



Implementation of the Data Seal of Approval

The Data Seal of Approval board hereby confirms that the Trusted Digital repository Goportis Digital Archive - German National Library of Economics (ZBW) complies with the guidelines version 2014-2017 set by the Data Seal of Approval Board.

The afore-mentioned repository has therefore acquired the Data Seal of Approval of 2013 on September 15, 2015.

The Trusted Digital repository is allowed to place an image of the Data Seal of Approval logo corresponding to the guidelines version date on their website. This image must link to this file which is hosted on the Data Seal of Approval website.

Yours sincerely,

The Data Seal of Approval Board

Assessment Information

Guidelines Version:	2014-2017 July 19, 2013
Guidelines Information Booklet:	DSA-booklet_2014-2017.pdf
All Guidelines Documentation:	Documentation
Repository:	Goportis Digital Archive - German National Library of Economics (ZBW)
Seal Acquiry Date:	Sep. 15, 2015
For the latest version of the awarded DSA for this repository please visit our website:	http://assessment.datasealofapproval.org/seals/
Previously Acquired Seals:	None
This repository is owned by:	German National Library of Economics (ZBW) Duesternbrooker Weg 120, 24105 Kiel Germany Germany T 00494318814610 F 00494318814520 E y.friese@zbw.eu W http://zbw.eu/

Assessment

0. Repository Context

Applicant Entry

Self-assessment statement:

Goportis – Leibniz Library Network for Research Information is the strategic network of the three German National Libraries.

Partners in Goportis are the three German National Libraries:

- TIB (German National Library of Science and Technology, Hannover)
- ZB MED (German National Library of Medicine – Leibniz Information Centre for Life Sciences, Cologne/Bonn)
- ZBW (German National Library of Economics – Leibniz Information Centre for Economics, Kiel/Hamburg)

The Goportis partners jointly operate the digital preservation system “Goportis – Digital Archive”.

TIB is the Rosetta software licensee. Together with its partners ZB MED and ZBW, TIB has established cooperative agreements concerning the use and operation of the Digital Preservation system (DP system). TIB hosts, operates and administers the DP system, and provides Goportis partners with access to the system.

If needed, ZBW and ZB MED refer to the TIB documentation. The following guidelines are affected:

- Guideline 6
- Guideline 8
- Guideline 11
- Guideline 12

The references are each highlighted by the ZBW and ZB MED. If workflows or content differ from those described by the TIB, ZBW and ZB MED will highlight the differences appropriately.

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All Goportis partners apply for the Data Seal of Approval.

Currently, the Goportis partners conduct Rosetta as a dark archive. The preservation masters are managed in the digital long-term archive, the access is ensured via other platforms.

The curated collections by the ZBW are so far:

- the Open Access repository EconStor[1]
- 20th century Press Archive [2]
- National and Alliance Licences hosted by ZBW[3]

All the digital items we are responsible for will be put in the Goportis Digital Archive as well. This is usually done as soon as no further change to the content and the metadata is expected.

Whenever the answer to a guideline touches any access components the answer is given for each of the access platforms.

Due to the material of the archived collections the content of the ZBW in the Goportis Digital Archive is composed of:

- Working papers, discussion papers etc.
- Digitized newspaper articles
- Journal articles

References

[1] <http://www.econstor.eu/> (last accessed 2015/08/04)

[2] <http://webopac.hwwa.de/digiview/docs/eigeneSache.cfm> (last accessed 2015/08/04)

[3] <http://www.nationallizenzen.de/> (last accessed 2015/08/04)

Reviewer Entry

Accept or send back to applicant for modification:

Accept

Comments:

1. The data producer deposits the data in a data repository with sufficient information for others to assess the quality of the data, and compliance with disciplinary and ethical norms.

Minimum Required Statement of Compliance:

3. In progress: We are in the implementation phase.

Applicant Entry

Statement of Compliance:

4. Implemented: This guideline has been fully implemented for the needs of our repository.

Self-assessment statement:

The ZBW archives material for which the library has already taken responsibility as a host such as:

- EconStor
- National Licences
- 20th Century Press Archive

The deposit into the Goportis Digital Archive is done by staff only. The staff members usually cannot double check with the original data producer. Therefore, all the necessary data should already be complete and correct when the data is deposited to the representation platforms.

EconStor

To ensure interoperability with other Open Access repositories, the Dublin Core Metadata scheme is used [1].

