

Disaster Planning and Trustworthy Digital Repositories

Rebecca D. Frank, frankrd@umich.edu
University of Michigan, School of Information



Research Question

- Are digital repositories that have a preservation mandate engaging in disaster planning activities, particularly to further their pursuit of trusted digital repository status?
- What is the process for creation of disaster response and recovery plans? Is this process integrated into the management of the repository?

Methodology

- Mixed methods approach: document analysis, and semi-structured interviews.
- Interviewed 10 individuals from 8 different repositories.
- Interviews took place from October 2011 to January 2012.

Repository	Certification(s)	Interview Subject	Role/Function
Chronopolis	2012 TRAC Certification (score: 11/15 points)	Subject A	Digital Preservation
		Subject B	Digital Preservation
HathiTrust	2011 TRAC Certification (score: 9/15 points) 2008 DRAMBORA audit (results not available)	Subject C	IT
		Subject D	Digital Preservation
ICPSR	2006 TRAC test audit (no score received) 2010 Data Seal of Approval	Subject E	Digital Preservation
MATRIX	None	Subject F	IT
National Library of Australia	None	Subject G	Digital Preservation
Portico	2011 TRAC Certification (score: 11/15 points)	Subject H	Administration
The Internet Archive	2006 CRL pilot assessment of Archive-It program	Subject I	Administration
The MetaArchive Cooperative	2010 TRAC assessment administered by independent consultant (no score available)	Subject J	Administration

Discussion

- For most organizations, the process of going through an audit for certification as a trusted repository provided the impetus for the creation of formalized disaster planning documentation.
- Despite the desire for openness most repositories struggle with making their disaster planning documentation publicly available.
- The single greatest obstacle to disaster planning activities at all stages of the process is coordination between the IT and preservation functions.

Findings

1. Incentive for Creation

- Disaster planning occurred as a result of organizational growth and development.
- Formal disaster response and recovery planning documentation was created in response to the certification process.

2. Documentation

- All of the interviewees stated that their organization had disaster planning documentation.
- Many provided evidence of that documentation in the form of an audit report, but few were able or willing to discuss these plans in detail or to provide copies of the complete documentation.

3. Process of Creation

- The creation of disaster planning documentation is very time consuming.
- Discussions with subjects focused on the investment of time and people into the process of creating disaster planning documentation rather than on the specifics of decisions made within those documents.

4. Obstacles

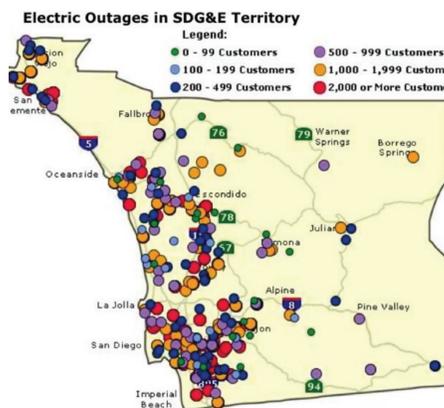
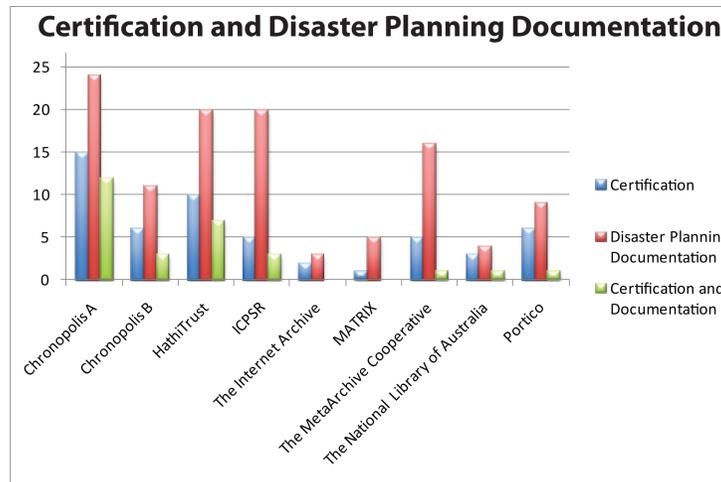
- Common obstacles included: the difficulty of getting buy-in from other members of the organization, difficulty collaborating and communicating with the IT department, and the amount of time required for completion of the documentation.

5. Testing the Plans

- 3 repositories conducted drills to test their plans, and each reported changing or updating their documentation as a result.
- 4 repositories lack formal plans to test.
- 1 repository does not conduct this type of test.

6. Access to Disaster Plan Documentation

- 2 repositories have made all of their documentation publicly available
- Most repositories have disaster planning documentation that is available to all employees of the organization.
- Many subjects expressed a desire to make their disaster planning documentation available to the public at some point in the future.



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Acknowledgements

I would like to thank Dr. Elizabeth Yakel, Dr. Paul Conway, and Shannon Zachary for their support and guidance throughout the course of this project.

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