



CESSDA Research Infrastructure: DSA Use Case

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EUDAT, Certification Session, Amsterdam
25 September 2014



**UK • DATA
ARCHIVE**

THE UK DATA ARCHIVE

We acquire, curate and provide access to the UK's largest collection of social and economic data.



THE UK DATA **SERVICE**

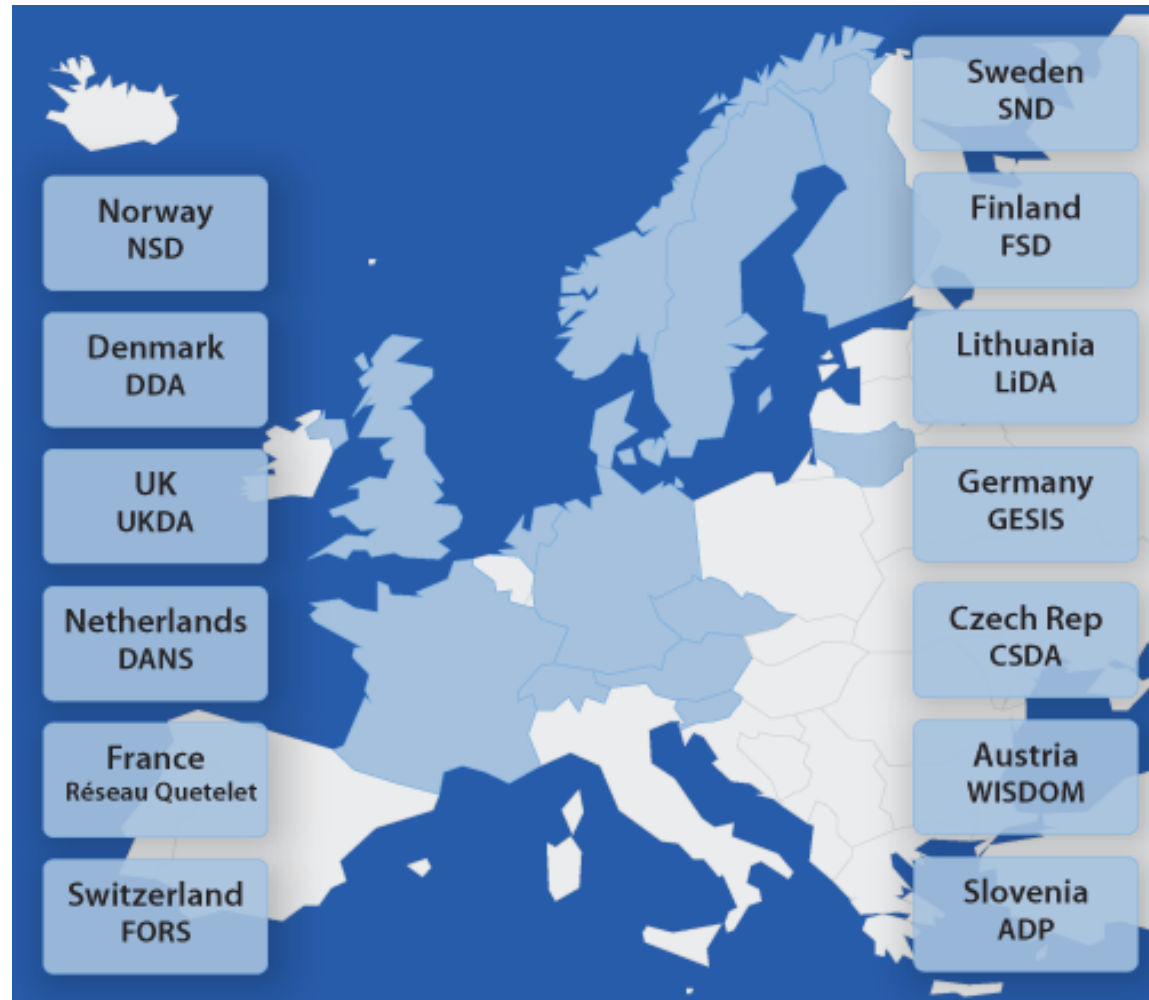
- quality social research data
- a unified point of access to data from ESDS, Census Programme, Secure Data Service and others