All the metadata is made available to other service providers via OAI-PMH [2] (Open Archives Initiative, Protocol for Metadata Harvesting). The metadata available via OAI-PMH must at least contain Dublin Core Simple [3] to maintain the minimum standard. An example for an OIA-Harvester can be found here [4].

In addition, EconStor provides the metadata via OAI in the MODS-Format (Metadata Object Description Schema) [5], which can be found e. g. here [6].

Furthermore, our Cataloguing department composes an additional bibliographic description for each item for the union catalogue, the GVK [7], to match the institutional needs.

An item usually contains only one PDF. In rare cases, there are some appendices or versions in other file formats, which are archived within the intellectual entity as well. The EconStor Guidelines [8] ask explicitly for a file in the PDF format without any password-protection.

The user has access to the descriptive metadata via EconStor itself and, in addition, through the library catalogue.

An example for a working paper in EconStor [9] and in the ECONIS library catalogue [10].

National Licences

The ZBW is hosting National licences like the Economist Intelligence Unit [11]. For each item, there are only four metadata fields, which are always provided by the data producer. All the files belonging to one intellectual entity are provided.

20th Century Press Archive

The data producer for the 20th Century Press Archive is the ZBW itself, as the press clippings and other materials were digitized by our own staff members. The digitized newspaper clippings have been enriched with metadata by ZBW staff and are grouped by topics. To preserve this grouping, entities which belong to one topic are ingested and archived as a collection. The collection can be browsed in the archive. This structure is preserved in the Goportis Digital Archive as well.

The 20th Century Press Archive contains historical information from the beginning of the 20th century to nearly 1949. Older information could reflect the spirit of the time. In its presentation or in its compilation the information may have a character which appears biased or inappropriate according to today's standards. This biased reporting does not represent the views of the ZBW [12].

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Planned Activities

In the near future, the ZBW will retro-digitize from its own material. The bibliographic metadata already exists and will be updated concerning the new representation (digital and online available instead of a book in the stacks). All the necessary data for long-term archiving will be provided.

References

All references last accessed 2015/08/04

[1] <http://dublincore.org/about-us/>

[2] http://www.econstor.eu/dspace-oai/request?verb=ListRecords&metadataPrefix=oai_dc

[3] <http://www.openarchives.org/OAI/openarchivesprotocol.html#dublincore>

[4] <http://www.base-search.net/about/en/index.php>

[5] <http://www.loc.gov/standards/mods/>

[6] <http://www.econstor.eu/dspace-oai/request?verb=ListRecords&metadataPrefix=didl>

[7] <http://uri.gbv.de/database/gvk>

[8] <http://econstor.eu/dspace/policy>

[9] <http://econstor.eu/handle/10419/64158>

[10] <http://lhzbw.gbv.de/DB=1/SET=1/TTL=1/PRS=PP%7F/NXT>

[11] <http://nationallizenzen.zbw.eu/handle/10836/25>

[12] <http://webopac.hwwa.de/PresseMappe20/docs/termsOfUse.cfm>

Reviewer Entry

Accept or send back to applicant for modification:

Accept

Comments:

2. The data producer provides the data in formats recommended by the data repository.

Minimum Required Statement of Compliance:

3. In progress: We are in the implementation phase.

Applicant Entry

Statement of Compliance:

4. Implemented: This guideline has been fully implemented for the needs of our repository.

Self-assessment statement:

Our Rosetta Digital Archive serves to archive material we already host at our library. Therefore, we cannot influence the file format of material for which we already took responsibility. For newly acquired material we recommend the PDF format (without password-protection), if the content of the data is suitable for the PDF format. As we mostly deal with text or image material, this is usually the case.

During our ingest process the file format identity and validity is checked automatically with tools like DROID[1] and JHOVE[2]. Even if the file format is unknown, it is our policy to always keep the original data.

If suitable, a second representation in a more suitable format is created and added to the Archival Information Package (AIP) in the Archive (ZBW: Guideline 7). Data with unknown formats, non-preferable formats or data which is considered not well-formed or not valid get special attention during our risk management and preservation planning workflows to mitigate the risk of obsolescence [3]. Migration activities aim to transfer the content of the material to one of the preferred file formats, whichever is suitable. More information is available in our file format policy [4].

