

Large Scale Repository Auditing to ISO 16363

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Repositório Científico de
Acesso Aberto de Portugal

MCTES



FCCN
Fundação para a Certificação Científica Nacional



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| Topics

- RCAAP Project
- ISO 16363
- Methodology
- Results (preliminary audit)
- Future steps

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RCAAP Project



Audit Team – KEEP Solutions



RCAAP Project

THE CONTEXT

Scientific Open Access Repository of Portugal

RCAAP PROJECT



Main Goals of the Project

- Increase the visibility, accessibility and dissemination of Portuguese research results
- Facilitate access to information about Portuguese scientific output
- Integrate Portugal in the wide range of international initiatives in this domain

RCAAP Services

Search Portal

Repository Hosting
Service (SARI)

Journal Hosting
Service

Common
Repository

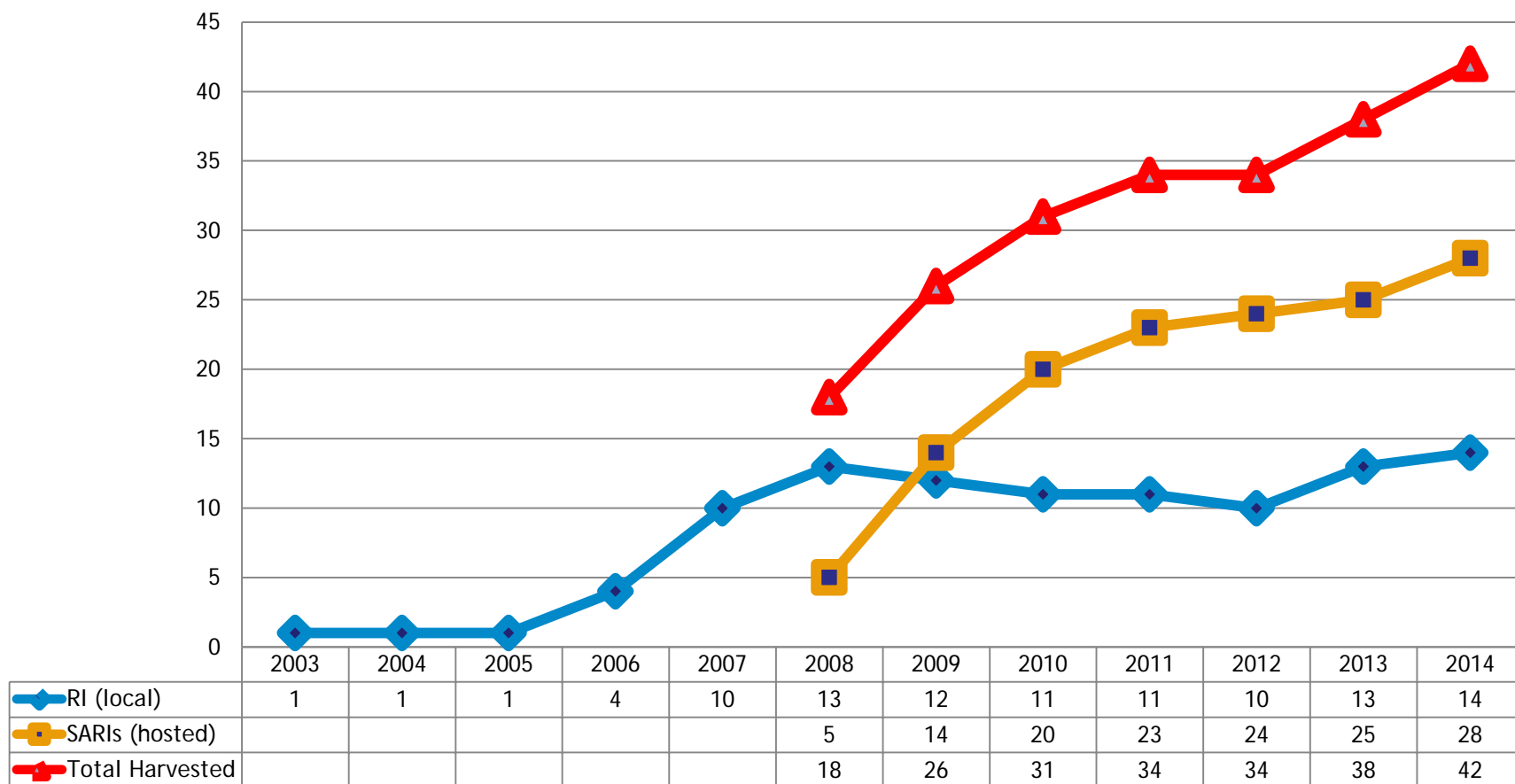
OAI-PMH Validator

Data Repository

Usage Statistics



Repository Evolution in Portugal



Governance

- FCT / FCCN

General Coordination & infrastructures

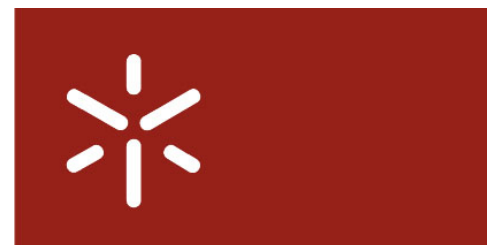


FCT

Fundação para a Ciência e a Tecnologia
MINISTÉRIO DA CIÊNCIA, TECNOLOGIA E ENSINO SUPERIOR

- University of Minho

Scientific and technical coordination



Universidade do Minho

More about RCAAP Project

- Friday - 2014-06-13 @ 9:00 - 10:15

Paasitorni - Siltasaari Hall

**RCAAP - Building and maintaining a
national repository network**

Audit and Certification of Trustworthy Digital Repositories

ISO 16363

WHY AUDIT? WHERE ARE WE?



Why audit ?

| Why Audit ?

- Know more about the repositories

| Why Audit ?

- To know more about the repositories
- To improve where something is missing

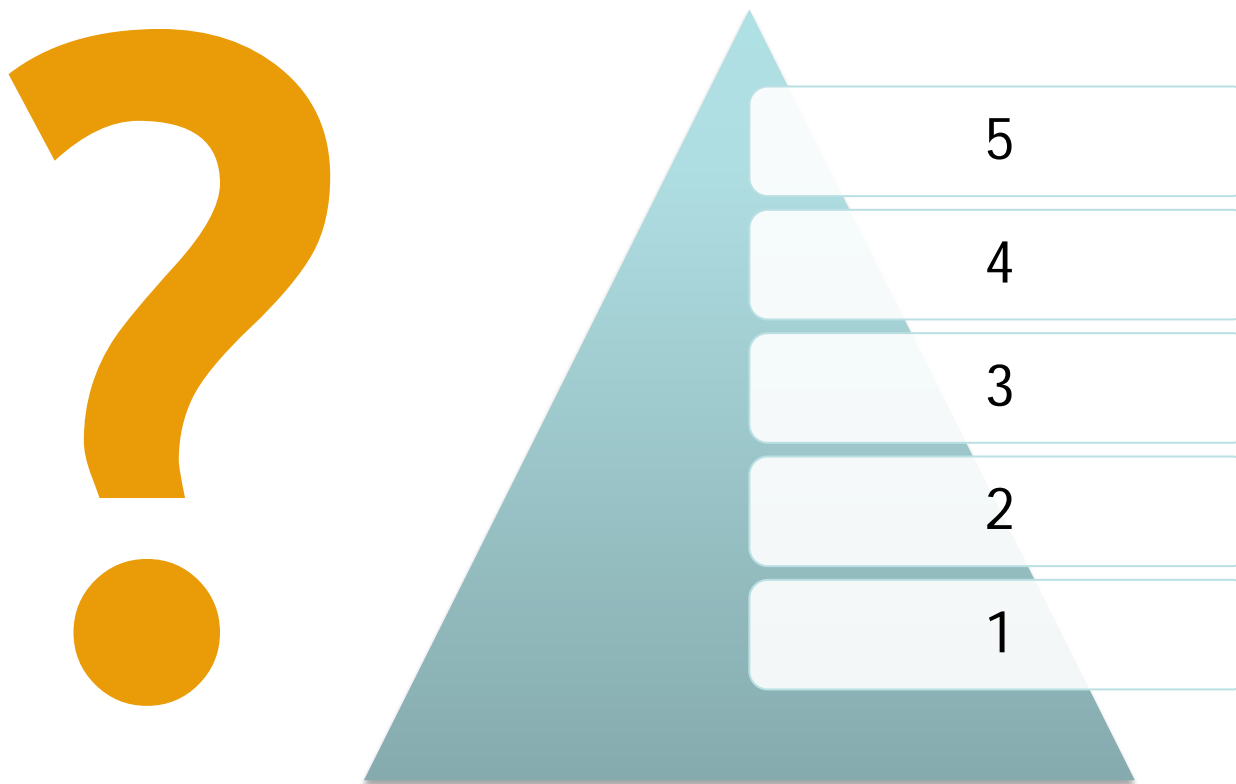
| Why Audit ?

