



Australian Data Archive as a Trusted Digital Repository, The Data Seal of Approval in the Australian Context.

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Outline of Presentation

- ADA Background
- DSA/WDS name change to Core Trust Seal
Process & Outcomes
- Assessing Core Trust Seal in Australia

A brief history of ADA

- The Social Science Data Archive (now ADA) was set up in 1981, housed in the Research School of Social Sciences at the Australian National University
- Mission: provide a national service for the collection and preservation of digital research data and to make these data available for secondary analysis by academic researchers and other users.
- The Archive holds over 5000 datasets from around 1500 studies, including national election studies; public opinion polls; social attitudes surveys, censuses, aggregate statistics, administrative data and many other sources.
- Data holdings are sourced from academic, government and private sectors.

ADA Data Holdings

ADA data holdings cover a wide variety of subject areas:

- Ageing
- Business and management
- Census data
- Culture
- Demography
- Drugs, alcohol and tobacco
- Economics
- Education, employment and work
- Environment, Conservation, Land use
- Family studies
- Foreign affairs
- Gambling
- Health
- Housing
- Law, Crime, Courts
- Mass media, communication and language
- Migration, immigration and multiculturalism
- Politics and elections
- Public opinion and social attitudes
- Psychology
- Quality of life
- Science, Technology
- Social welfare
- Sociology
- Tourism, recreation and leisure
- Travel and transport

Current status ADA

- Currently placed in the ANU Centre for Social Research and Methods
 - Data, Methods and Research focus
- Still broad based Social Science Research Data
 - Research data
 - Government data
 - Some private sector and NGO data
- Serviced by National Computational Infrastructure

Types of Assessment Available

	Core	Extended	Formal
	Core Trust Seal (formerly DSA/WDS)	DIN 31644	ISO: International Organization for Standardization
Number of guidelines	16		100+
Type of certification	Fee implemented in 2018	Paid assessment	Paid assessment

DSA/WDS Process

- Received funding from ANDS to undertake a study to assess ADA's position as a "trusted repositories"
 - The Australian National Data Service (ANDS) makes Australia's research data assets more valuable for researchers, research institutions and the nation.
- Initially looked at documentation using 2014-2017 ("pre-WDS") assessment guidelines
- Following publication in September 2016, decided to focus on requirements for new (DSA/WDS) standard
- Started the "official" DSA/WDS process in March
 - Submitted early April
 - Review due late May arrived end August
- Used new (November 2016) criteria of DSA/WDS
- New name/website same criteria Core Trust Seal

DSA/WDS transition to Core Trust Seal

- What changed in moving from DSA to DSA/WDS?
- From 2010 to 2014/2017
 - minor wording change same order of questions
- From 2014-17 to DSA/WDS (2017-2019)
 - Major extension of the breadth and focus:
 - No direct 1 to 1 match of guidelines - some entail up to 5 of the 2014 guidelines
 - Two guidelines do not have corresponding parts in former guidelines
 - NEW: Organisational structure and expert guidance
 - When undertook no organisations to reference for examples
 - Currently 6 Core Trusted Seal awarded (as at Oct 2017)

Core Trust Seal Process

- Emphasis moved from more general to specific items
- More IT, Security, IT preservation, Risk management emphasis
- Governance, Expert Guidance, Business Plans/Budget
- Data quality assurance
- Applicable and Appropriate outsourced items

Examples from new guidelines

V. Organizational infrastructure

R5. The repository has adequate funding and sufficient numbers of qualified staff managed through a clear system of governance to effectively carry out the mission.

Compliance Level 

Response

Guidance:

Repositories need funding to carry out their responsibilities, along with a competent staff who have expertise in data archiving.

For this Requirement, responses should include evidence related to the following:


- The repository is hosted by a recognized institution (ensuring long--term stability and sustainability) appropriate to its Designated Community.
- The repository has sufficient funding, including staff resources, IT resources, and a budget for attending meetings when necessary. Ideally this should be for a three- to five-year period.
- The repository ensures that its staff have access to ongoing training and professional development.
- The range and depth of expertise of both the organization and its staff, including any relevant affiliations (e.g., national or international bodies), is appropriate to the mission.

Challenges in the Process

- What are the “minimum” requirements?
 - Previously have recommendation on minimum
 - Current no advice on appropriate or expected level – our assumption is that you need at least a “1”
 - Do you have to respond to all the guidelines?
- Complex interplay between guidelines and relevant documents
- How to provide evidence from documents/items not in the public domain
- Assessor wants timelines for “in process of implementation” but no indication of this in the documentation
- 9 of 16 guidelines required edits. In addition most links required website updates due to changes.
- Process timeframes and outcomes unclear

Core Trust Seal Outcomes

- Identified 4 guidelines set at level 3
 - 7 Data integrity and authenticity
 - 10 Preservation plan
 - 15 Technical infrastructure
 - 16 Security
- Identified 12 guidelines set at level 4
 - Assessor indicated potential to move Guideline 9 Documented storage procedures to a 3



Assessing the application of Core Trust Seal in the Australian context



Other certified Australian organisations

- DSA certification 2012 at 2010 standards
 - PARADISEC (2012)
- ICSU World Data System Regular Members
 - Australian Antarctic Data Centre
 - WDC Space Weather, Australia
- No Core Trust Seal in Asia Pacific
- *Note: The new system will incur a fee from 2018 but I have not found out the amount. Also it is a requirement for WDS base membership but does not indicate that getting the Core Trusted Seal gives you membership.*

Australian context

- Research Data Australia (ANDS discovery service) lists 103 “Research organisations”
- Mostly
 - Institutional repositories
 - Disciplinary repositories/archives
 - Government agencies

Australian context

Considerations for the application of DSA/WDS:

- Complexity of Institutions and Repositories
- National Frameworks
- Funding Frameworks
- Infrastructure Frameworks
- Governance frameworks

Our assessment: These are not Australian-specific challenges, but reflections of the diversity of the “repository sector”.

Question: does Core Trust Seal adequately support the variation in repository types that exist within the above frameworks?



Recommendations from our experience

- Detailing items in public domain
- How to cite items out of public domain
 - Should we move “private” elements into the public domain?
- How to explain items out of our direct control
 - E.g. funding, infrastructure, governance
- Risk management standards
 - Do you (and should you) need to meet ISO requirements in order to comply with the basic Core Trust Seal requirements?
- Will the guidelines be freely available to undertake self assessment without obtaining a seal or paying a fee?



Thank you.

Anything further please contact us:

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