If we get material in unwanted file formats we cannot migrate because there is no suitable target format or the data is password-protected or encrypted in another way, we ensure only the bitstream preservation and integrity of the data. It is not our policy to reject any kind of material. If the data producer is still available for us, we contact him or her to ask for a non-encrypted version. Of course we cannot ensure the long-term availability for every kind of file format or material. Nevertheless, we will always do our very best to avoid data loss. Furthermore, we engage in risk management and preservation planning (ZBW: Guideline 7)

EconStor

For our Open Access Repository EconStor, the EconStor Deposit Licence [5] requests permission for the conversion into another format for the purpose of long-term archiving.

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“4. Long-term archiving and conversion into other formats

The ZBW seeks to achieve the permanent, non-commercial availability of the electronic publications through their websites. All documents relevant to this are tagged with appropriate bibliographic and descriptive cataloguing data (title, author, abstract, key words etc.) in data banks and where necessary converted into a different format.”

Nearly 100% of the material in EconStor is available in the PDF format. A part of the material, e. g. appendices or original versions, however, consists of different formats like MS Excel or Postscript. We always archive the whole material and keep the original data in our Archive. Migrated versions are always an extension and never a replacement.

20th Century Press Archive

All the digitized data is in the JPEG format.

National Licences

The data is available in two versions:

1: As a PDF for the whole unit.

2: All of the original data in the file formats html, excel, xml, tei, gif etc.

We always archive the entire unit including all the original files. If we detect something is missing or has not been uploaded completely, we contact the data producer to ask for the complete data. For information about Metadata formats can be found here (ZBW: Guideline 3).

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Planned Activities

Currently we are implementing a Digitization workflow for monographs from our own stacks. For these, we follow the recommendations and rules of the German Research Foundation [6]. The master TIFF-files of the digitized material, the PDF/A derivate and the METS/MODS data will be archived in our long-term archive.

However, the preferred formats will change in the future as new formats arise and currently used formats will become obsolescent.

References

All references last accessed 2015/08/04

[1]

<http://www.nationalarchives.gov.uk/information-management/manage-information/policy-process/digital-continuity/file-profiling-tool-dr>

[2] <http://jhove.sourceforge.net/>

[3] <http://www.zbw.eu/en/about-us/key-activities/digital-preservation/risk-management/>

[4] <http://www.zbw.eu/en/about-us/key-activities/digital-preservation/file-formats/>

[5] EconStor Deposit Licence Chapter 4:

http://www.zbw.eu/elektronische_angebote/docs/econstor_deposit_license.pdf

[6] German Research Foundation http://www.dfg.de/formulare/12_151/12_151_de.pdf

Reviewer Entry

Accept or send back to applicant for modification:

Accept

Comments:

3. The data producer provides the data together with the metadata requested by the data repository.

Minimum Required Statement of Compliance:

4. Implemented: This guideline has been fully implemented for the needs of our repository.

Applicant Entry

Statement of Compliance:

4. Implemented: This guideline has been fully implemented for the needs of our repository.

Self-assessment statement:

Digital objects hosted by the ZBW contain extensive descriptive metadata. The ZBW Cataloguing department composes the bibliographic descriptions for the material, furthermore there is a subject indexing for some content done by Academic Librarians specialized on Economics.

Bibliographic descriptions, which are produced by co-operative cataloguing in the library network GBV, and which are presented in the union catalogue GVK [1], are stored in the descriptive metadata standard "PICA" (Project for Integrated Catalogue Automation)[2]. During the transfer of the data to the Digital Archive, the metadata is translated to Dublin Core [3] via an extensive metadata mapping and an SRU-API [4].

For collections of the ZBW which are not part of the union catalogue, such as the National Licences [5] or the 20th Century Press Archive [6], a mapping from the original metadata in different formats to Dublin Core is done during the Ingest. For most collections some fields are mandatory as e. g. dc.identifier, but this varies and depends on the collection. This is done via a METS-xml [7], which is generated for all the files which belong to one unit. We do not omit any available metadata. A digital object is understood as the whole object including all the metadata.

Besides the technical metadata belonging to the file, file format etc. is automatically extracted during the Ingest and saved within the Archive.

There are some more metadata generated for the items, like rights metadata (e. g. Access Rights, ZBW Guidelines 14 and 16), administrative metadata and process-related metadata due to actions (e. g. migration actions) performed on the object over time [8].

All the metadata – descriptive and technical – are searchable in the Digital Archive. Detailed information about all the metadata used in the Digital Archive can be found here [9].

