



Trusted Digital Repository Certification at the U.S. Government Publishing Office



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Why ISO 16363:2012?

NDSA Levels of Preservation

- Concise, user-friendly matrix
- 4 Conceptual areas of preservation requirements
- Cons: Designated community, access, organizational risks, measurable?

DRAMBORA

- Free online toolkit
- Self-assessment
- Monitors organizational and infrastructure risks
- Cons: Does not cover digital object management activities

Data Seal of Approval

- Basic, light-weight openly available online tool
- 16 Guidelines
- Peer review process
- 65 Seals acquired (emphasis on social sciences and humanities and popular in Europe)

ICSU World Data System

- Based on self-assessment by ISCU Members
- Peer review by WDS Scientific Committee
- 70 Accredited members

ISO 16363:2012

- Predecessor is TRAC: 6 TRAC Audits performed by Center for Research Libraries; not a standardized process
- Performed by a third party
- Consistent with international auditing standards in Government for organizational management and IT security such as ISO 9001 and ISO 27001
- 109 Criteria, most comprehensive



ISO 16363:2012 Overview

- Organizational Governance
 - Policy, staffing, roles and responsibilities, organizational framework, sustainability, financial viability, transparency
- Digital Object Management
 - Data management documentation, digital object ingest and micro-services, processing, metadata management
- Infrastructure and Security Risk Management
 - Risk monitoring, disaster planning, hardware and software monitoring and support, security protocols, file format monitoring, fixity, backup monitoring, storage planning



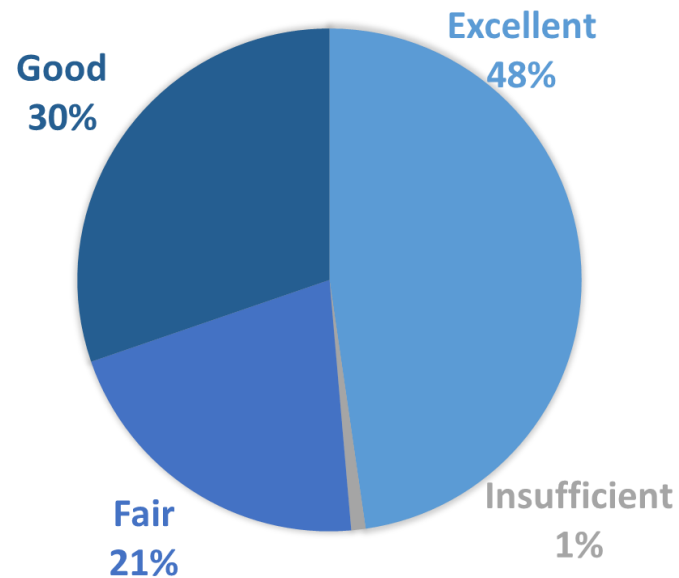
Background

- FY2015: GPO announces intent of becoming first Government ISO 16363 certified Trusted Digital Repository
- June 2015: GPO awarded participation in the National Digital Stewardship Residency program sponsored by IMLS and Library of Congress
- June 2015 – June 2016: NDSR Resident prepares GPO for external audit
- FY2017: GPO responds to opportunities for improvement and recommendations outlined from NDSR internal self-assessment
- GPO is currently initiating the procurement process for the audit of FDsys/**govinfo**



How has GPO responded to self-assessment?

Compliance Overview





Organizational Infrastructure





Policy Framework & Documentation

National Plan for Access to U.S. Government Information



*A Framework for a User-centric Service Approach
To Permanent Public Access*

GPO's System of Online Access Collection Development Plan

Office of the Superintendent of Documents
U.S. Government Publishing Office

September 30, 2016



U.S. GOVERNMENT PUBLISHING OFFICE
Keeping America Informed | OFFICIAL | DIGITAL | SECURE

Access U.S. Government Information
on the go and on the shelf.

Guidance for Contributing Digital Content to FDsys/govinfo

The following guidance for digital reformatting is based on current best practices. The results will provide the best image capture for the range of information products to be ingested into FDsys/govinfo.

The guiding principle for digitization rests in GPO's definition of preservation copy of record for digital content:

The preservation copy of record for digital content is the preservation master file stored in a trustworthy repository. Derivatives of the preservation master copy are made available for access. The digital copy of record should be produced to specifications that will allow the creation of a printed facsimile version, should one be needed.

PRESCRIBED TECHNICAL SPECIFICATIONS

Specifications for preservation master, access derivative files, and metadata are described as "Preferred" and "Acceptable." The Preferred specifications follow the latest best practices and guidance for digital preservation and support GPO's operation of FDsys/govinfo as a digital repository. The Acceptable specifications are given to accommodate a variety of stakeholders and their technical capability.

