



Advanced Electronic Records Institute

Self-Assessment for Progress

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Types of DP Planning

- Preservation Planning (ongoing)
- Self-assessment (internal process)
- Audit (external review by peers)
- Development plans (result of audit)
- Certification (future option?)

The National Library of Wales

Digital Preservation Policy and Strategy

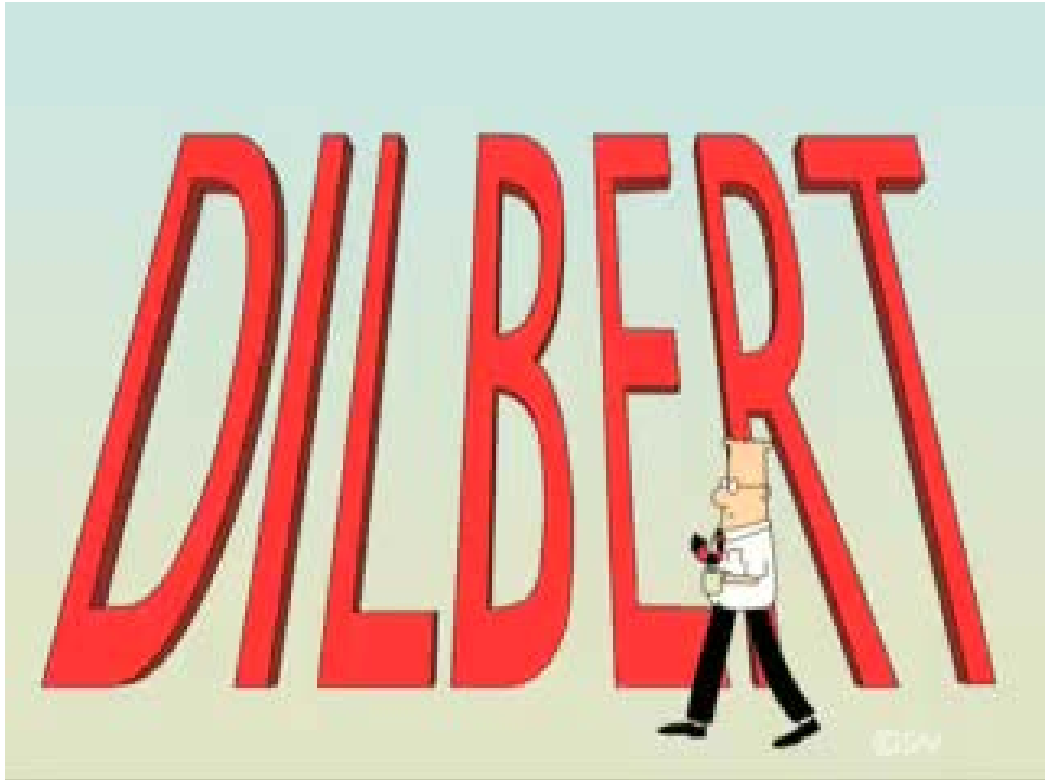
2008

Strategic Planning

Digital Preservation Strategy, 2012-2015

Preface

This digital preservation strategy sets out what the National Library of Wales (NLW) intends to do to preserve digital materials over the next three years. It builds upon the foundations established by the first two digital preservation strategies. This new strategy aligns with the Library's overall strategy *The Agile Library: The Library's strategy 2011-14*, which places an emphasis upon unlocking the potential of the Library through the application of efficient business processes and focuses on institutional flexibility, content use and external relationships.



NIST Planning Components

Business Continuity
Plan (BCP)

Crisis
Communication
Plan

Business Recovery
Plan (BRP)

Cyber Incident
Response Plan

Continuity of
Operations Plan
(COOP)

Disaster Recovery
Plan (DRP)

IT Contingency
Plan

Occupant
Emergency Plan
(OEP)

Self-Assessment and Audit



- TRAC Checklist, 2007 – ISO 16363 2012
- Test audits 2006, 2011
- Ten Principles, 2007 (Platter – plans to address)
- Nestor (Germany) – criteria
- DINI (Germany) – certifications
- DRAMBORA (DCC, DPE) – tool
- Data Seal of Approval – 16 elements

Role of Audit

Benefits of audit (self-assessment):

- Requirements provide checklist
- Includes gap analysis
- Produces development plan
- Provides evidence for stakeholders
- Enables transparency for DP program

Results of TRAC Review

- Formalize policies
- Define roles and responsibilities
- Consider succession planning
- Designate funding
- Rationalize metadata
- Address preservation rights
- Prioritize technical developments

Ten Principles

1. Commits to continuing maintenance of digital objects for identified community/communities.
2. Demonstrates organizational fitness (including financial, staffing structure, and processes) to fulfil its commitment.
3. Acquires and maintains requisite contractual and legal rights and fulfils responsibilities.
4. Has an effective and efficient policy framework.
5. Acquires and ingests digital objects based upon stated criteria that correspond to its commitments and capabilities.
6. Maintains/ensures the integrity, authenticity and usability of digital objects it holds over time.
7. Creates and maintains requisite metadata about actions taken on digital objects during preservation as well as the relevant production, access support, and usage process contexts before preservation.
8. Fulfils requisite dissemination requirements.
9. Has a strategic program for preservation planning and action.
10. Has technical infrastructure adequate to continuing maintenance and security of its digital objects.⁶

PLATTER

<i>Strategic Objective Plan</i>	<i>Responsibilities</i>	<i>Corresponding Core Principle(s)</i>
Business Plan	Financial planning, monitoring, and reporting	2
Staffing Plan	Acquisition and maintenance of relevant skillset for managing repository	2
Data Plan	Specification of data and metadata objects, formats, and structures for ingest, storage, and dissemination, together with the relevant transformations and mappings.	5,6,7,8
Acquisition Plan	Management of the relationship with depositors and other data providers. Appraisal policy.	3,5
Access Plan	Management of relationship with end users. Access Policy.	1,8
Preservation Plan	Ensure that access and usability of material in repository is not adversely affected by technological change and obsolescence	9
Technical System Plan	Specifies goals for hardware, software and networking	10
Succession Plan	Manage obligation to ensure preservation of material beyond the lifetime of the repository	1
Disaster Plan	Respond to rapid changes to the repository environment	1,6

In Practice...