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References

All references last accessed 2015/08/04

[1] <http://uri.gbv.de/database/gvk>

[2] <https://www.gbv.de/wikis/cls/PICA-Format>

[3] <http://dublincore.org/>

[4] <https://www.gbv.de/wikis/cls/SRU>

[5] <http://nationallizenzen.zbw.eu/>

[6] <http://zbw.eu/beta/p20/about.en.html>

[7] <http://www.loc.gov/standards/mets/>

[8] <http://www.zbw.eu/en/about-us/key-activities/digital-preservation/risk-management/>

[9] <http://www.zbw.eu/en/about-us/key-activities/digital-preservation/metadaten/>

Reviewer Entry

Accept or send back to applicant for modification:

Accept

Comments:

4. The data repository has an explicit mission in the area of digital archiving and promulgates it.

Minimum Required Statement of Compliance:

4. Implemented: This guideline has been fully implemented for the needs of our repository.

Applicant Entry

Statement of Compliance:

4. Implemented: This guideline has been fully implemented for the needs of our repository.

Self-assessment statement:

Libraries and library systems in Germany fall under the remit of the Länder. There is no federal authority to ensure supraregional access to literature and subject-specific information for all disciplines. The German Research Foundation (DFG) has initiated a number of programmes to establish and financially support a system of Specialised Information Services [1] This system is complemented by the three German National Libraries for specific subjects to which the ZBW belongs (page 9 [1].) They are responsible for economics (ZBW), science and technology (TIB), and life sciences (ZB MED). The mission of the Specialised Information Services (and thus the three German National Libraries) is “the nationwide provision and archiving of relevant printed and digital media and specialised information” (page 5 [1].).

The ZBW serves as a National Library for Economics in Germany and as such it takes responsibility for the long-term and sustainable preservation and accessibility of the digital contents it collects, resp. produces by retrodigitization, or licences and stores on its own servers.

The ZBW commits to the preservation of its holdings/collections and aims to provide digital access to them as widely as possible. To ensure the long-term availability, the ZBW engages in long-term preservation (page 5 [2]). Furthermore, the ZBW networking activities in nestor and the Open Preservation Foundation aim to not only learn about the digital curation best practice but also advance these(ZBW: Guideline 7).

References

All references last accessed 2015/08/04

[1] Richtlinien Fachinformationsdienste für die Wissenschaft / guidelines Specialised Information Services
www.dfg.de/formulare/12_102/12_102_de.pdf

[2] ZBW Strategie 2014-2017 (in German language)
<http://www.zbw.eu/fileadmin/pdf/ueber-uns/2015-strategie.pdf>

[3] <http://www.langzeitarchivierung.de/>

[4] <http://openpreservation.org/>

Reviewer Entry

Accept or send back to applicant for modification:

Accept

Comments:

5. The data repository uses due diligence to ensure compliance with legal regulations and contracts including, when applicable, regulations governing the protection of human subjects.

Minimum Required Statement of Compliance:

4. Implemented: This guideline has been fully implemented for the needs of our repository.

Applicant Entry

Statement of Compliance:

4. Implemented: This guideline has been fully implemented for the needs of our repository.

Self-assessment statement:

1. The ZBW digitises and archives media/items which are no longer subject to copyright law or may be used according to special clauses in copyright law, such as the limitation provision for orphaned subject-matter, § 61 et seq. Copyright Act (UrhG). In both cases due diligence is applied to legal requirements and risk assessment regarding the legitimacy of planned usage.
2. Third parties who upload electronic publications to the servers of the ZBW are requested in the web interface to acknowledge and accept the rules of the ZBW, by which they grant permission to the ZBW to store, copy and process the objects and subsequently provide public access to them. Permission for long-term preservation is requested under clause 4 and includes the permission to convert digital contents into another data format [1].
3. Copyright-protected works which are not subject to legal exceptions (see 1.) are made accessible and archived by the ZBW only if the rightholder has granted such rights either by contract or by licence (e.g. Creative Commons). The ZBW uses model contracts to regulate the provision of public access to these works. These contracts also obtain permission for the long-term preservation of these works. The contracts for Open Access publications [2] and for licensed products within the framework of Alliance licenses [3] can be found on the ZBW websites.
4. The ZBW protects the data of its cooperation partners and the users of its electronic services. It observes the provisions of the Data Protection Act of the State of Schleswig-Holstein [4] and the provisions of the Federal Data Protection Act [5]. The ZBW has appointed a data protection officer who monitors the observation of the data protection rules.

