

TRAC Responsibilities at ICPSR- 4 January 15, 2010

Section A: *Organizational Infrastructure*

TRAC Requirements		ICPSR Organizational Entities with TRAC Responsibilities										
Name	#	Council	Directors	Preservation	Admin	CNS	Acquisition Committee	Processing	Dissemination Committee	Rights Manage.	I-Team	Policy Committee
Mission statement explicit to long-term	A1.1	I	A	R	I	I	C	C	C	I	S	C
Necessary succession, contingency, or escrow plans	A1.2	A	R	S	S	C	C	I	C	C	S	C
Identified required competencies and appointed staff	A2.1	I	A	R	S	S	C	C	C	C	S	C
Appropriate number of staff for all functions	A2.2	I	A	S	R	S	C	C	C	C	S	C
Active professional development program	A2.3	---	A	S	R	S	C	C	C	C	S	I
Publicly accessible preservation policies	A3.1	I	A	R	I	C	C	C	C	I	S	I
Procedures and policies for review and update	A3.2	I	A	S	C	S	S	S	S	S	S	R
Policies for legal permission to preserve digital content	A3.3	I	A	S	C	I	S	C	S	R	S	S
Committed to formal review and assessment	A3.4	I	A	R	C	S	C	C	C	C	C	I
Ensure feedback from producers and users	A3.5	I	A	S	---	S	S	C	R	C	S	C
Documented history of changes to operations and effects	A3.6	I	A	R	C	S	S	S	S	C	S	C
Repository commits to transparency and accountability	A3.7	I	A	R	C	S	S	S	S	C	S	S
Commits to tracking, and providing its information integrity measurements	A3.8	---	I	A	---	R	C	C	C	C	C	I
Commits to a regular schedule of self-assessment and certification	A3.9	I	A	R	S	S	S	S	S	C	S	C
Short- and long-term business planning processes	A4.1	I	A	S	R	C	C	C	C	---	S	S
Processes to review and adjust business plans annually	A4.2	I	A	S	R	C	C	C	C	---	I	I
Financial practices and procedures are transparent, compliant and audited	A4.3	I	A	S	R	C	C	C	C	---	I	C
Commitment to analyze and report on risk, benefit, investment, and expenditure	A4.4	I	A	S	R	C	C	C	C	S	I	I
Commitment to monitor and bridging gaps in funding	A4.5	A	R	S	S	C	C	C	C	---	I	---
Maintains contracts for managing digital materials for another organization	A5.1	I	A	S	S	C	R	C	C	S	S	C
Contracts or deposit agreements specify and transfer all necessary preservation rights	A5.2	I	A	S	I	I	R	C	I	C	C	C
Specified all aspects of acquisition, access, withdrawal	A5.3	I	A	S	I	C	R	C	S	C	S	C
Tracks and manages intellectual property rights	A5.4	I	A	S	C	C	S	C	S	R	S	S
Policies to address liability of content with unclear ownership/rights	A5.5	I	A	S	I	I	S	C	S	R	S	S

Section B: Digital Object Management

TRAC Requirements		ICPSR Organizational Entities with TRAC Responsibilities										
Name	#	Council	Directors	Preservation	Admin	CNS	Acquisition Committee	Processing	Dissemination Committee	Rights Manage.	I-Team	Policy Committee
Identifies digital object properties for preservation	B1.1	---	I	A	---	S	R	S	I	C	S	S
Specifies needed associated information at deposit	B1.2	---	I	A	---	S	R	S	S	C	S	S
Mechanisms to authenticate source of all materials	B1.3	---	I	A	---	S	R	S	I	C	S	S
Ingest process verifies each submitted object	B1.4	---	I	A	---	S	C	R	I	S	S	I
Sufficient physical control over digital objects to preserve them	B1.5	---	I	A	---	S	C	R	I	S	S	I
Provides producer/depositor with appropriate responses	B1.6	---	I	A	---	S	C	R	I	S	S	S
Demonstrate when preservation responsibility is formally accepted	B1.7	---	I	A	---	S	C	R	I	I	S	S
Records actions and administration processes	B1.8	---	A	R	---	S	S	S	S	S	S	S
Written definition for each AIP or class of information	B2.1	---	I	A	---	R	I	C	I	C	S	S
Definition of each AIP (or class) that is adequate to fit long-term preservation needs	B2.2	---	I	A	---	R	I	C	I	C	S	S
Description of how AIPs are constructed from SIPs	B2.3	---	I	A	---	R	I	C	I	S	S	S
All submitted objects are accepted as whole or part of an eventual archival object	B2.4	---	I	A	---	S	S	R	I	I	S	S
Uses a naming convention for all archived objects	B2.5	---	I	A	---	R	C	C	S	S	S	S
Maintain unique identifiers associated with SIPs before ingest	B2.6	---	I	A	---	S	C	R	I	I	S	S
Establish semantic and technical context of objects (Representation Information)	B2.7	---	I	A	---	R	S	S	I	S	S	S
Records/registers Representation Information ingested	B2.8	---	I	A	---	R	S	S	I	I	S	S
Acquires preservation metadata for associated Content Information	B2.9	---	I	A	---	R	C	S	S	C	S	S
Documented process for testing understandability of information content	B2.10	---	I	A	---	S	S	S	R	C	S	S
Verifies each AIP for completeness and correctness when generated	B2.11	---	I	A	---	S	S	R	I	S	S	S
Provides an independent mechanism for audit	B2.12	---	I	A	---	R	S	S	S	S	S	S
Possess records of actions and administration processes (AIP)	B2.13	---	I	A	---	R	S	S	C	C	S	S
Possess documented preservation strategies	B3.1	---	A	R	---	S	C	C	C	C	S	S
Mechanisms in place for monitoring obsolescence	B3.2	---	I	A	---	R	C	C	S	C	S	S
Possess mechanisms to change its preservation plans	B3.3	---	A	R	---	S	C	C	C	C	S	S