UK Data Service



CONSORTIUM OF EUROPEAN SOCIAL SCIENCE DATA ARCHIVES

CESSDA



UK DATA ARCHIVE

CESSDA

- European infrastructure
- informal organisation since 1976
- now a legal entity hosted in Bergen, Norway
- 13 members:

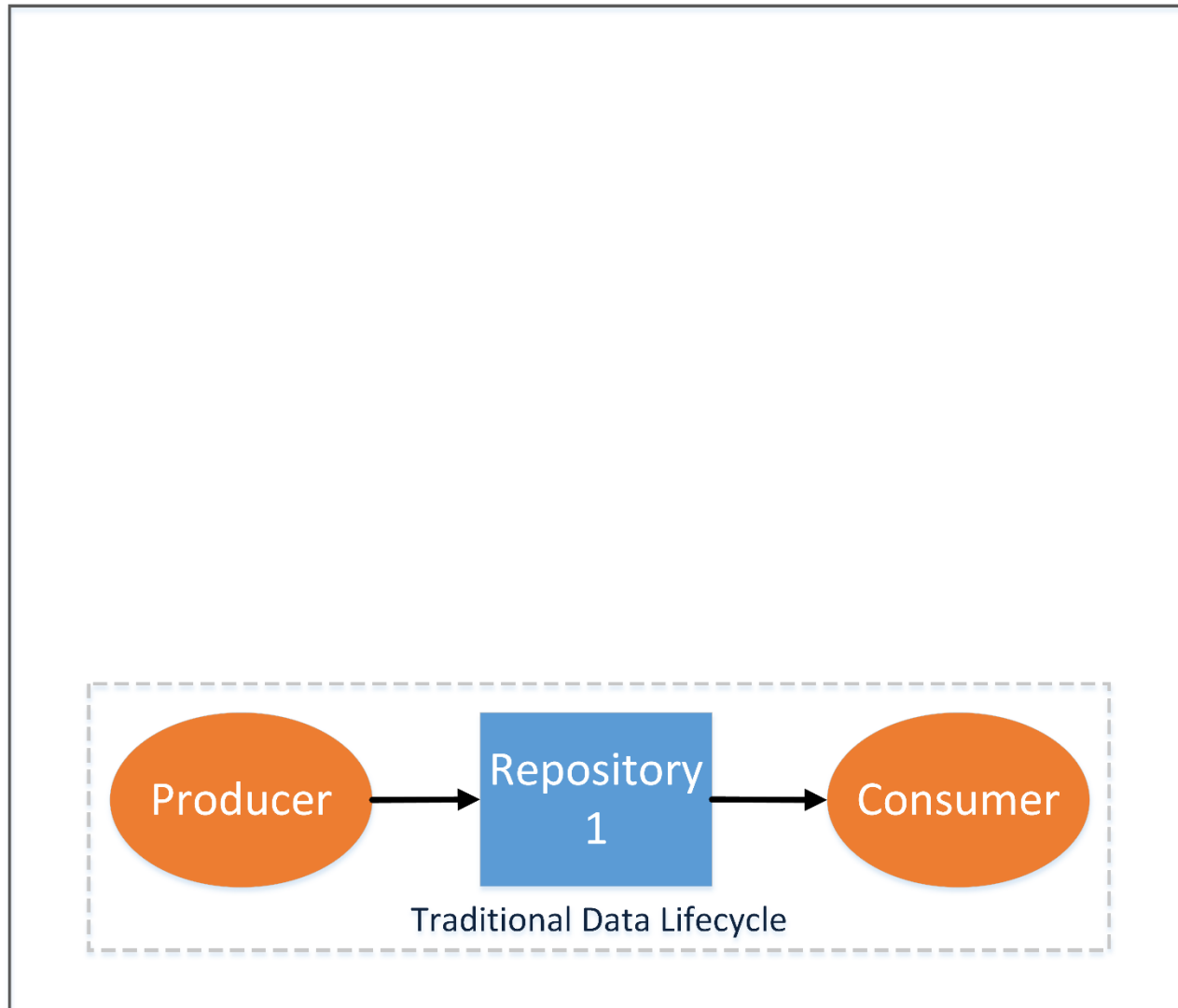
Austria, Czech Republic, Denmark, Finland, France,
Germany, Lithuania, Netherlands, Norway, Slovenia,
Sweden, Switzerland, United Kingdom
- each with a designated Service Provider (SP)

