Data Archiving and Networked Services
DANS

DANS Data Trail

Certificering voor erfgoedinstellingen met de Nieuwe CoreTrustSeal Requirements

Veranderingen op een rij
Panelgesprek met expertgroep
Q&A

WEBINAR

17 November 2022
10:30 - 11:40 CET

Maaike Verburg
DANS, dienstmanager Wegwijzer Certificering

Lisa de Leeuw
DANS, Hoofd CoreTrustSeal secretariaat

Expertgroep Wegwijzer Certificering Panelleden

- Walter Swagemakers - EYE Film
- Daniel Steinmeier - Koninklijke Bibliotheek
- Robert Gillesse - IISG

CORE TRUST SEAL

samenwerkend in
netwerk digitaal erfgoed

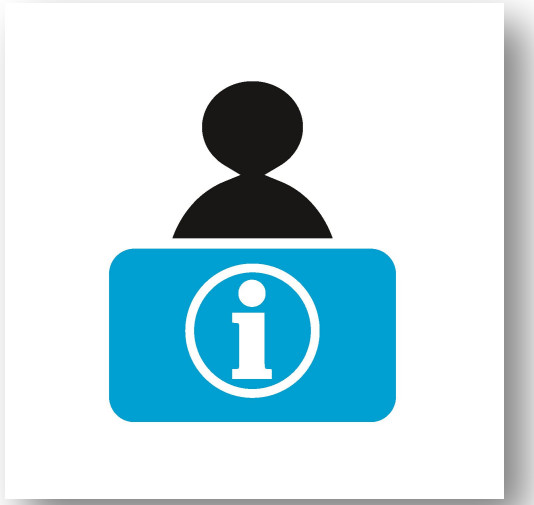
Huisregels

- Houd je **microfoon gedempt** en **camera uit** tijdens de presentaties.
- **Vragen?** Deel ze in de **chat** tijdens de presentaties. Tijdens de discussie kun je je hand opsteken en de vragen zelf stellen.
- Wees ervan bewust dat dit gehele evenement wordt **opgenomen** en **gepubliceerd**.
- Voel je vrij om op sociale media te praten over dit evenement - gebruik **@DANS_knaw_nwo** op Twitter
- Neem en publiceer a.u.b. geen **screenshots** van participanten zonder toestemming te vragen.

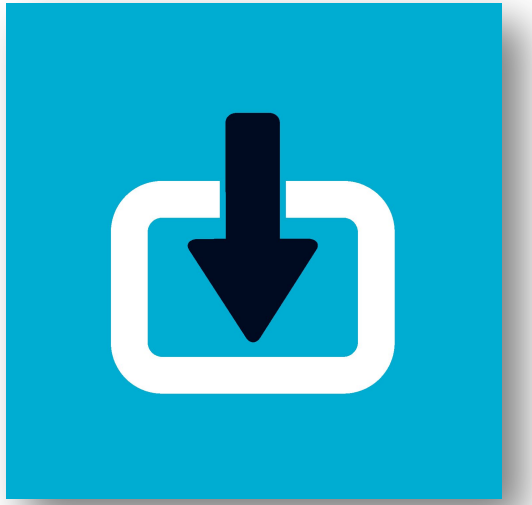
Agenda

10:30 - 10:40	Welkom en huisregels, introductie (Maaike)
10:40 - 10:50	De nieuwe CoreTrustSeal requirements (Lisa)
10:50 - 10:55	Plannen voor Wegwijzer Certificering (Maaike)
10:55 - 11:15	Panelgesprek met ervaringsdeskundigen
11:15 - 11:35	Q&A sessie
11:35 - 11:40	Afronding

