# SPRUCE / Northumberland Estates project

ISO 16363 Assessment

## Document history

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| --- | --- |
| First draft | 13/09/2013 |
| Second draft | 20/09/2013 |
| Final draft | 01/11/2013 |

The ISO assessment is explicitly intended to complement and enhance the assessment of the repository solution. The initial ‘Product Analysis’ provided a frim investigation into the functional requirements of each solution. We felt that in order to cover wider contextual issues which aren’t necessarily included in technical considerations, an organisational analysis was required. The ISO 16363 Assessment will have the added benefit of providing a benchmark which can be used to progress and audit the implemented solution.

A cut-down and simplified version of ISO 16363, which retains only those requirements considered essential for the purposes of this project, was utilised for the purpose of this gap analysis. In particular, all of section 4 on Digital Object Management is not represented in this ISO assessment, since most of its essential detail is already expressed in the repository assessment document.

In completing the assessment, the “Intended practice” section uses statements from the User Story. The “How met / examples” section is ULCC’s summary of how and whether each requirement has been met, or could be met in the future. The input from ULCC was vital in providing an independent expert and vendor neutral review of the “Intended practice” of each ISO 16363 requirement.

The scoring element uses the Five Organisational Stages model (Kenney / McGovern, http://www.dpworkshop.org/). The five stages of organisational response to digital preservation are:

1. **Acknowledge**: Understanding that digital preservation is a local concern;  
2. **Act**: Initiating digital preservation projects;  
3. **Consolidate**: Seguing from projects to programs;  
4. **Institutionalize**: Incorporating the larger environment; and  
5. **Externalize**: Embracing inter-institutional collaboration and dependency.

## Organisational Infrastructure

|  |  |
| --- | --- |
| Requirement | Mission Statement |
| ISO 16363 section number | ISO16363 3.1.1 |
| Intended practice |  |
| How met / examples |  |
| Score |  |

|  |  |
| --- | --- |
| Requirement | Preservation Plan |
| ISO 16363 section number | ISO16363 3.1.2 |
| Intended practice |  |
| How met / examples |  |
| Score |  |

|  |  |
| --- | --- |
| Requirement | Succession plan |
| ISO 16363 section number | ISO16363 3.1.2.1 |
| Intended practice |  |
| How met / examples |  |
| Score |  |

|  |  |
| --- | --- |
| Requirement | Collection policy |
| ISO 16363 section number | ISO16363 3.1.3 |
| Intended practice |  |
| How met / examples |  |
| Score |  |

|  |  |
| --- | --- |
| Requirement | Staff and skills |
| ISO 16363 section number | ISO16363 3.2.1 |
| Intended practice |  |
| How met / examples |  |
| Score |  |

|  |  |
| --- | --- |
| Requirement | Defined Designated Community |
| ISO 16363 section number | ISO16363 3.3.1 |
| Intended practice |  |
| How met / examples |  |
| Score |  |

|  |  |
| --- | --- |
| Requirement | Preservation Policies |
| ISO 16363 section number | ISO16363 3.3.2 |
| Intended practice |  |
| How met / examples |  |
| Score |  |

|  |  |
| --- | --- |
| Requirement | Audit Trail |
| ISO 16363 section number | ISO16363 3.3.3 |
| Intended practice |  |
| How met / examples |  |
| Score |  |

|  |  |
| --- | --- |
| Requirement | Transparency |
| ISO 16363 section number | ISO16363 3.3.4 |
| Intended practice |  |
| How met / examples |  |
| Score |  |

|  |  |
| --- | --- |
| Requirement | Integrity measures |
| ISO 16363 section number | ISO16363 3.3.5 |
| Intended practice |  |
| How met / examples |  |
| Score |  |

|  |  |
| --- | --- |
| Requirement | Business planning |
| ISO 16363 section number | ISO16363 3.4.1 |
| Intended practice |  |
| How met / examples |  |
| Score |  |

|  |  |
| --- | --- |
| Requirement | Financial transparency |
| ISO 16363 section number | ISO16363 3.4.2 |
| Intended practice |  |
| How met / examples |  |
| Score |  |

|  |  |
| --- | --- |
| Requirement | Contracts and agreements |
| ISO 16363 section number | ISO16363 3.5.1 |
| Intended practice |  |
| How met / examples |  |
| Score |  |

|  |  |
| --- | --- |
| Requirement | Deposit agreements |
| ISO 16363 section number | ISO16363 3.5.1.2 |
| Intended practice |  |
| How met / examples |  |
| Score |  |

|  |  |
| --- | --- |
| Requirement | IPR and Copyright management |
| ISO 16363 section number | ISO16363 3.5.2 |
| Intended practice |  |
| How met / examples |  |
| Score |  |

## Technology Infrastructure

|  |  |
| --- | --- |
| Requirement | Infrastructure risk management |
| ISO 16363 section number | ISO16363 5.1.1 |
| Intended practice |  |
| How met / examples |  |
| Score |  |

|  |  |
| --- | --- |
| Requirement | Technology watch |
| ISO 16363 section number | ISO16363 5.1.1.1 |
| Intended practice |  |
| How met / examples |  |
| Score |  |

|  |  |
| --- | --- |
| Requirement | Hardware and software support |
| ISO 16363 section number | ISO16363 5.1.1.2 |
| Intended practice |  |
| How met / examples |  |
| Score |  |

|  |  |
| --- | --- |
| Requirement | Detection mechanisms |
| ISO 16363 section number | ISO16363 5.1.1.3 |
| Intended practice |  |
| How met / examples |  |
| Score |  |

|  |  |
| --- | --- |
| Requirement | Security updates |
| ISO 16363 section number | ISO16363 5.1.1.4 |
| Intended practice |  |
| How met / examples |  |
| Score |  |

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| --- | --- |
| Requirement | Storage media and hardware change |
| ISO 16363 section number | ISO16363 5.1.1.5 |
| Intended practice |  |
| How met / examples |  |
| Score |  |

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| --- | --- |
| Requirement | Critical processes |
| ISO 16363 section number | ISO16363 5.1.1.6 |
| Intended practice |  |
| How met / examples |  |
| Score |  |

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| --- | --- |
| Requirement | Managed locations of digital objects |
| ISO 16363 section number | ISO16363 5.1.2 |
| Intended practice |  |
| How met / examples |  |
| Score |  |

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| --- | --- |
| Requirement | Security Risk Management |
| ISO 16363 section number | ISO16363 5.2.1 |
| Intended practice |  |
| How met / examples |  |
| Score |  |

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| --- | --- |
| Requirement | Security controls |
| ISO 16363 section number | ISO16363 5.2.2 |
| Intended practice |  |
| How met / examples |  |
| Score |  |

|  |  |
| --- | --- |
| Requirement | Disaster plan |
| ISO 16363 section number | ISO16363 5.2.4 |
| Intended practice |  |
| How met / examples |  |
| Score |  |