – Outputs

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- Identified risks threatening the operation of the repository, its quality, responsiveness, reputation and position
- Mapped repository - including the relevant area
- Action Plan - dates and steps to eliminate or mitigate risks



# Recommendations & Conclusions

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- While no organization can absolutely guarantee long-term preservation and access, one must “advance knowledge and learning at the highest level and...convey products of its efforts to the world.”
  - Columbia Mission Statement
- We therefore recommend that an audit be undertaken on an annual basis, identifying any associated risks, and creating an action plan to make the audit an iterative process that contributes to the trustworthiness of the digital repository.





# Questions

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## ○ Contact Information

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