



Data Archiving and Networked Services

DIN@DANS

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DASISH workshop on trust and certification
The Hague, October 17, 2014



From *What* to *SWOT*

- ✓ What: Christian's presentation about DIN/nestor
- ✓ Why: Ingrid's presentation about DSA@DANS
- How DANS prepares for a nestor seal application: the people and the process
- Preliminary SWOT analysis



Why? Ingrid recapped:

- Certification as a means to strengthen trust in our repository among our clients (both depositors and users of data), our partner organisations and research funders
- Certification as big stick a to further develop and professionalise our core services and our organisation as a whole





How? The people

- About twenty DANS staff involved:
 - Data manager
 - Archive system developers and technical archivist
 - Legal expert
 - Information managers
 - Technical support
- Core team:
 - PL = Policy Coordinator (certification, vice-director)
 - Coordinator Archive (archival processes, MT)
 - Coordinator IT Development (technology, MT)
 - Services integration manager (process architecture)
 - Policy officer (operational project manager)



How? The process - 1

- Analyse the criteria:
 - Interpretation? **Varies...**
 - Relation to our archive? **Current, ideal or inbetween?**
 - Proposed evidence available or not yet? **Depends on above...**
 - Delegate the criteria to “owners”:
 - Current (**subjective**) score?
 - How to bridge the gap between “Is” and “**Should be**”?
- Outcome:



First inventory, seven months ago:

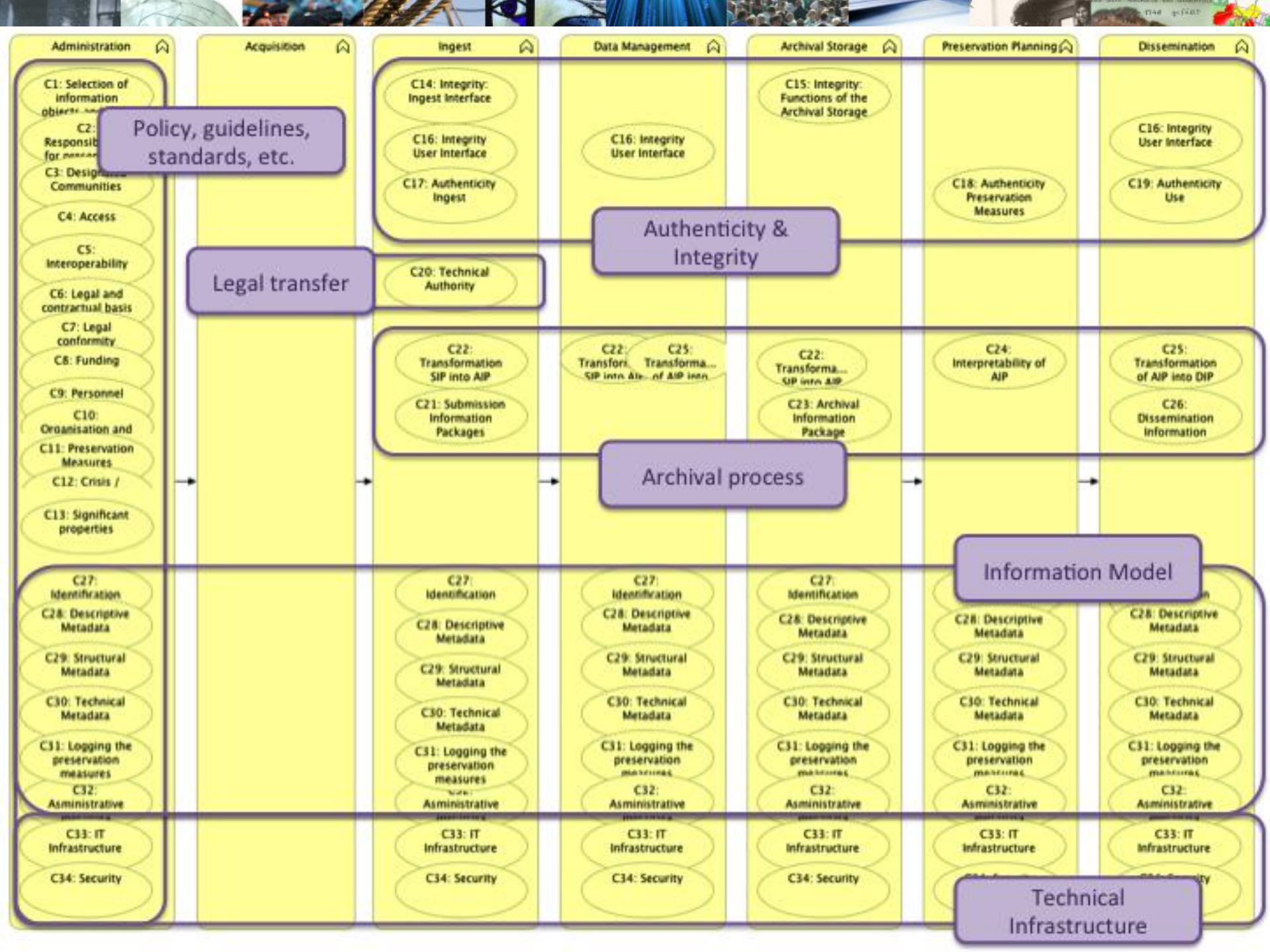
CN	Criteria Title	
C01	Selection of information objects and their representations	6
C02	Responsibility for preservation	10
C03	Designated Communities	6
C04	Access	6
C05	Interpretability	6
C06	Legal and contractual basis	10
C07	Legal conformity	6
C08	Funding	3
C09	Personnel	10
C10	Organisation and Processes	10
C11	Preservation Measures	6
C12	Crisis / Successorship management	3
C13	Significant properties	0
C14	Integrity: Ingest interface	3
C15	Integrity: Functions of the Archival Storage	3
C16	Integrity: user interface	3
C17	Authenticity: Ingest	0-3
C18	Authenticity: Preservation measures	0-3
C19	Authenticity: Use	0
C20	Technical Authority	10
C21	Submission Information Packages	6
C22	Transformation of the SIPs into AIPs	3
C23	AIPs	3
C24	Interpretability of the AIPs	6
C25	Transformation of the AIPs into DIPs	6
C26	DIPs	6
C27	Identification	0-3
C28	Descriptive metadata	10
C29	Structural metadata	6
C30	Technical metadata	3
C31	Logging the preservation measures	3
C32	Administrative metadata	3
C33	IT Infrastructure	10
C34	Security	3



