

# Organizational Infrastructure

## 3.1 – Governance & Organizational Viability

- 3.1.1 - The repository shall have a mission statement that reflects a commitment to the preservation of, long term retention of, management of, and access to digital information.
- 3.1.2 - The repository shall have a Preservation Strategic Plan that defines the approach the repository will take in the long-term support of its mission.
  - 3.1.2.1 - The repository shall have an appropriate, formal 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 formal succession plan, contingency plans, and/or escrow arrangements.
- 3.1.3 - The repository shall have a Collection Policy or other document that specifies the type of information it will preserve, retain, manage and provide access to.

## 3.2 – Organizational Structure & Staffing

- 3.2.1 - The repository shall have identified and established the duties that it needs to perform and shall have appointed staff with adequate skills and experience to fulfill these duties.
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  - 3.2.1.2 - The repository shall have the appropriate number of staff to support all functions and services.
  - 3.2.1.3 - The repository shall have in place an active professional development program that provides staff with skills and expertise development opportunities.

## 3.3 – Procedural Accountability & Preservation Policy Framework

- 3.3.1 - The repository shall have defined its Designated Community and associated knowledge base(s) and shall have these definitions appropriately accessible.
- 3.3.2 - The repository shall have Preservation Policies in place to ensure its Preservation Strategic Plan will be met.
  - 3.3.2.1 - The repository shall have mechanisms for review, update, and ongoing development of its Preservation Policies as the repository grows and as technology and community practice evolve.
- 3.3.3 - The repository shall have a documented history of the changes to its operations, procedures, software, and hardware.
- 3.3.4 - The repository shall commit to transparency and accountability in all actions supporting the operation and management of the repository that affect the preservation of digital content over time.
- 3.3.5 - The repository shall define, collect, track, and appropriately provide its information integrity measurements.
- 3.3.6 - The repository shall commit to a regular schedule of self-assessment and external certification.

## 3.4 – Financial Sustainability

- 3.4.1 - The repository shall have short- and long-term business planning processes in place to sustain the repository over time.
- 3.4.2 - The repository shall have financial practices and procedures which are transparent, compliant with relevant accounting standards and practices, and audited by third parties in accordance with territorial legal requirements.
- 3.4.3 - The repository shall have an ongoing commitment to analyze and report on risk, benefit, investment, and expenditure (including assets, licenses, and liabilities).

## 3.5 – Contracts, Licenses, & Liabilities

- 3.5.1 - The repository shall have and maintain appropriate contracts or deposit agreements for digital materials that it manages, preserves, and/or to which it provides access.
  - 3.5.1.1 - The repository shall have contracts or deposit agreements which specify and transfer all necessary preservation rights, and those rights transferred shall be documented.
  - 3.5.1.2 - The repository shall have specified all appropriate aspects of acquisition, maintenance, access, and withdrawal in written agreements with depositors and other relevant parties.
  - 3.5.1.3 - The repository shall have written policies that indicate when it accepts preservation responsibility for contents of each set of submitted data objects.
  - 3.5.1.4 - The repository shall have policies in place to address liability and challenges to ownership/rights.
- 3.5.2 - The repository shall track and manage intellectual property rights and restrictions on use of repository content as required by deposit agreement, contract, or license.