CESSDA: Using the DSA to benchmark trust

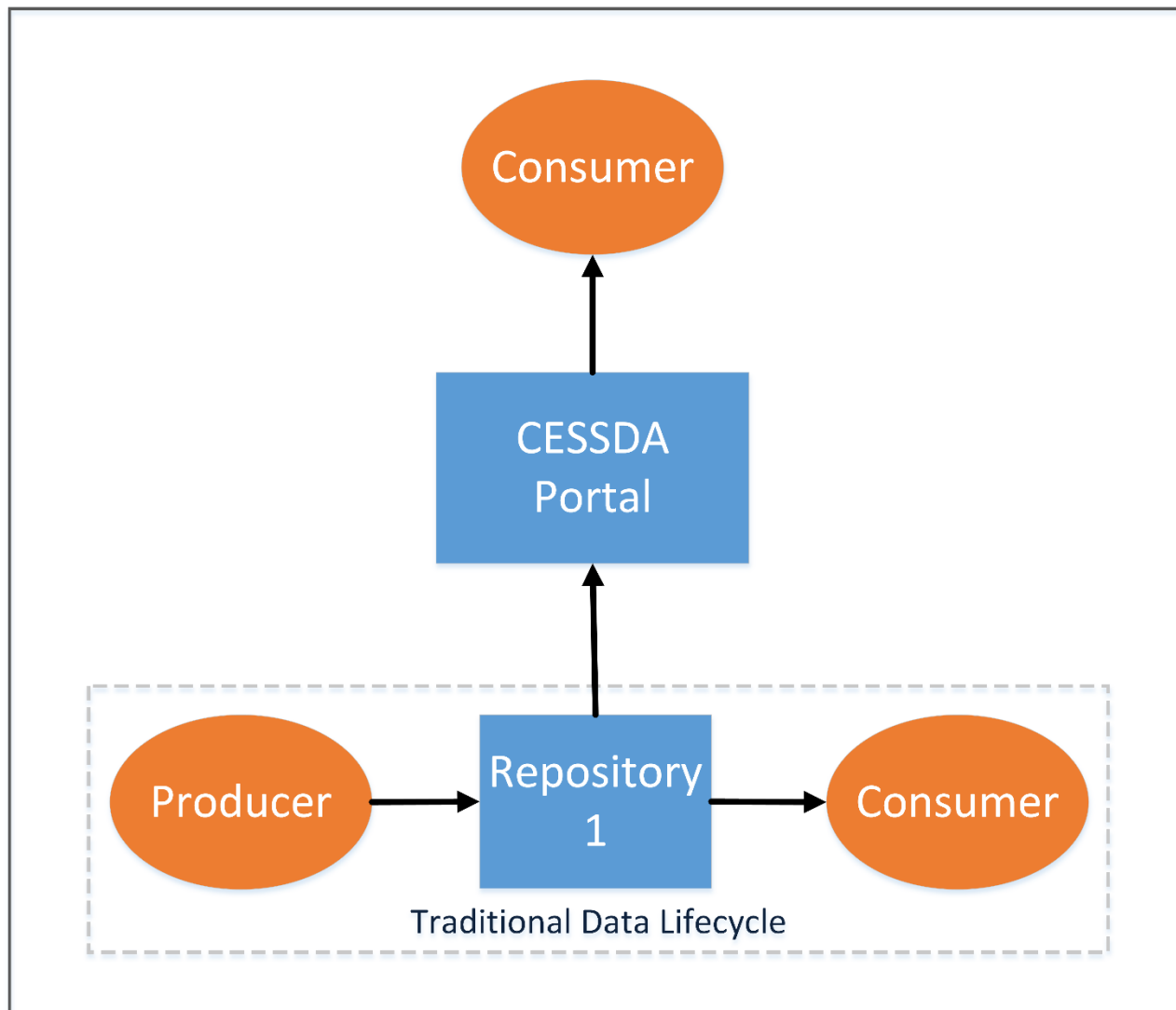
Immediate goals of the process were to:

- address alignment with **CESSDA Statutes**
- consider the roles of:
 - **trust**
 - **Trusted Digital Repositories** status

