GPO's Preparation for ISO 16363:2012 Trustworthy Digital Repository Audit and Certification

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Purpose & Overview

- Certification under ISO 16363 will reinforce GPO's commitment to its mission of ensuring permanent public access to Federal Government information

- This project is a collaborative process between many different areas of GPO: Library Services & Content Management (LSCM); Programs, Strategy, and Technology (PST); Acquisitions and Finance; Plant Operations; and Information Technology (IT)

Project Scope

- The certification process encompasses a set of 109 criteria

  - Organizational Infrastructure
    - Governance and Organizational Viability
    - Organizational Structure and Staffing
    - Preservation Policy and Framework
    - Financial Sustainability

  - Digital Object Management
    - Acquisition of Content
    - Creation of Archival Information Package
    - Preservation Planning
    - Access Management

  - Infrastructure and Security Risk Management
    - Technology Inventory and Monitoring
    - Technical Audits
   - Software Replacement and Monitoring
    - Backup

Timeline

- <u>November 2014</u>
    - GPO announced to the FDLP community its intent to seek certification for FDsys as a Trustworthy Digital Repository through and FDLP News Alert.

- <u>December 2014</u>
    - GPO initiated the process for seeking ISO 16363 certification and announced the project to the FDLP community through an FDLP News Alert and during the 2014 DLC Virtual Meeting.
    - GPO was named by the Library of Congress and the National Institute of Museum and Library Services as one of the five institutions to receive a resident through the National Digital Stewardship Residency (NDSR) program. Under this program, GPO will host a resident for one year to work on a significant digital stewardship project. Specifically, GPO's NDSR resident will work on preparation for the audit and certification of FDsys as an ISO 16363 Trustworthy Digital Repository.

- <u>FY 2015</u>
    - GPO prepares for the audit. Preparation includes: the identification and development of the necessary documentation and responses to the criteria by which FDsys will be evaluated and confirming accuracy of or adjusting to the business processes described in the documentation.

- <u>April 2016</u>
    - NDSR Resident presented at Spring Virtual Conference on ISO 16363 Repository assessment process.

- <u>May 2016</u>
    - GPO NDSR Resident preformed internal audit and completed compliance report.

- <u>August 2016</u>
    - GPO publically released Request for Information to gather information from potential auditing bodies.

- <u>FY 2017</u>
    - GPO plans to begin the acquisitions process for an external ISO 16363 certification audit.

Internal Audit Findings

- Internal compliance assessment process
  - *Critical – Not compliant (high priority)*

  - *Insufficient – Needs some improvement (medium priority)*

  - *Fair – Good enough (low priority)*

  - *Good – Fully compliant*

  - *Excellent - Exceptional compliance*

Internal Audit Findings

Excellent
48%

Good
30%

Fair
21%

Insufficient
1%
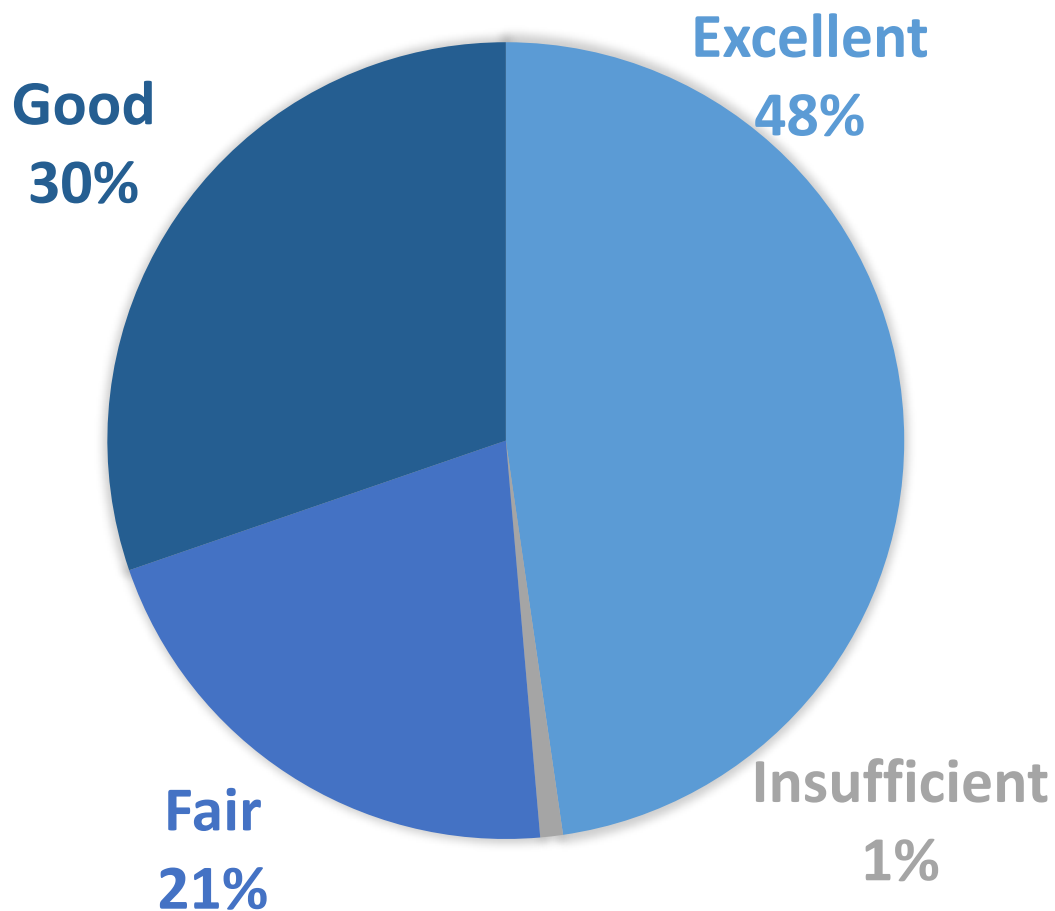
Opportunities for Improvement

- Of the three major areas of assessment within the ISO 16363:2012 Trustworthy Digital Repository standard, GPO has the most need for improvement in the area of Organizational Infrastructure.

