

# UNT and UF Pilot Project of a Peer-to-Peer Process for Becoming a Trusted Digital Repository Handout for Joint Chairs Meeting on 12 Nov. 2014

## TRAC Sections and Goal Schedule

- A. Organizational Infrastructure: Sept.-Dec. 2014
- B. Digital Object Management: Jan.-April 2015
- C. Technologies, Technical Infrastructure, & Security: May-August 2015

## Recent and Upcoming Activities

- Oct. 8: Met with SASC for aggregation review/update (list: <http://ufdc.ufl.edu/AA00017119/00033>). Updating aggregations; Contact emails (remove AskA); Rights Statements (plans for bulk updates or next steps for manual updates); Requests for collections needing OCLC records; Ensuring all curators have rights to their collections for editing homepages; Updating/assisting on collection homepage updates; Establishing standard homepage text for archival-based collections and/or other collections
- Oct. 27: DLF presentation: <http://ufdc.ufl.edu/AA00017119>

## Current:

Working on documentation overall for a manual and two additional, compiled documents:

**Draft collection development plan** (following <http://www.ifla.org/files/assets/acquisition-collection-development/publications/gcdp-en.pdf>) to cover major TRAC elements, including:

- A1.1 - Mission Statement
- A1.2 - Succession plans?
- A3.1 - Designated Communities
- A3.2 - Things in place to review policies
- A3.3 - process to capture legal permissions
- A3.4 - Formal Review of procedures?
- A3.5 - Feedback from users and challenges to data online
- A5.1 - Legal rights to preserve - talk about what we do and where they are located
- A5.2 - Rights to collect preserve - talk about what we do and where they are stored/located
- A5.3 - Partnership agreements (appendix)
- A5.4 - Rights and Restrictions (portal open, gateway open, digital - open, restricted)
- A5.5 - Process for handling challenges

**Staffing, planning, and finances document:** much of the other information could fit into another document related to: Staffing; Planning; Finances; other information for TRAC.

**Manual:** Essentially, these two documents could cover the needed areas for TRAC purposes. In addition to the requirements specifically for TRAC, for UF's operational and organizational needs, the UF TRAC group has determined that a manual-style document would be best for supporting operations,

reporting, training, and other aspects, so the end products from TRAC will include new documentation specifically for TRAC and as related to TRAC for UF in a manual-style format.

## **TRAC**

### **Section A. Organizational Infrastructure**

#### A1. Governance & organizational viability

A1.1 Repository has a mission statement that reflects a commitment to the long-term retention of, management of, and access to digital information.

A1.2 Repository has an appropriate, formal succession plan, contingency plans, and/or escrow arrangements in place in case the repository ceases to operate or the governing or funding institution substantially changes its scope.

#### A2. Organizational structure & staffing

A2.1 Repository has identified and established the duties that it needs to perform and has appointed staff with adequate skills and experience to fulfill these duties.

A2.2 Repository has the appropriate number of staff to support all functions and services.

A2.3 Repository has an active professional development program in place that provides staff with skills and expertise development opportunities.

#### A3. Procedural accountability & policy framework (documentation)

A3.1 Repository has defined its designated community(ies) and associated knowledge base(s) and has publicly accessible definitions and policies in place to dictate how its preservation service requirements will be met.

A3.2 Repository has procedures and policies in place, and mechanisms for their review, update, and development as the repository grows and as technology and community practice evolves.

A3.3 Repository maintains written policies that specify the nature of any legal permissions required to preserve digital content over time, and repository can demonstrate that these permissions have been acquired when needed.

A3.4 Repository is committed to formal, periodic review and assessment to ensure responsiveness to technological developments and evolving requirements.

A3.5 Repository has policies and procedures to ensure that feedback from producers and users is sought and addressed over time.

A3.6 Repository has a documented history of the changes to its operations, procedures, software, and hardware that, where appropriate, is linked to relevant preservation strategies and describes potential effects on preserving digital content.

A3.7 Repository commits to transparency and accountability in all actions supporting the operation and management of the repository, especially those that affect the preservation of digital content over time.

A3.8 Repository commits to defining, collecting, tracking, and providing, on demand, its information integrity measurements.

A3.9 Repository commits to a regular schedule of self-assessment and certification and, if certified, commits to notifying certifying bodies of operational changes that will change or nullify its certification status.

#### A4. Financial sustainability

A4.1 Repository has short- and long-term business planning processes in place to sustain the repository over time.

A4.2 Repository has in place processes to review and adjust business plans at least annually.

A4.3 Repository's financial practices and procedures are transparent, compliant with relevant accounting standards and practices, and audited by third parties in accordance with territorial legal requirements.

A4.4 Repository has ongoing commitment to analyze and report on risk, benefit, investment, and expenditure (including assets, licenses, and liabilities).

A4.5 Repository commits to monitoring for and bridging gaps in funding.

A5. Contracts, licenses, & liabilities

A5.1 If repository manages, preserves, and/or provides access to digital materials on behalf of another organization, it has and maintains appropriate contracts or deposit agreements.

A5.2 Repository contracts or deposit agreements must specify and transfer all necessary preservation rights, and those rights transferred must be documented.

A5.3 Repository has specified all appropriate aspects of acquisition, maintenance, access, and withdrawal in written agreements with depositors and other relevant parties.

A5.4 Repository tracks and manages intellectual property rights and restrictions on use of repository content as required by deposit agreement, contract, or license.

A5.5 If repository ingests digital content with unclear ownership/rights, policies are in place to address liability and challenges to those rights.