References

All references last accessed 2015/08/04

- [1] http://www.zbw.eu/elektronische_angebote/docs/econstor_deposit_license.pdf

[2] http://www.zbw.eu/_e_publ_agreement/agreement_editor_series.pdf

[3] http://www.nationallizenzen.de/tools/al-musterlizenz/at_download/file

[4] <http://www.gesetze-rechtsprechung.sh.juris.de/jportal/?quelle=jlink&query=DSG+SH&psml=bssshoprod.psml&max=true&aiz=true>

[5] http://www.gesetze-im-internet.de/bdsg_1990/

Reviewer Entry

Accept or send back to applicant for modification:

Accept

Comments:

6. The data repository applies documented processes and procedures for managing data storage.

Minimum Required Statement of Compliance:

4. Implemented: This guideline has been fully implemented for the needs of our repository.

Applicant Entry

Statement of Compliance:

4. Implemented: This guideline has been fully implemented for the needs of our repository.

Self-assessment statement:

The Goportis Digital Archive is operated by the three German National Subject Libraries (ZBW: Guideline 0). For all the combined workflows and principles a Goportis Preservation Policy has been developed [1]. Furthermore, the ZBW has its own Preservation Policy which focusses on the institutional needs of the library [2].

The permanent storage of the Goportis Digital Archive is administrated by the TIB in Hanover. The TIB/UB operates a computing centre for the backup of the data. All details about this data centre, its servers and data integrity checks can be found in the answer to the guideline 6 of the TIB [3] and the paper Entwicklungskonzept Backup[4].

References

All references last accessed 2015/08/04

[1] Goportis Preservation Policy: URL:

<http://www.goportis.de/kompetenzen/versorgung-mit-wissenschaftlichem-content/digitale-langzeitarchivierung/goportis-policy-zur-digitalisierung>

[2] <http://www.zbw.eu/en/about-us/key-activities/digital-preservation/preservation-policy/>

[3] TIB: Guideline 6

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[4] <http://www.tib-hannover.de/en/the-tib/digital-preservation/archival-storage/> (Link to “TIB Entwicklungskonzept Backup)

Reviewer Entry

Accept or send back to applicant for modification:

Accept

Comments:

7. The data repository has a plan for long-term preservation of its digital assets.

Minimum Required Statement of Compliance:

3. In progress: We are in the implementation phase.

Applicant Entry

Statement of Compliance:

4. Implemented: This guideline has been fully implemented for the needs of our repository.

Self-assessment statement:

The ingest process automatically checks the objects for validity and completeness. For instance, if an object was not transferred completely, usually the EOF tag (end-of-file tag which marks the end of a file) is missing. The quality check performed during the ingest process stops the ingest for items which contain at least one problematic file. Staff members will take care of the whole item to be archived instead.

Additionally, the file format is identified by DROID and the format validity is checked by JHOVE. The technical metadata are extracted by JHOVE and the NLNZ metadata extraction tool. Checksums are created and a virus check is performed (ZBW: Guideline 8). Any exceptions and problems are reported to the technical analyst. If there is a need for another tool or quality check during the ingest or a later phase of the archiving cycle, there is always the option to add another plugin e. g. for metadata extraction, format identification, fixity checks or virus checks in Rosetta.

These checks and the preservation policy [1] are the basis of the risk management and preservation planning [2]. In order to be always up to date with the current best practices and information about file formats and their actuality and current issues, the ZBW currently is active leader of two working groups concerning file format issues, the nestor working group on file format identification [3] and the OPF document interest group [4].

Rosetta contains a Preservation Planning module which consists of a format library, a risk analysis, evaluation and the option to perform preservation actions. It is possible to add and edit risk identifiers which serve as a basis for the risk analysis. The format library is based on the PRONOM library [5] which already contains significant properties for each format and can be extended by more technical or organisational properties. The format library is updated periodically by Rosetta's Format Library Working Group which is constructed from Preservation Managers serving at the different institutions using Rosetta.

Before the actual preservation action is performed permanently in the Rosetta system, the preservation plan is tested via a test set, which is defined by the staff.

Rosetta supports an exit strategy, e. g. migrating to another long-term preservation system. Not only can the objects be exported easily to another system, but all the metadata and the relation between the object as well, e. g. via a collection. Rosetta does not store the objects or their metadata in proprietary formats to prevent a vendor-locking, but in a METS-XML-file. The METS file is publicly available at the Library of Congress website and is stored along with the objects in the storage system and not (only) in the database [7].