- To know more about the repositories
- To improve where something is missing
- To provide new services

| Why Audit ?

- To know more about the repositories
- To improve where something is missing
- To provide new services
- To shift the community of repository managers!

| The Question: Where we are?



ISO 16363:2012

- Defines practices to audit and certification process for assessing the trustworthiness of digital repositories.
- Includes normative metrics which a digital repository can be assessed.

Based on [TRAC](#) project

3 Sections (with responsibilities)

1. Organizational Infrastructure
(the repository manager)
2. Digital Object Management
(RCAAP Project)
3. Infrastructure and Security Risk Management.
(RCAAP Project)

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METHODOLOGY

General Plan (1 year duration)

Step	Designation	Description	Date
1	Diagnosis Audit	Preliminary audit to all the repositories	Nov. 2013 – Feb. 2014
2	Action Plan	Actions to improve the repository compliance	March 2014
3	Implementation	Repository managers should implement the suggested improvements	March – Set. 2014
4	Final Audit	Final audit to validate the action plan and define the new level of compliance	October 2014

Diagnosis Audit

- The responsible evaluates the repository for each item of the standard
- The responsible must provide evidences for each item
- The audit team evaluates the results based on the evidences
- Audit team provides feedback with suggestions of improvements

Conformity levels adopted

Level	Name	Description
1	Unmanaged	The repository has not adopted any action for this requisite.
2	Incipient	The repository is aware of the need for this requisite but it isn't formalized or is executed randomly
3	Formative	The repository implements processes for this requisite but they are not yet totally implemented.
4	Operational	There are explicit policies, procedures or processes that for this requisite
5	Proactive	There are explicit policies, procedures or processes and monitoring with improvements and they are part of the strategic plan of the institution

ECM3 Maturity level

RESULTS OF THE PRELIMINARY AUDIT

Preliminary Audit Results (from Repository Managers)

ORGANIZATIONAL INFRASTRUCTURE

Preliminary Audit Results (Section 1)

- The average maturity level of all 26 repositories on the standard group of requirements “Organizational Infrastructure” was **2.1** on a scale of 1 to 5.

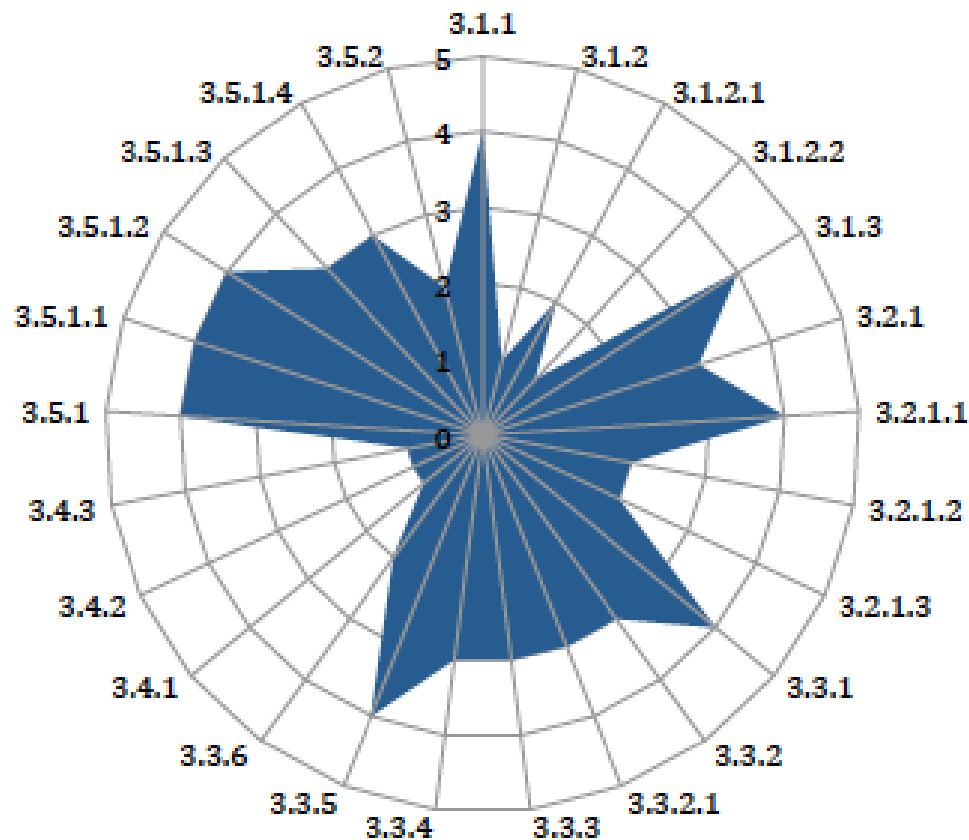
| Preliminary Audit Results (Section 1)