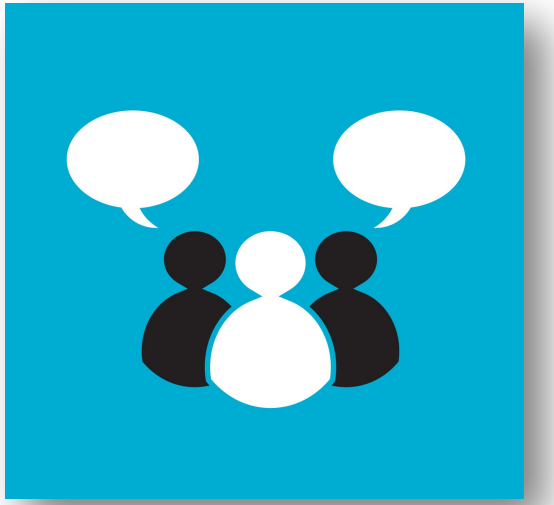
Data Archiving and Networked Services



Expertisecentrum



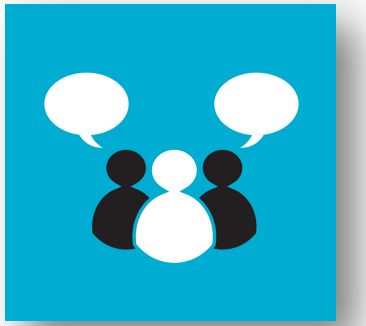
Veelzijdig repository



Actieve collaborateur

DANS & Netwerk Digitaal Erfgoed

- Netwerk van organisaties op het gebied van cultuur, erfgoed, onderwijs en onderzoek
- Samenwerkingen, projecten, training
- Stelsel van landelijke voorzieningen en diensten



netwerk digitaal erfgoed

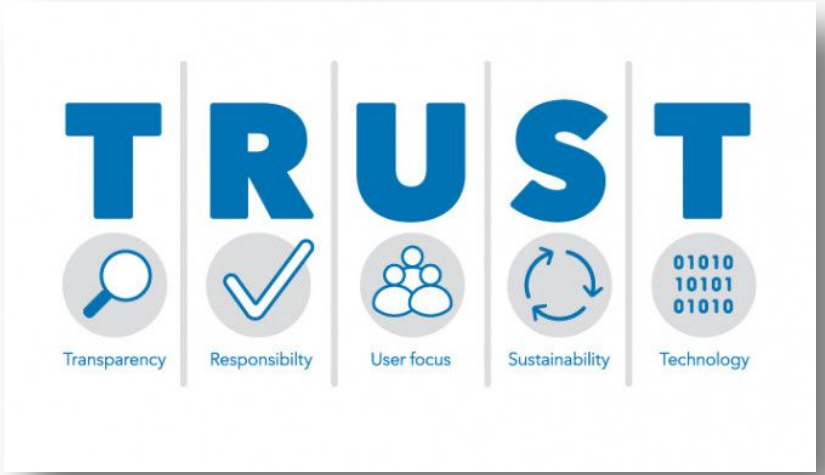
Wegwijzer Certificering

- Hulpmiddel voor erfgoedinstellingen om meer te leren over en aan de slag te gaan met certificering
  - Informatie en toelichting
  - Stappenplan
  - Tips uit de praktijk
  - Materialen

https://wegwijzercertificering.nl/nl

Certificering

- Manier om betrouwbaarheid van archief te communiceren
- Goede zorg, toegankelijk maken, veiligstellen voor de toekomst
- Gebaseerd op kernwaarden van archieven



CoreTrustSeal 2023-2025

Revisions Overview

Lisa de Leeuw
DANS
Head CoreTrustSeal Secretariat

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Two step certification process

Self assessment based on 16 Requirements (URLs of documented public evidence + compliance level) with extended guidance

Peer review by two expert and independent reviewers under the responsibility of the CoreTrustSeal Standards and Certification Board

- Successful applications are made publicly available
- Administrative fee of 1,000 euro
- Certification valid 3 years

Three year revision structure to continually meet..

- The rapidly changing nature of data and information management infrastructure.
- The presence of clear community expectations against which assessments can be made.
- The need to deliver a low-barrier to entry and ‘core’ set of requirements.