The ZBW already has performed a preservation action for the invalid or not well-formed PDF files within the archive. A second representation was added by a repair-tool based on iText [6]. The repair-tool is embedded in Rosetta as a plugin and is used for newly acquired content on a regular basis. This is only a migration from PDF to PDF; the ZBW has not yet performed any preservation action which changes the file format.

References

[1] <http://www.zbw.eu/en/about-us/key-activities/digital-preservation/preservation-policy/>

[2] <http://www.zbw.eu/en/about-us/key-activities/digital-preservation/risk-management/>

[3] <https://wiki.dnb.de/display/NESTOR/AG+Formaterkennung>

[4] <http://wiki.opf-labs.org/display/Documents/Home>

[5] <http://www.nationalarchives.gov.uk/aboutapps/pronom/>

[6] <http://itextpdf.com/support>

[7] <http://www.loc.gov/standards/mets/profiles/00000042.xml>

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Accept or send back to applicant for modification:

Accept

Comments:

8. Archiving takes place according to explicit work flows across the data life cycle.

Minimum Required Statement of Compliance:

3. In progress: We are in the implementation phase.

Applicant Entry

Statement of Compliance:

4. Implemented: This guideline has been fully implemented for the needs of our repository.

Self-assessment statement:

Digital Curation for content digitally acquired by the ZBW is mandatory if no further changes to the content in the near future are expected. In general, all the acquired digital content has to be available to our users over the long-term, therefore, long-term-preservation will be ensured for all our content eventually. Staff members who are responsible for the collection decide if the collection is ready for archiving.

Currently, only three collections are archived in the Goportis Digital Archive by the ZBW:

- EconStor
- National Licences (EIU)
- 20th Century Press Archive

The EIU and the completed parts of the 20th Century Press Archive are already archived completely in the Goportis Digital Archive. EconStor is a growing collection, so a Submission Application takes care that newly acquired content is archived automatically.

The ZBW staff members in Digital Curation either are information science or computer science professionals. Additional training for the staff members is regularly available and takes place either in-house or at conferences, training events or workshops. The ZBW staff members are active networkers and keep themselves informed constantly about other institutions' best practices. In addition to the usual communication with peers, the ZBW is involved in nestor [1] and the Open Preservation Foundation [2].

Ingest

The Goportis Digital Archive contains an extensive ingest module, with which the staff deposits the data into the archive. During the ingest process, the SIP is generated and all the metadata is gathered (e. g. from the union catalogue, see guideline 3) or extracted from the data.

Although Rosetta is currently conducted as a dark archive only, the access rights differ for each collection. Every collection which is not available in open access – currently only EconStor is available in open access – get its own Access Rights which can be edited once the archive is opened for public access.

Currently, the manual ingest is used for test purposes only, the main focus is on automatic ingest workflows as the archived collections usually contain too many objects to make manual processing feasible.

Archival Storage

The archival storage (permanent repository) is used for all approved and successfully enriched objects. The storage hardware is managed by the TIB (see guideline 6).

Data Management

Via data management it is possible to form sets to perform further actions like preservation planning or other processes to edit or alter a set of intellectual entities.

Preservation Planning

Detailed information about risk management and preservation planning can be found in the description document [3]. More information about Ingest-Workflows in general, Preservation Planning and access for staff members can be found in the TIB documentation [4]. Detailed information can be found in ZBW: Guideline 7. As preservation actions can lead to an altered representation of the content, the data producer agrees to such actions when submitting content (ZBW: Guideline 2).

Access

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Detailed information can be found in guideline 9. As the Goportis Digital Archive is currently conducted as a dark archive, there is no direct access for non-staff-members. Data can be accessed in several ways directly with a viewer within Rosetta without first downloading it locally for most common formats like PDF. Besides, there is the option to embed external viewers like the DFG Viewer.

Administration

Detailed information about the entire administrative process in the Goportis Digital Archive is described extensively in the other guidelines. For instance, how decisions are made, how and where the processes are documented and which standards are used.

As the workflows are oriented by OAIS, please look also under ZBW: guideline 13.

References

All references last accessed 2015/08/04

[1] <http://www.langzeitarchivierung.de/>

[2] <http://openpreservation.org/>

[3] <http://www.zbw.eu/en/about-us/key-activities/digital-preservation/risk-management/>

[4] TIB: guideline 8

Reviewer Entry

Accept or send back to applicant for modification:

Accept

Comments:

9. The data repository assumes responsibility from the data producers for access and availability of the digital objects.