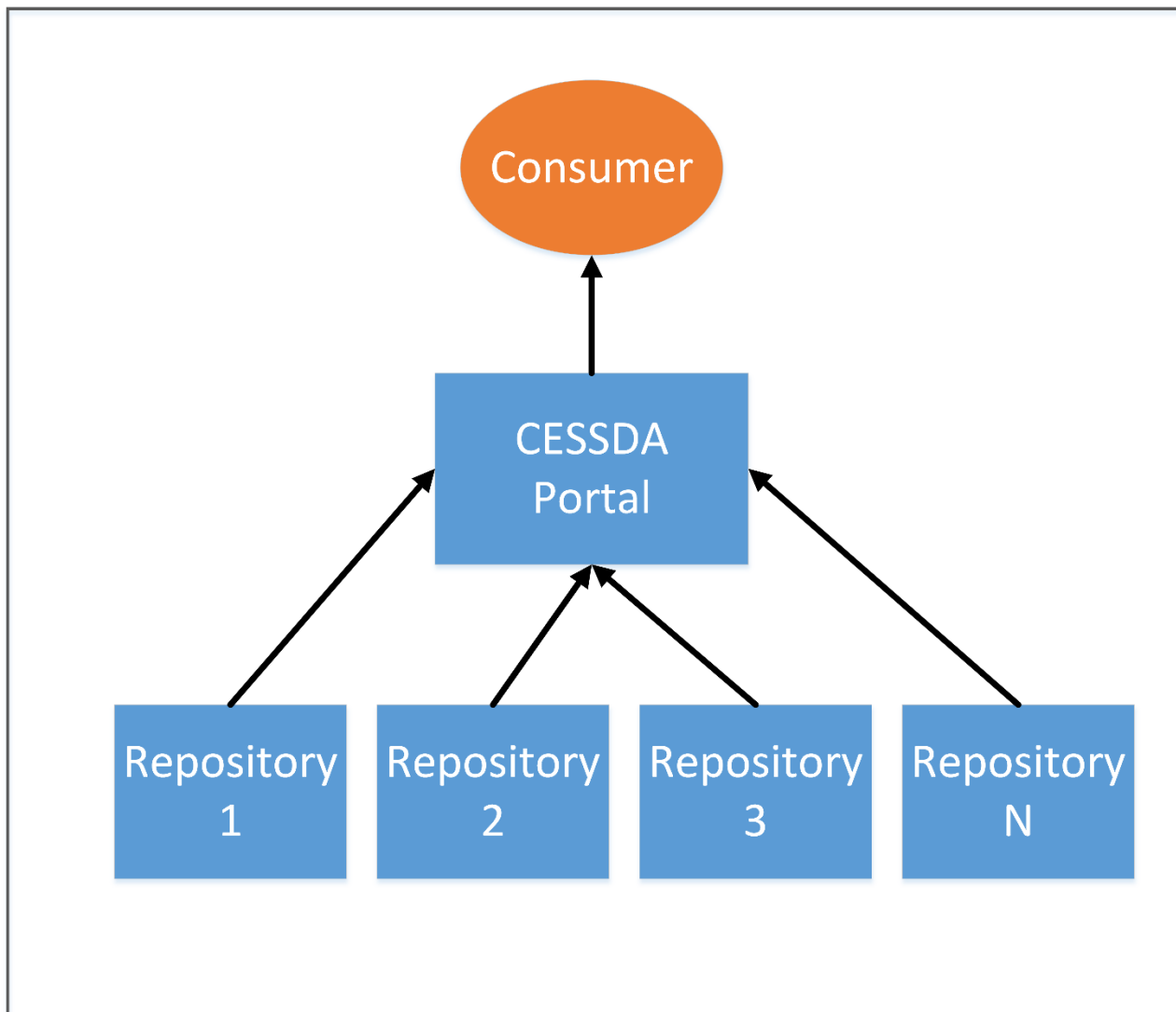
CESSDA: Trust Relationships



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CESSDA: Trust Relationships



CESSDA: OBLIGATIONS

Statutes signed by all Service Providers:

- Data Documentation Initiative (DDI) metadata compliance
- common single sign-on user authentication system
- harvesting of all resource discovery metadata
- data downloadable through common data gateways;
- maintain local language(s) within the multi-lingual thesaurus

CESSDA: OBLIGATIONS

Statutes signed by all Service Providers:

- OAIS compliance and trusted digital repository status
- cross-national data harmonisation activities
- cross-national question bank
- mentor support for:
 - Associate Members
 - countries with immature and fragile national infrastructures
- common data access and dissemination policy



Why the DSA?