Revision Process for 2023-2025

- Reviewed applications over last three years
- Drafted suggested changes and additions
- Surveyed the community
- Reviewed feedback
- Incorporated feedback into draft
- Board reviewed and approved new draft
- Release of final draft
- Final error checking by community and board
- Release of 2023-2025 requirements

Average responses across all proposed changes

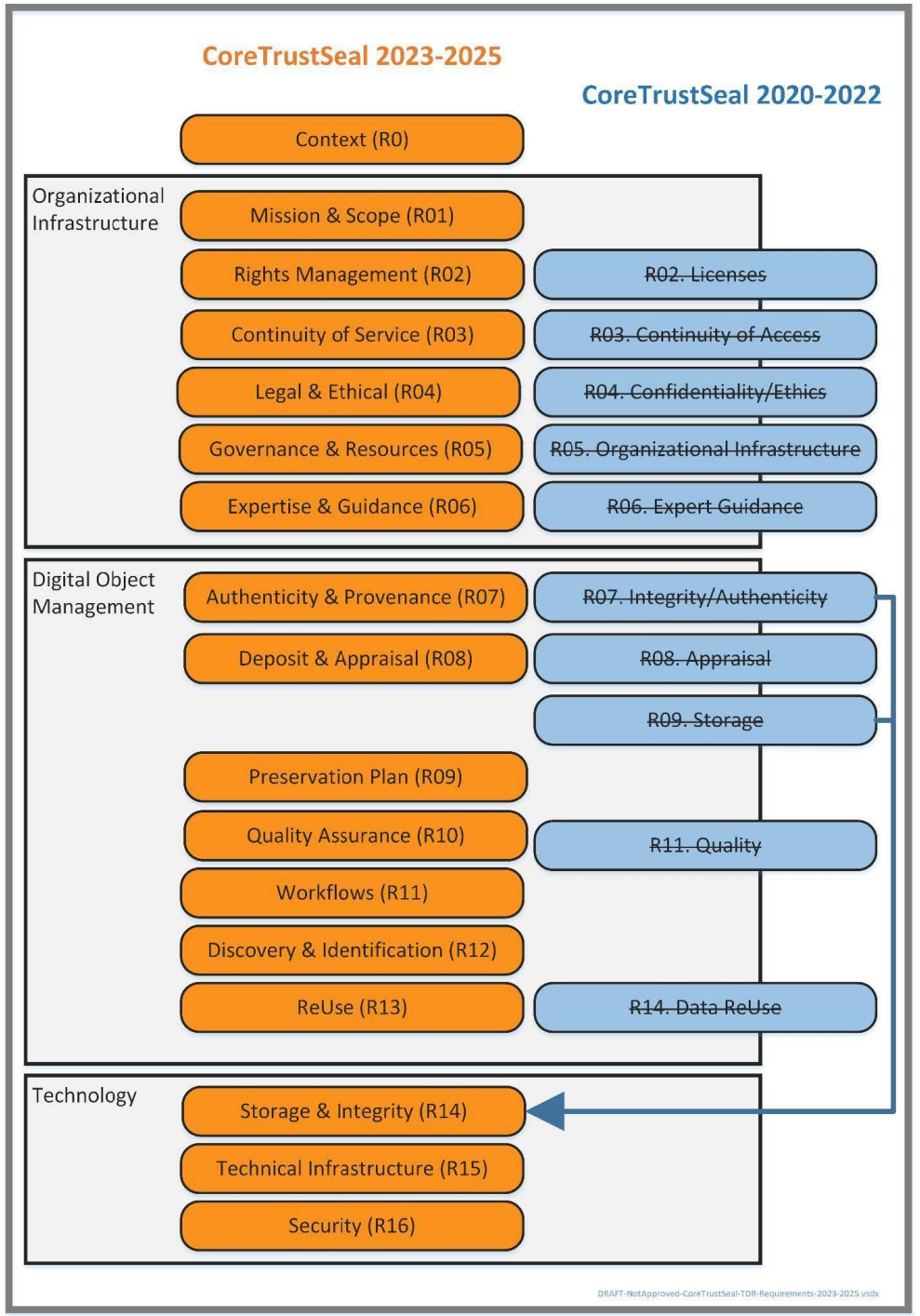
- Suggested changes to the requirements listed in the community survey were overwhelmingly supported by the survey participants with 78% agreeing with proposed changes on average across the survey.