Minimum Required Statement of Compliance:

4. Implemented: This guideline has been fully implemented for the needs of our repository.

Applicant Entry

Statement of Compliance:

4. Implemented: This guideline has been fully implemented for the needs of our repository.

Self-assessment statement:

As described here (ZBW: Guideline 5), the ZBW acquires the rights from the right holder to store, preserve and publish the digital data. In addition, the ZBW acquires the rights for the printed data which are digitized by the ZBW.

The access copies for the access platforms are stored on ZBW servers.

All the data that is intended for long-term archiving is stored in the Goportis Digital Archive in the data center of the TIB/UB Hannover (TIB: Guideline 6).

Reviewer Entry

Accept or send back to applicant for modification:

Accept

Comments:

10. The data repository enables the users to discover and use the data and refer to them in a persistent way.

Minimum Required Statement of Compliance:

3. In progress: We are in the implementation phase.

Applicant Entry

Statement of Compliance:

4. Implemented: This guideline has been fully implemented for the needs of our repository.

Self-assessment statement:

As the Goportis Digital Archive is a dark archive, only staff members can directly access the data within the archive. However, all the material available in the Goportis Digital Archive is accessible via other representation platforms to the designated community / library users.

EconStor

ZBW's Open Access publication server provides access to currently (March 2015) 88,000 research papers and other types of documents [1] [2]. All these items are provided in PDF format. The data producer is asked to provide the material in PDF format: "Documents must be submitted as "Portable Document Format" (PDF) only." [3]

As its persistent identifier scheme, EconStor uses handle identifiers provided by the 'Handle System' [4] maintained by the Corporation for National Research Initiatives (CNRI), which is also part of the descriptive metadata in the Goportis Digital Archive. The user is encouraged to use the Handle System IDs for citing, an example is available here [5].

The data can be found and accessed by the user via several options. Firstly, it can be accessed via the EconStor website itself [1], where certain browsing and searching features are offered to the users, including a full text search. EconStor also offers its metadata in machine readable form through an OAI-PMH interface [6]. Secondly, more search facilities are offered through EconBiz [7], the search portal for economics, developed and maintained by the ZBW, where the EconStor database is fully integrated. Deep searching is possible via the EconBiz API [8]. The EconBiz portal is known among the designated community in Germany – and because of the worldwide EconBiz partner network [9] it is established internationally also. Furthermore, due to search engine optimization many users can find content from EconStor or EconBiz through search requests in Google or Google Scholar.

National Licences

All national licences hosted by the ZBW are available on the website [10]. Whenever a new licence is acquired, all institutions registered at the website [10] are notified by email. Academic Librarians in Germany responsible for economics and business studies are also notified by email.

As a persistent identifier, the URI (Uniform Resource Identifier) [11] is used. The user is encouraged to use the URI for citing and persistent access and verification. Furthermore, all the content hosted by the ZBW gets a handle [4] per default, which is conventional with DSpace repositories.

The content is available on the ZBW hosting website [10] in two different forms:

- As a PDF document which consists of the whole intellectual entity.
- In the HTML format and all the different data formats according to the original formats.

Both versions are archived in the Goportis Digital Archive.

Planned Activities

It is planned – presumably by the end of 2015 – to include more content of the national licences in EconBiz [7]. Once the optimization is completed, the data will be linked directly to the national hosting webpage of the ZBW [10]. In addition, there will be a special information website for the licences in the near future.

20th Century Press Archive (Digitized Press Clipping Archive)

The digital press archive can be found on the website [12]. An example of a dataset is here [13]. Parts of the archives, especially from the ‘biographical archives’ can be accessed as well via Wikipedia, the German biography [14] and Hamburg Wissen Digital [15]. The datasets are organized in folders. A folder contains documents with a variable number of pages. The digitized material is provided in the data formats JPEG and PDF. The JPEG is an equivalent of a page of paper. The PDF contains all pages of a document in one piece. Many of the datasets have GND-numbers [16] and are searchable about Beacons [17].

A persistent identifier is used for the single folder, whose format builds on the catalogue previously used for the collection. However, this identifier and the accompanying Id number from the local database used in the access platform is part of the descriptive metadata of the archival information package in the Goportis Digital Archive.

