

October 22-24

2018

Arlington, VA



Depository Library Council & Federal Depository Libraries

FEDERAL DEPOSITORY
LIBRARY CONFERENCE



#FDLConference

govinfo ISO 16363 Trustworthy Digital Repository Audit & Certification Status Update

Jessica Tieman, Digital Preservation Librarian

October 22-24

2018

Arlington, VA



Depository Library Council & Federal Depository Libraries

FEDERAL DEPOSITORY
LIBRARY CONFERENCE



#FDLConference

What is ISO 16363:2012 Certification?

- The ISO/IEC 16363:2012 Space Data and Information Transfer Systems – Audit and certification of trustworthy digital repositories
- Officially recognized international standard for evaluating digital repositories for trustworthiness against 109 criteria which cover all components of the digital repository

October 22-24

2018

Arlington, VA



Depository Library Council & Federal Depository Libraries

FEDERAL DEPOSITORY
LIBRARY CONFERENCE



#FDLConference

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 different areas of GPO: Library Services & Content Management (LSCM); Programs, Strategy, and Technology (PST)

October 22-24

2018

Arlington, VA



Depository Library Council & Federal Depository Libraries

FEDERAL DEPOSITORY
LIBRARY CONFERENCE



#FDLConference

ISO 16363 defines digital repository standards for:

- Organizational infrastructure (i.e. governance, organizational structure, staffing, financial sustainability)
- Digital object management (i.e. content acquisition, archival packaging and processing of digital objects, preservation planning)
- Infrastructure and security risk management (i.e. technology monitoring, hardware and software refresh, backup and storage practices)

October 22-24

2018

Arlington, VA



Depository Library Council & Federal Depository Libraries

FEDERAL DEPOSITORY
LIBRARY CONFERENCE



#FDLConference

Background

Fall 2014

- GPO announced to the FDLP community its intent to seek certification for its Federal Digital System (FDsys) as a Trustworthy Digital Repository through an FDLP News Alert. 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.

Summer 2015

- GPO was named by the Library of Congress and the 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 hosted a resident for one year to work on a significant digital stewardship project. Specifically, GPO's NDSR resident prepared for the audit and certification of FDsys as an ISO 16363 Trustworthy Digital Repository.

October 22-24

2018

Arlington, VA



Depository Library Council & Federal Depository Libraries

FEDERAL DEPOSITORY
LIBRARY CONFERENCE



#FDLConference

Preparation for ISO 16363 certification

2015-2017

- Documentation gap analysis
- Outreach with repositories who participated in TRAC or performed self-assessments against TRAC or ISO 16363
- Self-assessment against ISO 16363
- Outreach with the FDLP about internal assessment findings
- Responding to recommendations from internal self-assessment

October 22-24

2018

Arlington, VA



Depository Library Council & Federal Depository Libraries

FEDERAL DEPOSITORY
LIBRARY CONFERENCE



#FDLConference

June 2018 – Contract Award to Primary Trustworthy Authorisation Body (PTAB)

- PTAB was the first in the World to be accredited to perform ISO 16363 Audit and Certification
- The members of PTAB are internationally recognized experts in digital preservation, including those who were involved in writing ISO 16363 and OAIS (ISO 14721).
- 8 current members

October 22-24

2018

Arlington, VA



Depository Library Council & Federal Depository Libraries

FEDERAL DEPOSITORY
LIBRARY CONFERENCE



#FDLConference

Primary Auditors



- Dr. David Giaretta
- Dr. Bruce Ambacher
- John Garrett
- Steve Hughes



October 22-24

2018

Arlington, VA



Depository Library Council & Federal Depository Libraries

FEDERAL DEPOSITORY
LIBRARY CONFERENCE



#FDLConference

Stage 1 Audit

- Review of GPO conformance document (self-assessment), relevant technical documents, policies, procedures, practices, workflows, reports, etc.
- 86 System Design Documents
- Over 40 encompassing SODs, SOPs, Guidance and Plan documents, U.S.C. references, organizational charts, workflows, GPO Directives, and Memorandums of Agreement
- Financial and budgetary documentation
- Examples of evidence from risk mitigation planning and hardware performance

October 22-24

2018

Arlington, VA



Depository Library Council & Federal Depository Libraries

FEDERAL DEPOSITORY
LIBRARY CONFERENCE



#FDLConference

Stage 1 Audit

- Response from PTAB:
 - Initial assessment: 14 Areas of Concern which may need remediation or responses in Stage 2; General questions and observations in order to prepare GPO for Stage 2
 - Second assessment: 2 Areas of Concern remain to be addressed during on-site visit

October 22-24

2018

Arlington, VA



Depository Library Council & Federal Depository Libraries

FEDERAL DEPOSITORY
LIBRARY CONFERENCE



#FDLConference

Stage 2 Audit

- Response from PTAB:
 - On-site visit from auditors at GPO
 - Any non-conformances will be reported to GPO in order for GPO to develop plans to correct non-conformances prior to award of certification
 - PTAB makes ultimate recommendation to the certification committee

October 22-24

2018

Arlington, VA



Depository Library Council & Federal Depository Libraries

FEDERAL DEPOSITORY
LIBRARY CONFERENCE



#FDLConference

Post-Audit

- If certification is awarded:
 - GPO performs surveillance audit annually
 - GPO seeks re-certification every 3 years

October 22-24

2018

Arlington, VA



Depository Library Council & Federal Depository Libraries

FEDERAL DEPOSITORY
LIBRARY CONFERENCE



#FDLConference

Thank You

Jessica Tieman, Digital Preservation Librarian

jtieman@gpo.gov

David Walls, Preservation Librarian

dwalls@gpo.gov