- The perceived maturity, i.e. the maturity indicated by repository manager , was **2.7**.

| Preliminary Audit Results (Section 1)

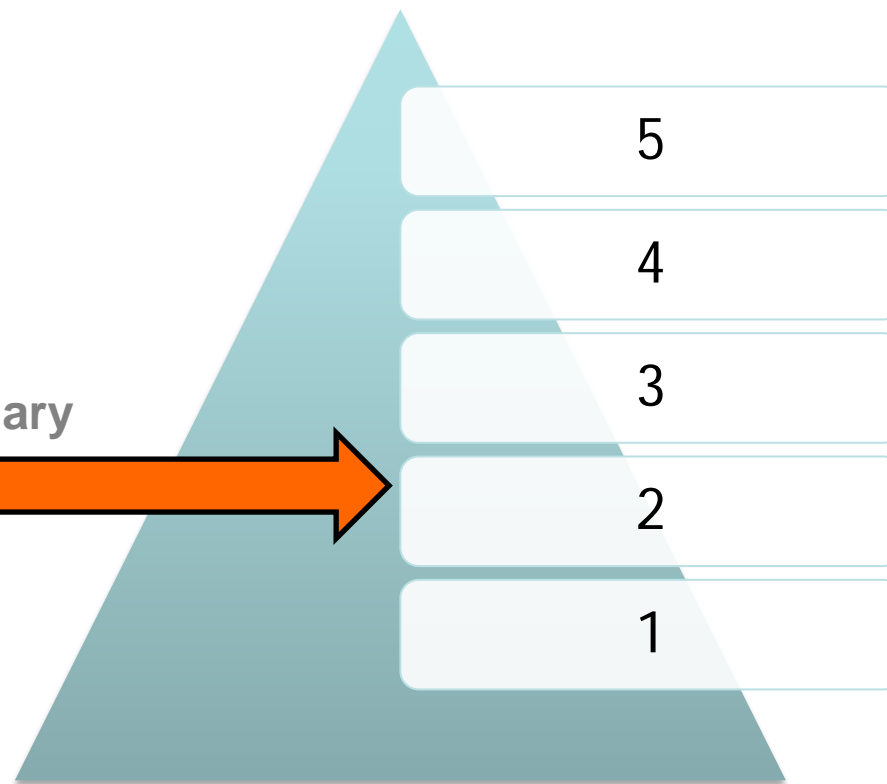
- On the same note, the most mature repository scored **3.0** while the least mature repository scored **1.1**.

Example of Repository Evaluation



| Where we are?

Based on the preliminary
audit, we are here



Preliminary Audit Results (Section 1)

- Difficulties in providing evidences of financial practice.
- If one ignores the 3 requirements related to financial sustainability, the average maturity level increases to 2.2.

