

# About standards

RHIC DAP round table #3

- Benefits of following or being guided by standards for implementing and deploying a long-term repository for RHIC DAP
- What are the requirements listed by CoreTrustSeal

# Benefits of following Standards

- **Internal Benefits**

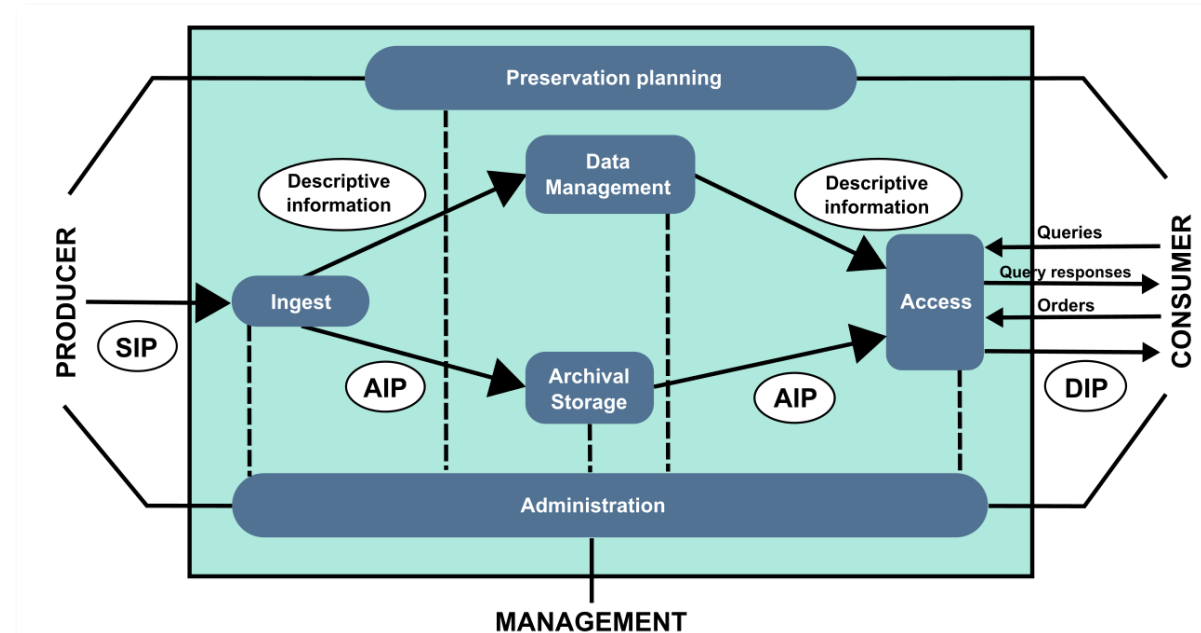
- Help to identify our strengths, weaknesses and areas of improvements (standards are used as benchmark for comparison)
- Improve data management:
  - Check, improve, and update procedures and workflows.
  - Re-evaluate technical solutions and processes for long-term preservation.
- Increase awareness to established standards
- Strengthen internal communication: improve transparency, teamwork and collaboration

- **External Benefits**

- Demonstrate commitment: show dedication to data quality and long-term curation.
- Built trust and reliability: increase stakeholder and funding bodies confidence
- Gain Recognition: Enhance national and international reputation
- Improve visibility: Makes data and services more visible and accessible.
- Ensure data services are searchable, accessible, and meet standards.

# CoreTrustSeal 16 requirements

- The [16 requirements](#) from CoreTrustSeal are based on the OAIS model
- They are organized in three main categories
  1. Organizational infrastructure (R1-6)
  2. Digital object management (R7-13)
  3. Technology and security (R14-16)
- Not all requirements are of equal importance, or relevant for us



**SIP (Submission Information Package):** Data and metadata received from the producer.

**AIP (Archival Information Package):** Data and metadata organized for long-term preservation within the archive.

**DIP (Dissemination Information Package):** Data and metadata formatted for consumer access.

# Organizational infrastructure

- **R1 Mission & Scope:** The repository has an **explicit mission** to provide access to and preserve data in its domain.
- **R2 Rights Management:** The repository maintains all applicable rights and monitors **compliance**.
- **R3 Continuity of Service:** The Repository has a **plan to ensure** ongoing access to and preservation of its data and metadata.
- **R4 Legal & Ethical:** The repository ensures, to the extent possible, that data are created, curated, accessed, and used in compliance with **disciplinary and ethical norms**.
- **R5 Governance & Resources:** The repository has **adequate funding** and sufficient numbers of **qualified staff** managed through a clear system of governance to effectively carry out the mission.
- **R6 Expertise & Guidance:** The repository adopts mechanism(s) to secure ongoing **expertise, guidance** and feedback (either in-house, or external, including scientific guidance, if relevant).

