SELF-AUDITING A RESEARCH REPOSITORY

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INTRODUCTION

• DRAMBORA (Digital Repository Audit Method Based On Risk Assessment)
• ISO 16363 (Space data and information systems: audit and certification of trustworthy digital repositories) [TRAC]
DRAMBORA Online Tool :: Assessment Centre :: Organisational Objectives

Objectives are measurable strategic areas of the repository and can correspond with any of its business areas. These are the outcomes that the repository pursues, and can be contrasted with the specific strategies employed to facilitate their achievement (called activities within DRAMBORA). Adding a quantitative dimension to each objective will facilitate its measurement and the subsequent identification of risks.

You may wish to reference PLATTER: A Planning Tool for Trusted Electronic Repositories. This tool, published by DPB, facilitates the identification of strategic objectives for repository administrators.

**Name:** To provide DRO and open access advocacy and ed

**Description:**
The aim of having a communication plan for DRO is to ensure we are engaging with researchers and staff to ensure the ongoing preservation of research outputs; ensuring copyright compliance for open access, satisfying funding body and Federal Government requirements and raising the profile of Deakin University and its researchers.

The key objective of DRO is to increase visibility and accessibility of Deakin University's research output.

**Documented, Referenced, in or Related to:**
- ERA
- HRDC
- Report guidelines
- DRO communications plan 2013
- Mission statement
- FAZ/FAZora
- Functional Class(es): Mandate & Commitment to Digital Object Maintenance
  - Organizational Fitness
  - Legal & Regulatory Legitimacy
  - Efficient & Effective Policies
  - Acquisition & Impact
  - Preservation of Digital Object Integrity, Authenticity & Usability
  - Metadata Management & Audit Trails
  - Dissemination
  - Preservation Planning & Action
  - Adequate Technical Infrastructure

**Save Objective and Add More**

Deakin University CRICOS Provider Code: 00113B
### DRAMBORA Risk Breakdown

#### Risk Number 1: Activity is allocated insufficient resources

<table>
<thead>
<tr>
<th>Risk Description</th>
<th>An integral business activity is mismanaged leading to its non-completion.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Risk Areas</td>
<td>Personnel, Management &amp; Admin Procedures, Operations &amp; Service Delivery, Hardware, Software or Communications Equip &amp; Facilities</td>
</tr>
</tbody>
</table>
| Vulnerability(ies)| - DRMO budget does not include a financial allocation for system maintenance  
                  - Insufficient personnel allocated to record ingest or review, or to software maintenance. |
| Consequence(s)   | DRMO does not fulfill user expectations and needs |
| Relationship(s)  | From this risk to risk #1287 ("Business objectives not met"), relationship type is 'complementary'. |
| Risk Owner(s)    | Management |
| Functional Classes| Organisational Fitness, Legal & Regulatory Legitimacy, Acquisition & Ingest, Dissemination, Adequate Technical Infrastructure |

**Date of Identification:** 2022-06-27 23:30:26  
**Risk Probability:** High  
**Risk Impact:** Very High (Service Delivery)  
**Risk Severity:** 20  
**Risk Mitigations:** Not Supplied

#### Risk Number 2: Business objectives not met

<table>
<thead>
<tr>
<th>Risk Description</th>
<th>One or more integral business outcomes are not achieved, or achieved inadequately.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Risk Areas</td>
<td>Personnel, Management &amp; Admin Procedures, Operations &amp; Service Delivery, Hardware, Software or Communications Equip &amp; Facilities</td>
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</tbody>
</table>
| Vulnerability(ies)| - Research outputs stored in DRO are inaccessible.  
                  - DRO fails to provide required HEROIC and ERA support.  
                  - DRO fails to adequately support the University’s research outputs. |
| Consequence(s)   | University research is inadequately disseminated or showcased  
                  - The University fails to obtain research grants or funding |

Deakin University CRICOS Provider Code: 00113B
ISO 16363 (TRAC)

• Based upon Open Archival Information System Reference Model (OAIS)

• 105 criteria:
  • Organizational structure
  • Digital object management
  • Infrastructure and security risk management
ISO 16363 (TRAC)

Section 3. Organizational Infrastructure

3.1. Governance & organizational viability

3.1.1 The repository shall have a mission statement that reflects a commitment to the preservation of, long-term retention of, management of, and access to digital information.

Suggested Evidence: Mission statement or charter of the repository or its parent organization that specifically addresses or implicitly calls for the preservation of information and/or other resources under its purview; a legal, statutory, or government regulatory mandate applicable to the repository that specifically addresses or implicitly requires the preservation, retention, management and access to information and/or other resources under its purview.

Relevant Documents

- DRO Team Plan 2013
- DRO Communication Plan 2013
- DRO About page
- DRO Help page: benefits (authors)
- Project Mandate: Research Repository Stage 3
- DRO brochure
- DRO Research Support Plan 2010-2012
- Library Work Plan 2011 (get updated version)
- Library Operational Plan 2012
- Library Research Data pages - Describe, Preserve, Share and Research Management System Roadmap
- DRO data brochure??

Assessment

A new DRO web site is currently in development. This will include the following mission statement:

DRO, a research repository providing digital curation by describing and preserving Deakin University's research output enabling worldwide discovery.

DRO's strong commitment to storing, managing, indexing and preserving Deakin research outputs is mentioned in the DRO About page, DRO Help pages, DRO Communication Plan 2013, DRO brochure, Library Research Data pages and Project Mandate: Research Repository Stage 3.

Collaboration with Faculties, Schools and other University areas to ensure the ongoing management and preservation of, and access to, research outputs and research data, in line with the Australian Code for the Responsible Conduct of Research is variously mentioned in the DRO Research Support Plan 2010-2012, Library Operational Plan 2012 and Library Work Plan 2011.

The 2013 DRO Team Plan also includes an activity to define the scope of DRO.

Compliance

Getting there.
ISO 16363 (TRAC)

Lessons learnt

• OAIS is a conceptual model
• Determine extent of audit
• Suggested evidence is just that – “suggested”
• Understand the terminology
• Weigh the criteria
• Watch out for overlapping criteria
CONCLUSION

Next steps

• Preservation Strategic Plan to address issues
• DRAMBORA – watching brief
• ISO 16363 – re-audit in 2017