Typical Changes

- 2023-25 addresses
  - structural changes
  - textual changes
  - updates to improve clarity
  - updates to maintain alignment with the repository and data infrastructure landscape.

Overview of Changes

Overview of changes video:
2022 Changes to the CoreTrustSeal Requirements 2023-2025
https://youtu.be/THpQ158qKIo



Compliance levels

The applicant must indicate a compliance level for each of the Requirements:

- *In Progress: the repository is in the implementation phase.*
- *Implemented: the requirement has been fully implemented by the repository.*

Compliance levels are an indicator of the applicant's self-assessed progress, but reviewers judge compliance against response statements and supporting evidence.

Additional Triage Process

- Expedite Questions of In Scope/Out of Scope
- Identify Active vs Passive preservation differences
- Assist community discussions on levels of preservation with discussion paper
  - https://doi.org/10.5281/zenodo.6908018

Clarifications Added

- In cases where the scope was too narrowly focused on ‘data’, the use of the term ‘digital object’ has been expanded and used, alongside “data and metadata”.

Updates to Repository Background Information

- Context of the repository typology has been replaced by a free text option and a request to select either ‘specialist’ or ‘generalist’. Specialist repositories are asked to clarify their specialist scope.

Next Steps and Timeline

- October 31st pause submissions to transition over
- November- December work on existing submissions
- Early 2023 begin accepting application under new requirements

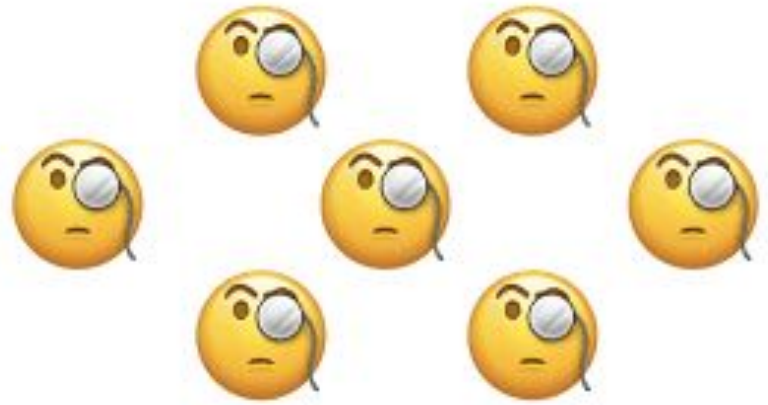
References

- https://www.coretrustseal.org/why-certification/requirements/
  - **CoreTrustSeal Requirements 2023-2025** (https://doi.org/10.5281/zenodo.7051011)
  - **CoreTrustSeal Extended Guidance 2023-2025** (https://doi.org/10.5281/zenodo.7051095)
  - **CoreTrustSeal Glossary 2023-2025** (https://doi.org/10.5281/zenodo.7051124)
  - **Change file CoreTrustSeal Requirements 2020-2022 and 2023-2025** (https://doi.org/10.5281/zenodo.7035111)
  - **VIDEO 2022 Changes to the CoreTrustSeal Requirements 2023-2025** (https://youtu.be/THpQ158qKlo)

Call for help:

Assembly of reviewers:

https://www.coretrustseal.org/about/assembly-of-reviewers/



More information on governance in the Rules of Procedures:

https://doi.org/10.5281/zenodo.1142960

Thank you for listening

Email: info@coretrustseal.org
Website: https://www.coretrustseal.org/

Mission & Scope (R01)

- **R01. The repository has an explicit mission to provide access to and preserve digital objects.**
- Was: 1. Mission/Scope. R1. The repository has an explicit mission to provide access to and preserve data in its domain.