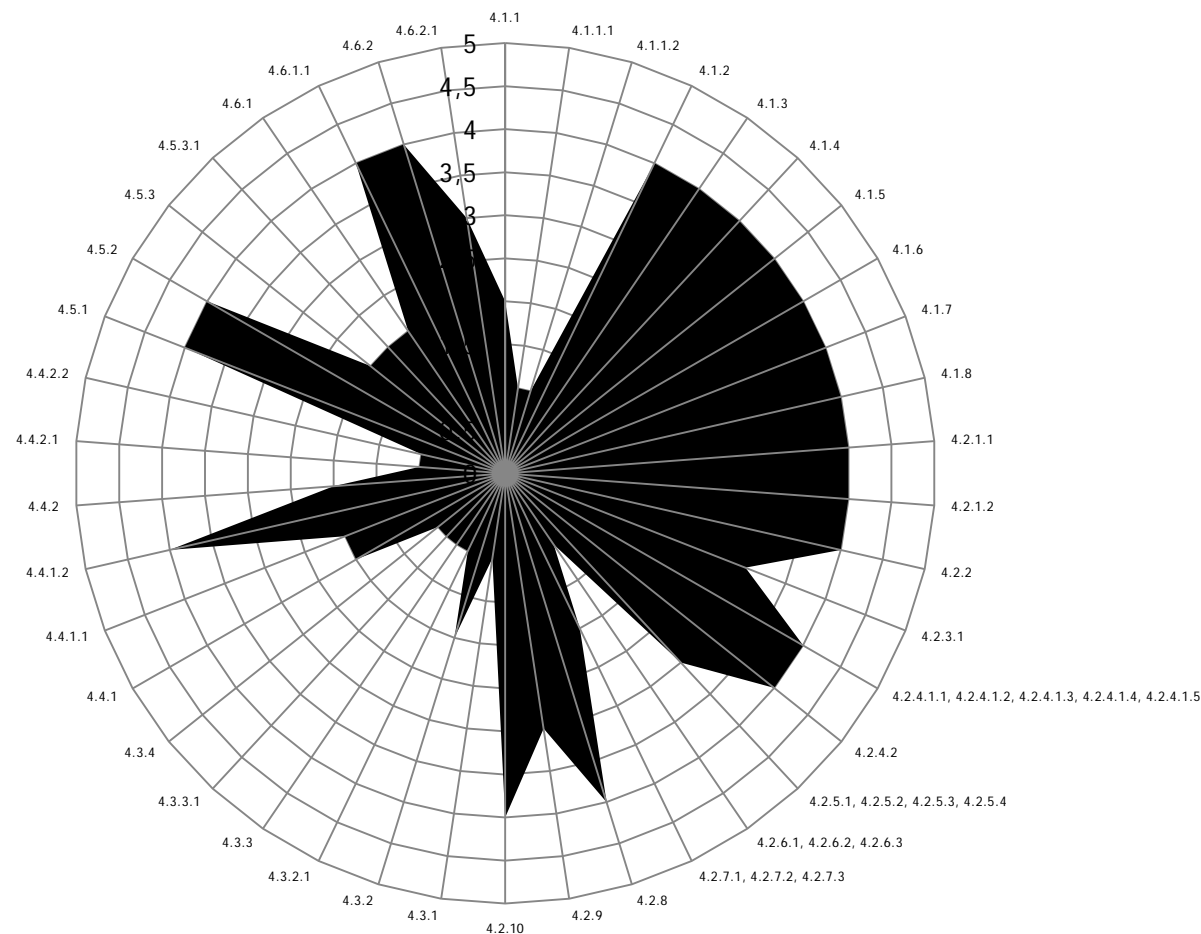
Preliminary Audit Results

DIGITAL OBJECT MANAGEMENT

Preliminary Audit Results (Section 2)

- The hosting service provider showed a self-perceptual maturity level of 3.2.
- The audit team scored its ability of manage digital objects and associated risks at 2.8.