- **Foundations**
 - trust is transitive
 - transparency
 - community
- **Principles**
 - available on the Internet
 - accessible
 - usable
 - reliable
 - citable

CESSDA TRUST PROCESS: **METHODOLOGY**

- mapping obligations to DSA Guidelines (where possible)
- initial workshop
 - understanding of trust requirements and the DSA
- conformity assessment
 - self-assessment, peer review and gap analysis
- follow-on workshop:
 - results of process
 - consider next actions for obligations and TDR status

CESSDA TRUST PROCESS: **METHODOLOGY**

Informal application of the DSA process, no formal DSA Board involvement and no DSA assigned

- Service Providers conduct self-assessment
- anonymous peer-review
- analysis and repeat grading of assessments by ‘Expert Group’

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Herve L'Hours, UK Data Service

Natascha Schumann, GESIS

Heiko Tjalsma, DANS

- Oversight from Matthew Woollard, Director, UK Data Archive and UK Data Service



CESSDA TRUST PROCESS: **METHODOLOGY**

- generic feedback provided to all Service Providers
- gap analysis of trust requirements
- all anonymous
 - though including feedback to DSA Board

CESSDA TRUST PROCESS: **METHODOLOGY**

A (partial) success:

- DSA a valuable basis for open information sharing and discussion but...
- challenges when integrating granular, specific obligations into higher level DSA Guidelines
- discussion naturally divided between the two areas
- likely to become less of an issue as service providers become more familiar with the DSA



CESSDA TRUST PROCESS: **OUTCOMES**

- useful (but separate) discussion on meeting obligations
- good overall conformance across CESSDA
- issues with providing evidence for internal repository processes
 - we all focus on the externally facing (producer/consumer) evidence

What has been the investment in time and money?

- CESSDA situation to date not comparable
- Very difficult to estimate anyway
- Very dependent on ‘organisational maturity’
 - organisational infrastructure
 - records management
- Great benefit at UKDA of having undertaken a formal ISO process

CESSDA TRUST PROCESS: **ACTIONS**

DSA as a basis for future CESSDA Trust status:

- aligned CESSDA evidence (easier to maintain and compare)
- initial confidentiality within CESSDA
- a good basis for communications around trust issues for members

Issues to consider:

- adopting a version
- changes to the criteria beyond CESSDA control
- staggered adoption
- influencing the criteria

CESSDA TRUST PROCESS: **ACTIONS**

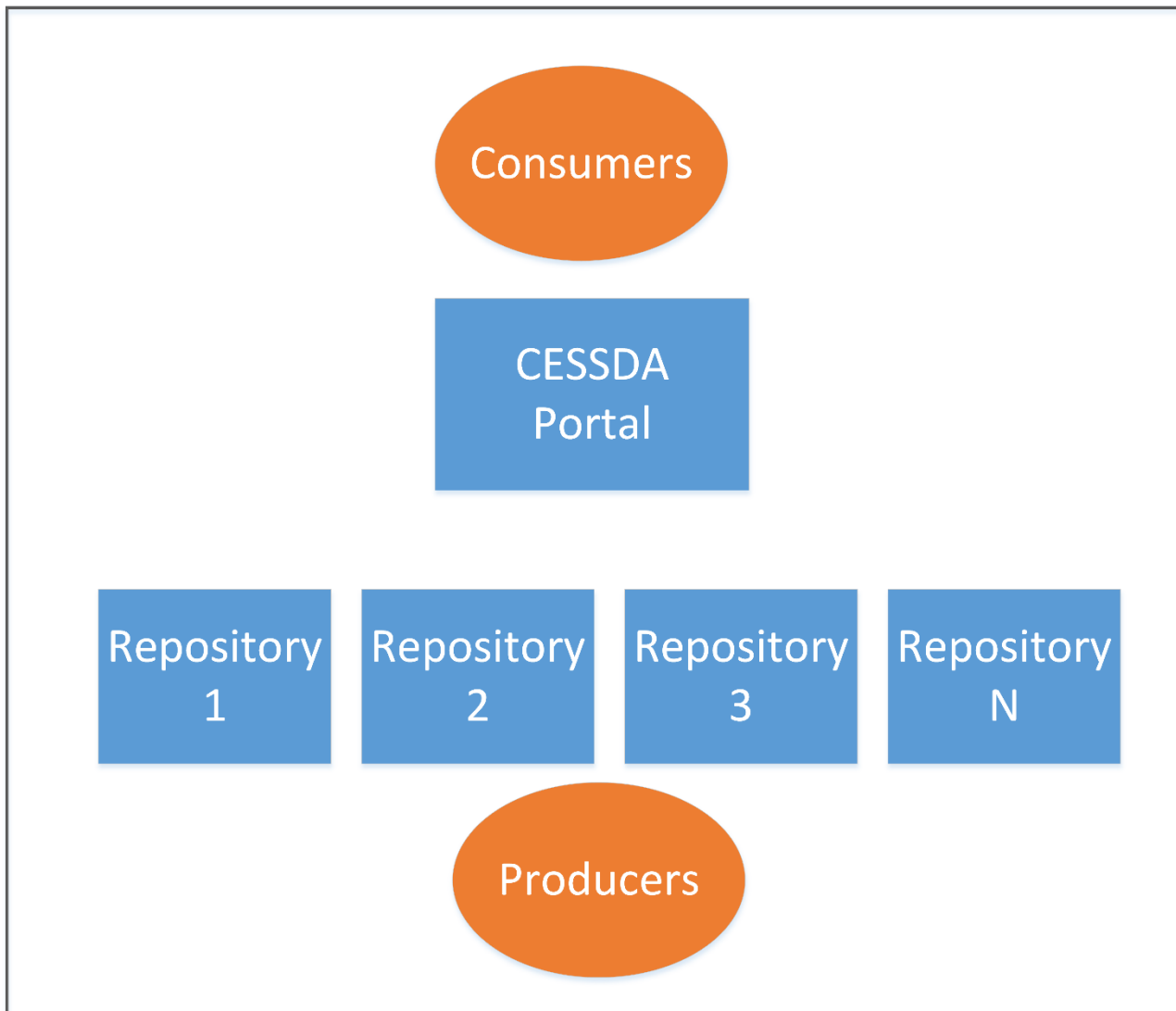
Common approach to:

- designated community
- formal identification of depositors
- acceptable formats and format risk
- alignment with DDI and deposit metadata
- mission statements
- registry of legislation
- licence harmonisation
- common data storage descriptions
- versioning
- lifecycle/business process descriptions
- critical preservation events to be captured

What could be the benefit for EUDAT to certify?

- Common basis for discussion, cooperation, alignment, improvement so all of the above
 - Drive awareness of the issues
 - Drive maturity
 - Build momentum

Communities of Trust





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DSA FOUNDATIONS

- **Trust:** *“Reliance on and confidence in the truth, worth, reliability of a person or thing”*
- **Trust is transitive**
- **Transparency:** *“Minimum degree of disclosure to which agreements, dealings, practices, and transactions are open to all for verification”*
- **Community:** The Data Seal of Approval was established by a number of institutions committed to the long-term archiving of data. By assigning the seal, the DSA **community** seeks to guarantee the durability of the data concerned, but also to promote the goal of durable archiving in general.

DSA OBJECTIVES

The Data Seal of Approval is granted to repositories that are committed to archiving and providing access to data in a sustainable way.

- **Data Producers**
 - *Assurance* of reliable data Storage
- **Funding Bodies**
 - *Confidence* that data is available for reuse
- **Data Consumers**
 - *Enables* assessment of repositories

DSA PRINCIPLES

The data are:

- available on the Internet
- accessible
 - while taking into account relevant legislation with regard to personal information and intellectual property of the data.
- usable (file formats)
- reliable
- citable (can be referred to)

Compliance Levels

Level	Compliance Level Definition	Requirements
0	Not Applicable	Provide an explanation
1	We have not considered this yet	Provide an explanation
2	We have a theoretical concept	Provide a URL for the initiation document.
3	We are in the implementation phase.	Provide a URL for the definition document.
4	This guideline has been fully implemented for the needs of our repository	Provide a URL for the definition document.



DSA: 16 GUIDELINES

Data producers

- deposit quality and compliance
- recommended formats
- requested metadata



DSA: 16 GUIDELINES

Data repositories

- explicit mission
- legal/contract compliance
- data storage processes
- preservation plan
- explicit data lifecycle workflows
- responsibility for access



DSA: 16 GUIDELINES

Data repositories

- discovery, use and reference
- object/metadata integrity
- object/metadata authenticity
- technical infrastructure standards



DSA: 16 GUIDELINES

Data consumers

- compliance with access criteria
- proper use and exchange of information
- usage licence compliance



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