Rights Management (R02)

- **R02. The repository maintains all applicable rights and monitors compliance.**
- Was: 2. Licenses. R2. The repository maintains all applicable licenses covering data access and use and monitors compliance.
- Updated to reflect the fact that rights management goes beyond the traditional signing of a license agreement at the point of deposit or access and includes all the measures necessary to manage the permission, prohibitions and obligations of all actors involved in managing data and metadata. Many digital objects have some rights attached even if there is no license artifact as traditionally understood.

Continuity of Service (R03)

- **R03. The Repository has a plan to ensure ongoing access to and preservation of its data and metadata.**
- Was: 3. Continuity of access. R3. The repository has a continuity plan to ensure ongoing access to and preservation of its holdings.
- This change more accurately reflects the scope of the requirement as covering ongoing services offered by the repository including access but also measures to ensure ongoing preservation. Avoids possible confusion with Access in the sense used by the FAIR Principles.

Legal & Ethical (R04)

- **R04. The repository ensures to the extent possible that data and metadata are created, curated, preserved, accessed and used in compliance with legal and ethical norms.**
- Was: 4. Confidentiality/Ethics. R4. The repository ensures, to the extent possible, that data are created, curated, accessed, and used in compliance with disciplinary and ethical norms.
- This change highlights that many data protection measures are legally as well as ethically governed. This was already covered in the guidance text but is made more explicit. There is a stronger focus on evidence that demonstrates the applicants understanding of the legal and ethical framework they work within. References to ‘discipline’ have been adjusted to support a wider range of applicants. There is clearer separation of general guidance from that related to digital objects with a disclosure risk.

Governance & Resources (R05)

- **R05. The repository has adequate funding and sufficient numbers of staff managed through a clear system of governance to effectively carry out the mission.**
- Was: 5. 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.
- This change more accurately reflects the scope of the Requirement. Potential overlap is avoided by adjusting references to qualifications and expertise that are more appropriate to Expertise and Guidance (R06) below.

Expertise & Guidance (R06)

- **R06. The repository adopts mechanisms to secure ongoing expertise, guidance and feedback- either in-house, or external.**
- Was: 6. Expert guidance. R6. The repository adopts mechanism(s) to secure ongoing expert guidance and feedback (either in-house, or external, including scientific guidance, if relevant).
- This requirement will now include any guidance on internal or external expertise previously included under Governance & Resources (R05). The reference to scientific guidance is removed from the long requirement text and included in the guidance.

Provenance and authenticity (R07)

- **R07. The repository guarantees the authenticity of the digital objects and provides provenance information.**
- Was: 7. Data integrity and authenticity
- R7. The repository guarantees the integrity and authenticity of the data.
- This change focusses the requirement on measures to manage planned change. It was clear from previous applications that the topic of integrity was addressed primarily in technical terms. Integrity measures are now addressed alongside storage under Technical and Security, see Storage & Integrity (R14). The Board proposes to retain the R07 focus on authenticity and to address integrity measures alongside storage (see R09) under the Technology subsection of CoreTrustSeal

Deposit & Appraisal (R08)

- **R08. The repository accepts data and metadata based on defined criteria to ensure relevance and understandability for users.**
- Was: 8. Appraisal. R8. The repository accepts data and metadata based on defined criteria to ensure relevance and understandability for data users.
- This change reflects the focus on the appraisal and assessment of data and metadata at the point they are offered to a repository. Re-appraisal of digital objects over time is included under Preservation Plan (R09)

Preservation plan (R09)

- **R09. The repository assumes responsibility for long-term preservation and manages this function in a planned and documented way.**
- Was: 10. Preservation plan. R10. The repository assumes responsibility for long-term preservation and manages this function in a planned and documented way.

