

**Society of American Archivists
Council Meeting
August 6, 2012
San Diego, California**

**Standards Committee: Endorsement of *ISO 16363:2012—
Space Data and Information Transfer Systems—Audit and
Certification of Trustworthy Digital Repositories***
(Prepared by: Standards Committee Co-Chairs Cory Nimer and Marcy Flynn)

The SAA Standards Committee received a proposal from the SAA Preservation Section in April 2012 requesting SAA's endorsement of *ISO 16363:2012—Space Data and Information Transfer Systems—Audit and Certification of Trustworthy Digital Repositories*. As part of its charge, the Standards Committee has the responsibility to “monitor and review, and recommend for endorsement when appropriate, other national and international standards that affect archival practice.”

The Standards Committee reviewed the proposal and the standard according to established procedures. Based on this review, the SAA Standards Committee supports endorsement of the standard.

BACKGROUND

This standard is based on the Trustworthy Repositories Audit and Certification (TRAC) checklist developed by the Research Libraries Group (RLG), and the National Archives and Records Administration (NARA) in 2003. (Note: RLG merged with OCLC in 2006 and no longer exists as a separate entity.) The development of the standard was completed largely through the Consultative Committee for Space Data Systems (CCSDS). It was released as a “Recommended Practice” by CCSDS in September 2011 as CCSDS 652.0-M-1 (available for download at <http://public.ccsds.org/publications/archive/652x0m1.pdf>). This document was then approved by the International Standards Organization (ISO) in April 2012 as ISO 16363:2012.

The ISO document is based on the Open Archival Information System (OAIS) Reference Model and the TRAC guidelines. It provides a critical expansion of these documents, including definitions and guidelines for establishing and managing a trusted repository. As such, ISO 16363:2012 documents objective criteria for auditing repositories. Although the development of ISO 16363 was largely managed by CCSDS without direct input by the SAA Standards Committee, many archivists served as members of the

development team for ISO 16363 and TRAC. It has been slated for endorsement by the SAA Council as part of the Strategic Priorities since 2010.¹

DISCUSSION

According to ISO 16363:2012, the standard is “a technical Recommendation to use as the basis for providing audit and certification of digital repositories.” Although this standard might be useful for any repository, it is particularly useful for digital preservation repositories. The primary contribution of the standard, however, is that by establishing objective requirements for a trusted digital repository it enables adequate auditing to take place. Major components of the standard include guidelines related to supporting organizational infrastructure, digital object management, and technical infrastructure and security.

Although the ISO standard does not include auditing checklists in the same way as the earlier TRAC documentation, it does assume that audits will be necessary for determining and maintaining the status of a “trustworthy repository.” As suggested in the SAA Strategic Priorities, endorsement of the standard by SAA facilitates its closer integration into educational offerings. Endorsement also provides the opportunity to develop tools and resources for recognizing trusted repositories.

RECOMMENDATION

THAT ISO 16363:2012—*Space Data and Information Transfer Systems—Audit and Certification of Trustworthy Digital Repositories* be endorsed as an external standard.

Support Statement: The standard provides guidelines intended to provide the basis for assessing the trustworthiness of a digital repository. Endorsement demonstrates support for the development of trustworthy digital libraries, and positions SAA to develop educational and auditing programs related to the standard.

Impact on Strategic Priorities: Endorsement of the standard fulfills Strategic Priority 1, Technology, Desired Outcome 2, Activity a, and will allow for the completion of the associated activities in that section of the Strategic Plan.

Fiscal Impact: Expenses related to updates in the Standards Portal are negligible.

¹ Society of American Archivists, Strategic Priority Outcomes and Activities, FY 2010–FY 2014, , pp. 4–5: “**Desired Outcome #2:** SAA will develop standards, or endorse appropriate standards developed by other organizations, to improve the appraisal, capture, and preservation of, and access to, born-digital records, and will promulgate those standards to the archives community.

Measurable Activities: a. Endorse and publicize the International Standards Organization’s “Trusted Digital Repositories” standard. (FY 2010–FY 2011) ...

c. Provide education (including case studies and model implementation plans) to repositories and their representatives on the requirements to become [or use] a trusted digital repository. (FY 2013–FY 2014)

d. Determine baseline of member and nonmember institutions (repositories) that may qualify for ISO certification as a “trusted digital repository.” (FY 2013)

e. Develop and implement a program to recognize trusted digital repositories, including a “Find a Trusted Digital Repository” online resource. (FY 2014) ”