Digital Object Management



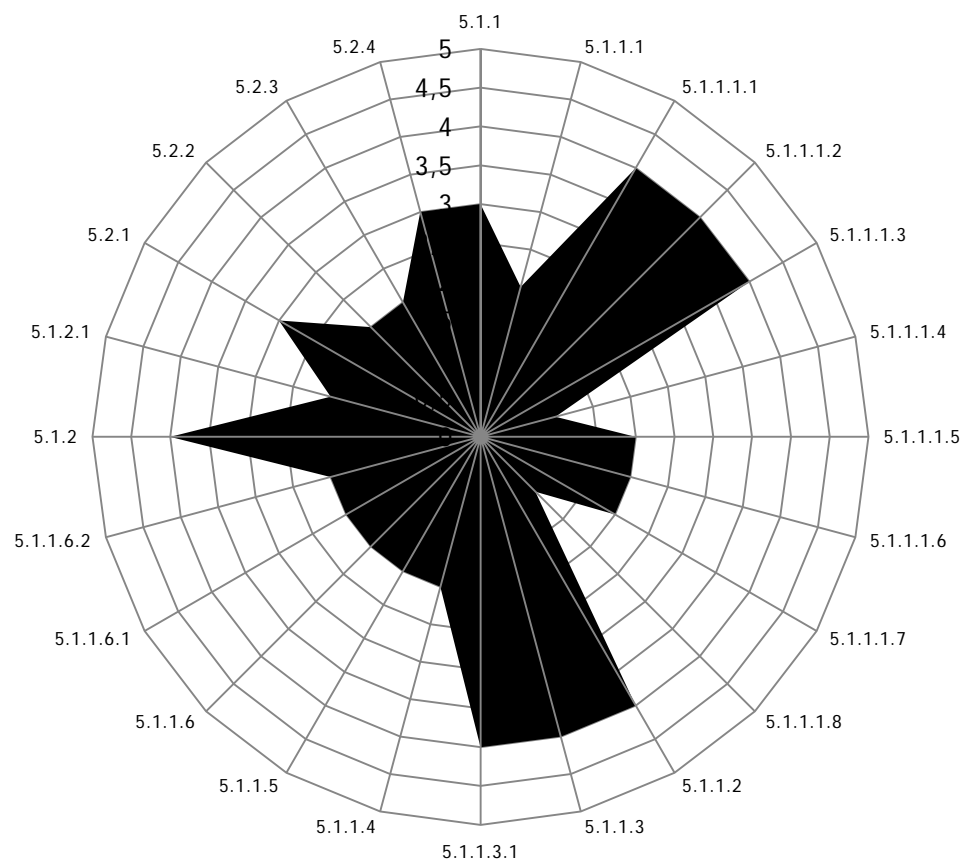
Preliminary Audit Results

INFRASTRUCTURE AND SECURITY RISK MANAGEMENT

Preliminary Audit Results (Section 3)

- On the “Infrastructure and Security Risk Management” front, the hosting service showed a self-assessment score of **3.1**, while the audit team rank it at **2.6**.

INFRASTRUCTURE AND SECURITY RISK MANAGEMENT



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CURRENT STATUS & FUTURE STEPS

| Currently...

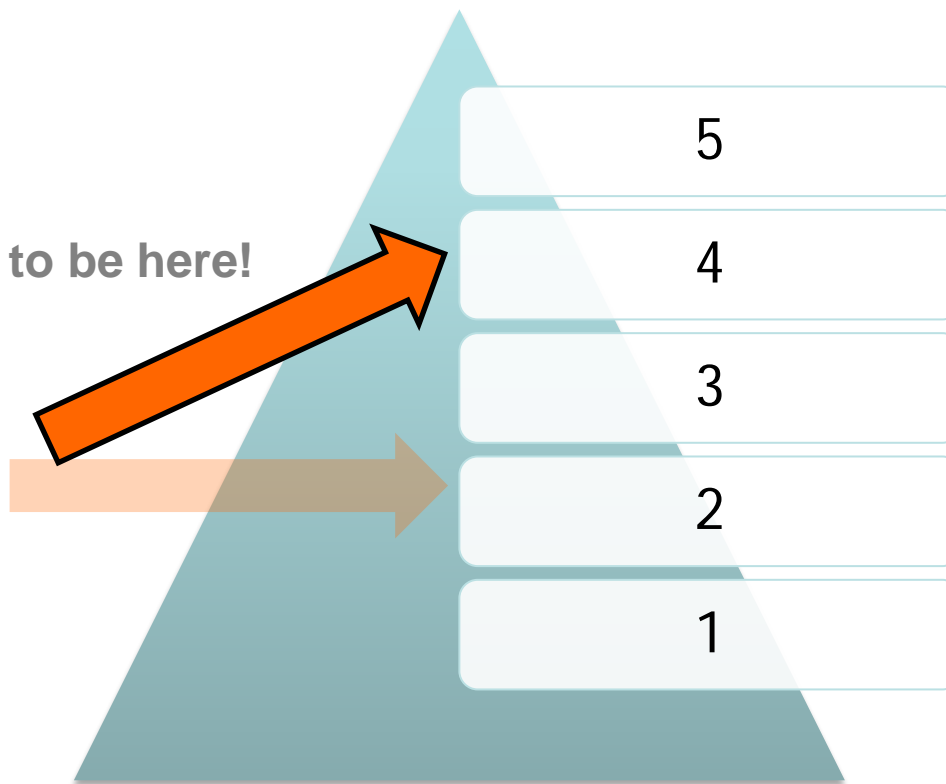
- At step 3 - Identification and implementation of the improvements based on the preliminary audit.
- Workshops (face2face and online) with repository managers

| Future steps

- Implement the actions
- Final Audit

| Where we want to be?

We want to be here!



| Thanks!

Questions ?

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