Dig
folk
Eac
file
soft

GPO Memorandum

To: [REDACTED] Administrative Office of the United States Courts
From: Lisa LaPlant, FDsys/govinfo Program Manager, Office of Programs, Strategy, and Technology, Government Publishing Office
Date: November 16, 2016
Subject: Digital Stewardship Level of Service

As the Government Publishing Office (GPO) continues to transform itself into a publisher of digital government information, we value the opportunity to demonstrate our continued priorities as a trusted steward of digital content. GPO is dedicated to meeting the expectations of Administrative Office of the United States Courts (AOUSC), the content creator of the United States Courts Opinions.

Content is provided to GPO in conjunction with a requisition for printing, publishing, or related services. It is then ingested into FDsys/govinfo where it is preserved to ensure long-term access for use by government organizations and the public at-large.

GPO officially recognizes AOUSC as a creator of Government information of which GPO commits to preserve and provide online access to via www.fdsys.gov and its successor www.govinfo.gov.

Purpose

GPO is committed to operating FDsys/govinfo with adherence to best practices in digital preservation. As such, the FDsys/govinfo preservation repository complies with recommended practice for trustworthy digital repositories articulated in the ISO 15363 Trustworthy Digital Repository Audit and Certification criteria. The ISO 15363 standard benchmarks requirements for digital repositories in areas of Organizational Infrastructure, Digital Object Management, and Infrastructure and Security Risk Management.

This memorandum serves to outline precisely GPO's responsibilities as a steward of digital content and provider of persistent public access to Government information. It expresses GPO's long-term commitments as codified in 44 U.S.C. §4101. This memorandum provides transparent, compliant, and auditable documentation of its existing and ongoing preservation activities entrusted by Federal information content creators.

Scope of U.S. Government Publishing Office's Commitment to Digital Stewardship

In accordance with GPO's mission of "Keeping America Informed" as the Official, Digital, and Secure source for producing, protecting, preserving, and distributing the official publications and information products of the Federal Government, GPO recognizes the terms and responsibilities as established by Public Law 103-40, the [GPO] Electronic Information Access Enhancement Act of

Superintendent of Documents Public Policy Statements

SOD-PPS

2016-4 (76 KB)

2016-3 (72 KB)

2016-2 (122 KB)

2016-1 (149 KB)



New Technical Features & Workflows

Adding full SuDoc numbers and CGP system ID#s to **govinfo** metadata

Incorporating automated metadata extraction tools in order to assess digital images' specifications as part of quality control

Increasing availability of bibliographic metadata (MARC) to **govinfo** packages

Increasing availability of staff to coordinate and perform package preparation for ingest

Additional availability of thumbnails for digitized content

In progress:

Document linking for digitized items within serials multi-part publications



New Community-Centric Features

- Code of Federal Regulations Index and Finding Aids
- Links from Congressional Record Details Pages to Related Bill Versions
- Thumbnails in Search Results
- Pagination for Browsing
- In-context Help Information
- RSS Notifications
- Styling on the Public Website

Added Content & Partnerships

Developing the Digital Collection:

- Digitized Bound Congressional Record, 1930-1998
- Digitized Federal Register Volumes, 1980-1994
- Upcoming Content from FIPNet Partnerships



Repository Assessment in Federal Government

- Public Access Plans
 - 2013 OSTP Memo, “Increasing Access to the Results of Federally Funded Scientific Research”
 - R&D Budget < \$100M
 - 2013 Executive Order 13622 “Making Open and Machine Readable the new Default for Government Information”
 - 2013 OMB Memo “Open Data Policy-Managing Data as an Asset”
- Who is interested?
 - CENDI
 - Trusted Digital Repository Working Group (GPO, DOT, CDC, NOAA, USAID)
 - Data Seal of Approval – USGS EROS Repository
 - NASA – test ISO 16363 audit
- State Government
 - Washington State Digital Archives – self-assessment
 - Kentucky Department for Libraries and Archives – test ISO 16363 audit



Current Status at GPO

- GPO released a Request for Information August 2016.
- GPO will evaluate solicitations to the RFP.
- GPO will initiate a formal audit against ISO 16363 Fall 2017.
- GPO plans to undergo recertification every 3 years.
- GPO will continue sharing with the digital preservation community about its efforts in trustworthy digital repository certification within CENDI, PEGI, ALA GODORT, NAGARA, online webinars, NDSA, and other professional spheres of communication.



Contact Information

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