Section B: *continued*

Name	#	Council	Directors	Preservation	Admin	CNS	Acquisition Committee	Processing	Dissemination Committee	Rights Manage	I-Team	Policy Committee
Provide evidence of the effectiveness of its preservation planning	B3.4	---	A	R	---	S	C	C	S	C	S	S
Employs documented preservation strategies	B4.1	---	I	A	---	R	C	C	C	C	S	S
Implements/responds to strategies for archival object storage and migration	B4.2	---	I	A	---	R	C	C	C	C	S	S
Preserves the Content Information of archival objects	B4.3	---	I	A	---	R	C	S	C	C	S	C
Actively monitors integrity of archival objects	B4.4	---	I	A	---	R	I	C	C	C	S	S
Contemporaneous records of actions and processes regarding archival storage	B4.5	---	I	A	---	R	I	C	C	C	S	S
Articulates minimum metadata requirements	B5.1	---	A	R	---	C	S	S	S	S	S	S
Captures or creates minimum descriptive metadata	B5.2	---	I	A	---	C	R	S	S	S	S	C
Referential integrity is created between archived objects and descriptive information	B5.3	---	I	A	---	R	S	S	S	S	S	C
Referential integrity is maintained between archived objects and descriptive information	B5.4	---	I	A	---	R	S	S	S	S	S	C
Documents, communicates to designated community	B6.1	---	I	A	---	S	S	C	R	C	S	S
Policy for recording all access actions	B6.2	---	I	A	---	S	C	C	R	C	S	S
Ensures that agreements applicable to access conditions are adhered to	B6.3	---	I	A	---	S	C	C	R	C	S	S
Access policies consistent with deposit agreements	B6.4	---	I	A	---	C	S	C	R	C	S	S
Access management system implements access policy	B6.5	---	I	A	---	S	I	I	R	I	S	S
Logs all access management failures, and review inappropriate incidents	B6.6	---	I	A	---	S	I	I	R	I	S	S
Process that generates the requested digital object(s) is complete	B6.7	---	I	A	---	S	C	C	R	I	S	S
Process that generates the requested digital object(s) is correct	B6.8	---	I	A	---	S	C	C	R	I	S	S
Access requests result in response of acceptance or rejection	B6.9	---	I	A	---	S	C	C	R	I	S	C
Dissemination of authentic copies of the original or objects traceable to originals	B6.10	---	I	A	---	S	C	C	R	I	S	C

Section C: Technologies, Technical Infrastructure & Security

TRAC Requirements		ICPSR Organizational Entities with TRAC Responsibilities										
Name	#	Council	Directors	Preservation	Admin	CNS	Acquisition Committee	Processing	Dissemination Committee	Rights Manage.	I-Team	Policy Committee
Functions on well-supported operating systems and infrastructural software	C1.1	I	I	A	S	R	C	C	C	C	C	C
Adequate hardware and software support for backup functionality	C1.2	I	I	A	S	R	C	C	C	I	S	C
Manages number and location of digital objects copies	C1.3	I	I	A	---	R	I	C	C	I	S	C
Ensure copies of digital objects are synchronized	C1.4	I	I	A	---	R	---	C	C	I	S	C
Can detect bit corruption or loss	C1.5	I	I	A	---	R	---	C	C	I	S	C
Reports data corruption or loss and repairs/replaces corrupt or lost data	C1.6	I	I	A	---	R	S	S	C	I	S	C
Processes for storage media and hardware change	C1.7	I	I	A	S	R	I	C	C	I	S	C
Documented change management process	C1.8	I	I	A	---	R	I	C	C	I	S	C
Process testing the effect of critical changes to systems	C1.9	I	I	A	---	R	C	C	C	I	S	C
Process to react to new software security updates	C1.10	I	I	A	---	R	C	C	C	C	S	C
Hardware technologies appropriate to the services	C2.1	I	I	A	S	R	C	C	C	I	S	C
Software technologies appropriate to the services	C2.2	I	I	A	S	R	C	C	C	I	S	C
Maintains analysis of data, systems, personnel, physical plant, and security needs	C3.1	I	I	A	S	R	C	C	C	C	S	C
Implemented controls to address security needs	C3.2	I	I	A	---	R	S	S	S	S	S	C
Staff have delineated roles, responsibilities, and authorizations	C3.3	I	I	A	S	R	C	C	C	C	S	C
Written disaster preparedness and recovery plan(s)	C3.4	I	A	R	S	S	S	S	S	S	S	C