Score should be 10



Average score should be 7





How? The process - 3

DIN Certification (KNAW) ▶ DIN Evidence	
TITEL	TITEL
1 - Organisational Policies Gedeeld	1.1 Mission and Strategy Gedeeld
2 - Archival Policies Gedeeld	1.10 DANS Legal Policy Gedeeld
3 - Customer Guidelines and	1.2 Mission and Strategy (English summary) Gedeeld
4 - Technical Documentation	1.3 DANS Governance - KNAW and NWO Gedeeld
5 - Internal Workflow Docum	1.4 DANS Statutes Gedeeld
	1.5 DANS Organisational Chart Gedeeld
	1.6 DANS Job Descriptions Gedeeld
	1.7 DANS Budget Plan Gedeeld
	1.8 DANS Cost Model Gedeeld
	1.9 DANS Security Policy Gedeeld



How? The process - 3

Plus underlying table:

No.	Kind of documentation	Supports criterion	Location	DSA aequivalent
Archive policy				
2,1	preservation policy	1, 11, 24	http://dans.knaw.nl/sites/default/files/file/EASY/20140220%20Pre%20Policy%20v1_0.pdf	6
2,2	preservation strategy	2,3,5, 13		
2,3	License agreements	2, 9, 20, 22	http://www.dans.knaw.nl/sites/default/files/file/archief/Licence_agreement_DANS_UK.doc	2,5
2,4	Conditions of use	4,9	http://www.dans.knaw.nl/en/content/dans-conditions-use-reuse-deposited-data	5
2,5	documentation of designated communities, significant	3,13		
2,6	selection policy	1		
2,7	submission policy	20 e.a.		
Customer guidelines & instructions				
3,1	Depositing instruction	20	http://www.dans.knaw.nl/en/content/data-archive/depositing-data	1,3
3,2	Preferred formats	5, 11, 24	http://www.dans.knaw.nl/sites/default/files/file/EASY/DANS%20preferred%20formats%20UK%20DEF.pdf	2
3,3	Guidelines for appraising and selecting research	1		
3,4	Data request forms	4		
Technical documentation				
4,1	SLA with data storage management provider	12,15		6
4,2	crisis management plan	12, 34		9
4,3	(EASY) Architecture guide	14,15,16, 21, 23, 26		
4,4	application architecture	14, 15, 16		1, 3



Certification in practice

The actual work ->

- Broad range of topics: organisational, staffing, financial and legal aspects, archival processes, IT infrastructure, risk management, etc.
- Properly describing policies, processes, etc.
- Development of missing policies, processes, IT and infrastructural elements, etc.





Preliminary SWOT analysis

Strengths:

- Many DANS staff involved > commitment
- Valuable ideas for making the archive more robust and efficient
- No ad hoc “remedies” needed

Weaknesses:

- Many DANS staff involved > discussions
- Tendency to wait for outcomes of related activities

Opportunities:

- Be (among) the first nestor-certified archive(s) > fulfil strategic ambition to inspire trust
- Case study ‘what does DIN cost?’
- Synergy with DRAMBORA issues
- Increase trust awareness of our external service provider

Threats:

- Scope creep > process never finishes
- Process takes away too much capacity from other projects



[Image source](#)

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DANS is an institute of KNAW en NWO

Driven by data