

TRAC Review in Drupal

Nancy Y McGovern

MIT Libraries

Overview

- Frame for ongoing TRAC review
- Version 1.0 at ICPSR – 2007 TRAC document
- Version 2.0 at MIT Libraries – ISO 16363
- Mapping
 - Numbering: A, B, C = 3, 4, 5, sort of...
 - Sub (and sub-sub) elements
 - Re-sequencing
- Drupal 7

Home
[Report]
[Index of Reqs]

Requirement
pages
• Sub pages


Responsibilities

Suggestions
for Performing
Assigned Roles

Group Pages

Login

Trusted Repositories Audit and Certification

This page provides a place for an organization to document its evidence for meeting the requirements of Trusted Repositories Audit and Certification (TRAC) [checklist](#) . A TRAC review is a method to demonstrate good practice and confidence to designated communities. Responsibilities for TRAC compliance are distributed throughout the organization. This page lists certain responsibilities for each requirement.

Responsibilities: Each entity is assigned a role for each requirement using the RACI responsibility assignment matrix. RACI is a model of participation by various organizational roles in completing tasks for a project. RACI is especially useful in projects requiring distributed responsibilities. See the [Responsibilities for TRAC](#) page for more information on RACI assignments. This page lists committees that have roles in TRAC conformance.

Requirements: Each TRAC requirement has its own page. Sub- and Sub-sub requirements are referred to on their own page. Current compliance with TRAC requirements is assessed on a rating system from 0 to 4 (see example below).

0=non-compliant

1=slightly compliant

2=half compliant

3=mostly compliant

4=fully compliant

Requirement Status

3.1 Governance and Organizational Viability

	Compliance Rating	Status
3.1.1 Mission Statement	Slightly Compliant	Reviewed
3.1.2 Preservation Strategic Plan	Half Compliant	Not done
3.1.3 Collection Policy	Non-Compliant	Drafted

3.2 Organizational Structure and Staffing

	Compliance Rating	Status
3.2.1 Identified Required Competencies and Appointed Staff	Non-Compliant	Not done

[Home](#)

3.1 Governance and Organizational Viability

3.1.2 Preservation Strategic Plan

The repository shall have a Preservation Strategic Plan that defines the approach the repository will take in the long-term support of its mission.

For more information

3.1.2.1 The repository shall have an appropriate succession plan, contingency plans, and/or escrow arrangements in place in case the repository ceases to operate or the governing or funding institution substantially changes its scope.

3.1.2.2 The repository shall monitor its organizational environment to determine when to execute its succession plan, contingency plans, and/or escrow arrangements.

Supporting Text

This is necessary in order to help the repository make administrative decisions, shape policies, and allocate resources in order to successfully preserve its holdings.

Examples of Ways the Repository Can Demonstrate It Is Meeting This Requirement

Preservation Strategic Plan; meeting minutes; documentation of administrative decisions which have been made.

Discussion

The strategic plan should be based on the organization's established mission, and on its defined values, vision and goals. Strategic plans typically cover a particular finite time period, normally in the 3-5 year range.

Evidence Examples

This would be examples of possible evidence.

Evidence Provided

Here we list the evidence provided.

Compliance Rating

Half Compliant

Status

Not done

3.1.2.1 The repository shall have an appropriate succession plan, contingency plans, and/or escrow arrangements in place in case the repository ceases to operate or the governing or funding institution substantially changes its scope.

Supporting Text

This is necessary in order to preserve the information content entrusted to the repository by handing it on to another custodian in the case that the repository ceases to operate.

Examples of Ways the Repository Can Demonstrate It Is Meeting This Requirement

Written and credible succession and contingency plan(s); explicit and specific statement documenting the intent to ensure continuity of the repository, and the steps taken and to be taken to ensure continuity; escrow of critical code, software, and metadata sufficient to enable reconstitution of the repository and its content in the event of repository failure; escrow and/or reserve funds set aside for contingencies; explicit agreements with successor organizations documenting the measures to be taken to ensure the complete and formal transfer of responsibility for the repository's digital content and related assets, and granting the requisite rights necessary to ensure continuity of the content and repository services.

Discussion

A repository's failure threatens the long-term sustainability of a repository's information content. It is not sufficient for the repository to have an informal plan or policy regarding where its data goes should a failure occur. A formal plan with identified procedures needs to be in place.





Responsibilities

Stakeholder groups are assigned responsibilities using RACI. The RACI Matrix describes participation by various organizational roles in completing tasks for a project. RACI is especially useful in clarifying roles in projects and processes requiring distributed responsibilities.

Definitions of the RACI Categories:

- **Responsible:** person or group who performs an activity or does the work
- **Accountable:** person or group who is ultimately accountable and has Yes/No/Veto
- **Support:** person or group that assists in completing task
- **Consulted:** person or group that needs to feedback and contribute to the activity
- **Informed:** person or group that needs to know of the decision or action

Note for clarification: Resources are allocated to *Responsible* who gets input from *Consulted*, assistance from *Support*, and guidance from *Accountable*. For more about RACI, see the following resources:

- [RACI model | RACI chart | RACI method](#) 
- [Wikipedia, Responsibility Assignment Matrix](#) 
- [Accountability: Great Info On The RASCI / RACI Matrix](#) 
- [How to Do RACI Charting and Analysis](#) 

The list below consists of the stakeholder groups that have a role to play in TRAC compliance. TRAC roles and responsibilities are enumerated.

- Senior Management
- Coordination Group
- Operations Group
- Information Technology
- Administration: Finance or HR
- Acquisitions
- Preservation
- Dissemination
- Rights Management
- External Advisory Group

Senior Management

This page consists of a RACI chart to assist in assigning and tracking the responsibilities in regards to TRAC compliance. See the [Responsibilities for TRAC](#) for an outline of roles included in the following RACI chart. For additional guidance, please also see the [Suggestions for Performing Assigned Roles](#) page.

Responsible

[3.1.2 Preservation Strategic Plan](#)

[3.1.3 Collection Policy](#)

Accountable

[3.1.1 Mission Statement](#)

[3.2.1 Identified Required Competencies and Appointed Staff](#)

Support

Consulted

Informed

If you have trouble accessing this page and need to request an alternate format, [please contact Nance McGovern](#).