Opportunities for Improvement

- More collaboration

- More communication
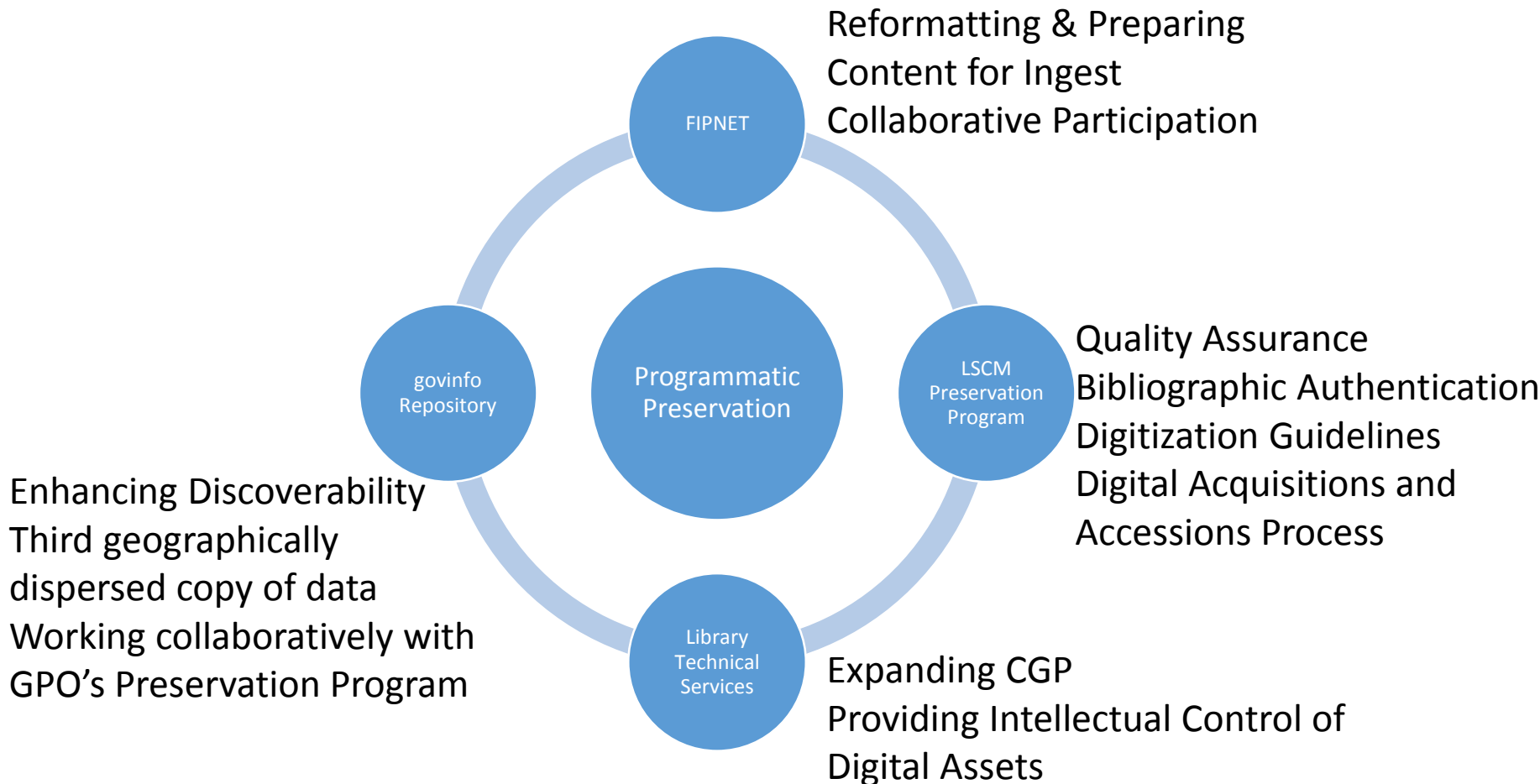
- More accountability

Paving the Way for Action:

- SOD-PPS 2016-4: Permanent Public Access to U.S. Government Information through Preservation

- SOD-PPS 2016-2: Content Scope for GPO's System of Online Access

Making it Happen:

- SuDoc Policies to support Digital Preservation
- Intellectual Control & Bibliographic Description
- Digital Collection Lifecycle Management
- Expanding the Scope of Digital Collections in FDsys/govinfo
- Implementing the National Plan
- Procedural guidance for FIPNet

Recommendation:

Reformatting & Preparing
Content for Ingest
Collaborative Participation

FIPNET

Quality Assurance
Bibliographic Authentication
Digitization Guidelines
Digital Acquisitions and
Accessions Process

LSCM
Preservation
Program

Programmatic
Preservation

govinfo
Repository

Enhancing Discoverability
Third geographically
dispersed copy of data
Working collaboratively with
GPO's Preservation Program

Library
Technical
Services

Expanding CGP
Providing Intellectual Control of
Digital Assets

Next Steps:

- Procurement Process for external ISO 16363 Audit and Certification

- FY17: External certification from an accredited body

Questions?