# Organizational infrastructure

- **R3 Continuity of Service:** The Repository has a **plan to ensure** ongoing access to and preservation of its data and metadata.
- Repositories must ensure continuity of their collections and assume responsibility in the case of a temporary or permanent break in service. Responses and evidence should demonstrate the level of responsibility taken for digital objects, the level of risk for the repository , and the level of succession planning for the future of the data collection.

# Organizational infrastructure

- **R6 Expertise & Guidance:** The repository adopts mechanism(s) to secure ongoing expertise, guidance and feedback (either in-house, or external, including scientific guidance, if relevant).
- Responses and evidence should demonstrate that the repository has sufficient internal expertise and is linked to a wide network for advice and guidance. Evidence must account for the repository day-to-day activities and the monitoring of potential new challenges on the horizon (community and technology watch).

# Digital object management

- **R7 Provenance & Authenticity:** The repository guarantees the **authenticity** of the digital objects and provides **provenance** information.
- **R8 Deposit & Appraisal:** The repository accepts data and metadata based on **defined criteria to ensure relevance and understandability** for data users.
- **R9 Preservation Plan:** The repository applies **documented processes and procedures** in managing archival storage of the data.
- **R10 Quality Assurance:** The repository addresses technical quality and standards compliance and ensures that **sufficient information is available** for end users to make quality-related evaluations.
- **R11 Workflows:** Digital object management takes place according to **defined workflows** from deposit to access.
- **R12 Discovery & Identification:** The repository enables users to **discover the digital objects and refer** to them in a persistent way through proper citation.
- **R13 Reuse:** The repository enables **reuse** of the digital objects over time, ensuring that appropriate information is available to support understanding and use.

# Digital object management

- **R7 Provenance & Authenticity:** The repository guarantees the **authenticity** of the digital objects and provides **provenance** information.
- Responses and evidence should provide a clear overview of the processes used to ensure data authenticity throughout the entire curation and preservation lifecycle—including the level of manual and automated practice.

# Digital object management

- **R9 Preservation Plan:** The repository applies **documented processes and procedures** in managing archival storage of the data.
- Demonstrate clear, managed documentation to ensure:
  - (1) an organized approach to long-term preservation,
  - (2) continued access for data types despite format changes, and
  - (3) there is sufficient documentation to support usability by the Designated Community.
- The response should address whether **the repository has defined preservation levels** and, if so, how these are applied. The preservation plan should be managed to ensure that changes to data, metadata, technology and user requirements are handled in a stable and timely manner.
- **If preservation levels differ between classes or collections of items, the differences in preservation approach, and the criteria applied to determine the preservation level should be explained.** This may be relevant if, for example, the file size of an object or the sensitivity of the data it contains determines the number of redundant copies made; or only items deposited in preferred formats are converted to standard preservation formats and will be migrated in the future.
- Policies and documented procedures for reappraisal should be in place to manage changes to the curation or preservation levels of digital objects, or their deletion or removal from the repository.

# Digital object management

- **R11 Workflows:** Digital object management takes place according to **defined workflows** from deposit to access.
- Responses and evidence should demonstrate a consistent, rigorous, documented approach to managing all activities throughout their processes and that changes to those processes are appropriately implemented, evaluated, recorded, and administered.

# Technology and security

- **R14 Storage & Integrity:** The repository applies documented processes to ensure **data and metadata storage and integrity**.
- **R15 Technical Infrastructure:** The repository is managed on **well-supported operating systems and other core infrastructural software and hardware** appropriate to the services it provides to its Designated Community.
- **R16 Security:** The repository **protects** the facility and its data, metadata, products, services, and users.

