CoreTrustSeal Requirements 2020-2022

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(slides thanks to Rorie Edmunds)

CLARIN (Virtual) Center Meeting 2020

CoreTrustSeal Review 2019

- Commitment to review and update the Requirements every three years

- Define the Requirements for 2020–2022

- Focus on feedback from applicant, communication and outreach activities, and an open comment period from 1 March 2019 to 31 May 2019

- Each suggestion examined and accepted, rejected, or deferred, with a brief
explanation on the reasoning added

CoreTrustSeal Review 2019

- Accepted feedback incorporated into revisions of the Requirements, Extended Guidance, and Glossary

- Final versions of all documents released on 20 November

- New requirements in effect from 1 January 2020

- Details about the review including all feedback, change file, etc.:

  https://www.coretrustseal.org/why-certification/review-of-requirements/

Take Home Messages

- Number, structure, and content of the Requirements remain **fundamentally stable** for 2020–2022

- Comments often indicated overlap or the need for repeated evidence. Actual **redundancies were removed or further guidance provided** for clarity

- Cross-references among Requirements were **reviewed, validated, and simplified, with text standardized** to reduce ambiguity

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R0. Context

- Renewals section added to provide overview of relevant changes; especially, with respect to previous reviewer comments

- Repository types: Library/Museum/Archives split into separate headings. Definition of Publication Repository refined

- Brief Description of the Repository: Highlighted that organization structure diagrams / descriptions are helpful

R0. Context

- Clarification of Designated Community and an example added to the Extended Guidance

- Extended Guidance encourages applicants to add further details on the curation levels performed

- 'Outsource Partners' replaced by 'Insource/Outsource Partners', and the Guidance revised accordingly

R1.Mission/Scope

- Revised to make it clear that evidence implying a clear mission is acceptable

R2. Licenses

- Revised to clarify that ethical and privacy elements of licences and rights management should be covered under R4

R3. Continuity of access

- Updated to clarify that the scope here is business continuity, and disaster and succession planning; technology aspects are covered under R15

R4. Confidentiality/Ethics

- Revised to clarify that evidence demonstrating good governance of data with disclosure risk should include guidance for data depositors and users

R5. Organizational infrastructure

- Extended Guidance includes that evidence should describe organization structure, governance, and skills

R6. Expert guidance

- Types of expertise in scope slightly revised

R7. Data integrity and authenticity

- Amended to better differentiate between integrity and authenticity

R8. Appraisal

- Text across R8, R11 (Data quality), and R14 (Data reuse) revised to clarify perceived overlaps.

- Terms 'evaluation' and 'selection' added, as well as the notion of 'reappraisal'.

- References to automated validation of metadata against schema are also added

R9. Documented storage procedures

- Revised to clarify that the Requirement refers to data flows and storage procedural information from a repository manager perspective

R10. Preservation plan

- Question added about plans for future migrations or other measures to address obsolescence is added

- To avoid ambiguity, text states the need for a 'documented approach to preservation'

R11. Data quality

- Increased focus on quality improvement and assurance during the curation process

R12. Workflows

- Makes it clearer that the Requirement identifies whether all relevant processes are sufficiently documented, and indicates that processes should map to repository activities

R13. Data discovery and identification

- Asks specifically which PID system is in use by the applicant

R14. Data reuse

- Mention made to the knowledge base of the Designated Community

- Exact examples of metadata provision moved to the Extended Guidance

R15. Technical infrastructure

- Exact examples of community standards and detailed references to data streams moved to the Extended Guidance

- Specific reference added on data recovery provisions

R16. Security

- Questions added asking levels of security required and how they are supported, and what authentication and authorization procedures are used

Implications for CLARIN Centres

- Changes to the guidance text should have little impact on re-certification of already certified centres

- Clearer guidance text (in particular remarks about what evidence should rather be mentioned under a different requirement) should hopefully result in fewer iterations for new applications (provided that applicants read the guidance text well ☺)