Quality Assurance (R10)

- **R10. The repository addresses technical quality and standards compliance, and ensures that sufficient information is available for end users to make quality-related evaluations.**
- Was: 11. Data quality. R11. The repository has appropriate expertise to address technical data and metadata quality and ensures that sufficient information is available for end users to make quality related evaluations.
- Repository quality assurance is often related to ‘standards compliance’. The requirement is intended to demonstrate that the repository provides data and metadata of sufficient ‘technical quality’. This should be sufficient to allow users to make assessments about their ‘scientific quality’. References to ‘expertise’ are removed to avoid overlap with Expertise & Guidance (R06)

Workflows (R11)

- **R11. Digital object management takes place according to defined workflows from deposit to access.**
- Was: 12. Workflows. R12. Archiving takes place according to defined workflows from ingest to dissemination.
- The language of the Requirement has been updated to reflect that most commonly used within the applicant community.

Discovery and Identification (R12)

- **R12. The repository enables users to discover the digital objects and refer to them in a persistent way through proper citation.**
- Was: 13. Data discovery and identification. R13. The repository enables users to discover the data and refer to them in a persistent way through proper citation.

Reuse (R13)

- **R13. The repository enables reuse of the digital objects over time, ensuring that appropriate information is available to support understanding and use.**
- Was: 14. Data reuse. R14. The repository enables reuse of the data over time, ensuring that appropriate metadata are available to support the understanding and use of the data.

Storage & Integrity (R14)

- **R14. The repository applies documented processes to ensure data and metadata storage and integrity.**
- Was: 9. Documented storage procedures R9. The repository applies documented processes and procedures in managing archival storage of the data.
- It was clear from previous applications that the topic of storage was addressed primarily in technical terms. This change moves Storage into the Information Technology and Security sub-section and unites it with integrity (previously included under R07) to cover the avoidance of unintended changes to data and metadata.

Technical Infrastructure (R15)

- **R15. The repository is managed on well-supported operating systems and other core infrastructural software and hardware appropriate to the services it provides to its Designated Community.**
- Was: 15. Technical infrastructure R15. The repository functions on well-supported operating systems and other core infrastructural software and is using hardware and software technologies appropriate to the services it provides to its Designated Community.

Security (R16)

- **R16. The repository protects the facility and its data, metadata, products, services, and users.**
- Was: 16. Security. R16. The technical infrastructure of the repository provides for protection of the facility and its data, products, services, and users.

Plannen voor de Wegwijzer

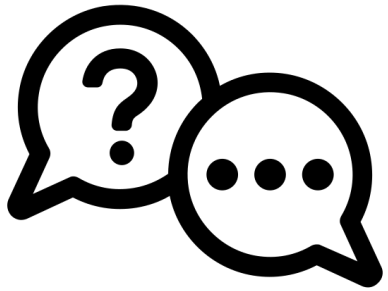
- Expertgroep - input in revisie CTS
- Vernieuwing van eisen vraagt om vernieuwing van ondersteuning
  - Vertalingen van de nieuwe materialen
  - Opname van Data Trail beschikbaar op de website

- Wat zou je nog meer willen zien van de Wegwijzer?

Panelgesprek met ervaringsdeskundigen

Created by designvector
from the Noun Project

Q&A sessie



Created by Adrien Coquet
from the Noun Project

Afronding

- Certificering is een continu leerproces
- De Wegwijzer Certificering biedt ondersteuning speciaal voor nederlandse erfgoedinstellingen

Oproepen:

- Gecertificeerd? Lever een reviewer aan CoreTrustSeal!
  ✉ info@coretrustseal.com
- Suggesties voor de Wegwijzer? Laat het weten!
  ✉maaike.verburg@dans.knaw.nl

Hartelijk dank voor jullie deelname!

Wegwijzer Certificering: https://wegwijzercertificering.nl/nl

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Met dank aan:

- CoreTrustSeal:
  - Lisa de Leeuw
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  - Walter Swagemakers
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  - Remco van Veenendaal
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