



Alliance Permanent Access to the
Records of Science in Europe Network

Audit & Certification: an auditors perspective

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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

- DRAMBORA (2007), NESTOR (2006)
- 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

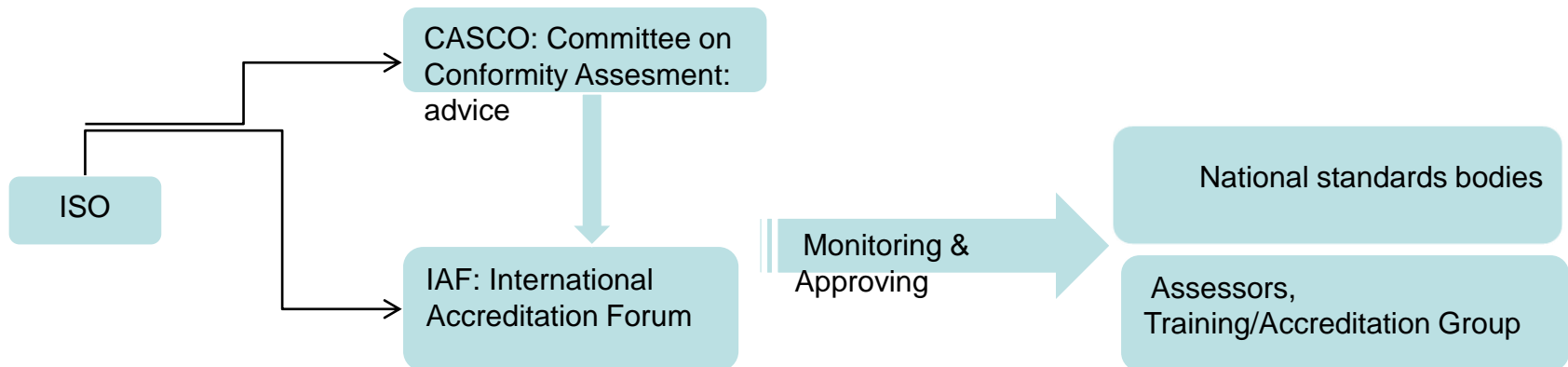
The standard 16363

- 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.



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 conformance 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/>