References

All references last accessed 2015/08/04

[1] <http://econstor.eu/>

[2] <http://econstor.eu/dspace/about>

[3] <http://www.econstor.eu/dspace/policy>

[4] <http://www.handle.net/>

[5] <http://econstor.eu/dspace/handle/10419/46587>

[6] <http://www.econstor.eu/dspace-oai/request?verb=Identify>

[7] <http://www.econbiz.de/eb/en/about/hilfe-datenbanken/>

[8] <https://api.econbiz.de/doc>

[9] <http://www.econbiz.de/eb/en/about/econbiz-partner-network/econbiz-partner-network/>

[10] <http://nationallizenzen.zbw.eu/>

[11] <http://www.iana.org/assignments/uri-schemes/uri-schemes.xhtml>

[12] Website of the digitized press archive of the 20th century:
http://webopac.hwwa.de/PresseMappe20/docs/index_eng.cfm

[13] http://webopac.hwwa.de/digiview/DigiView_GKD.cfm?GKD=10005307-5

[14] <http://www.deutsche-biographie.de>
For instance: <http://www.deutsche-biographie.de/sfz25330.html#waccontent>

[15] <http://www.hamburgwissen-digital.de/home.html>

[16] http://de.wikipedia.org/wiki/Gemeinsame_Normdatei

[17] <http://webopac.hwwa.de/PresseMappe20/docs/beacon.cfm>

Reviewer Entry

Accept or send back to applicant for modification:

Accept

Comments:

11. The data repository ensures the integrity of the digital objects and the metadata.

Minimum Required Statement of Compliance:

3. In progress: We are in the implementation phase.

Applicant Entry

Statement of Compliance:

4. Implemented: This guideline has been fully implemented for the needs of our repository.

Self-assessment statement:

Rosetta, which is used as the out-of-the-box solution in the Goportis Digital Archive, ensures the integrity of the digital objects with three checksums:

1. SHA1 [1]

2. MD5 [2]

3. CRC32 [3]

Furthermore, the TIB, which is responsible for operating the computing centre for all three institutions, ensures the data integrity via ZFS Scrubbing [4] and Fletcher3-checksums [5] [6] [7].

Versions of an AIP (archival information package)

To update or edit an AIP within the Goportis Digital Archive, a copy of the AIP is created which then can be altered. During this process, the AIP will be inaccessible to other users to avoid conflicts. A change to an AIP

needs to be confirmed by the responsible staff member. Then a new AIP is created and all the changes are documented in the archival metadata and the METS file. Both the new version and the old METS files are then stored in the permanent archive.

Possible scenarios for having to alter an AIP within the archive are e. g.:

- A preservation action was performed and the AIP gains a new representation
- An update representation was added, e. g. because the data producer has produced a new version

Planned activities

Rosetta includes the option to test the checksums of the archived units within the archive externally and automated via an API. The TIB is planning to use this option in the near future.

References

All references last accessed 2015/08/04

[1] <http://en.wikipedia.org/wiki/SHA-1>

[2] <http://en.wikipedia.org/wiki/MD5>

[3] http://en.wikipedia.org/wiki/Cyclic_redundancy_check

[4] <http://en.wikipedia.org/wiki/ZFS>

[5] http://en.wikipedia.org/wiki/Fletcher%27s_checksum

[6] TIB: Guideline 6

[7] TIB: Guideline 11

Reviewer Entry

Accept or send back to applicant for modification:

Accept

Comments:

12. The data repository ensures the authenticity of the digital objects and the metadata.

Minimum Required Statement of Compliance:

3. In progress: We are in the implementation phase.

Applicant Entry

Statement of Compliance:

4. Implemented: This guideline has been fully implemented for the needs of our repository.

Self-assessment statement:

The Goportis Digital Archive is operated by the three German National Libraries. Therefore, many generic configurations are used by all three libraries and are maintained by the TIB. The workflow of the ZBW to ensure authenticity is therefore very similar to the workflow of the TIB [1].

The repository staff is responsible for the authenticity of all the electronic documents available on the presentation platforms, e. g. EconStor [2] and the National Licences [3]. In the case of “mediated deposit” the origin and the content of all documents will be checked by librarians before uploading them to the repository internally. In the case of “self-archiving” by the author or copyright holder the authenticity of the submitted digital objects will be proved technically through MD5 fingerprints. Furthermore, before making a publication available to the public, each submission from third parties and the corresponding metadata must be checked by ZBW’s repository staff. Legal issues concerning the submission are regulated by the EconStor Deposit Licence [4].

For digitized material like the digitized press archive of the 20th century [4] the ZBW is the data producer and therefore responsible for the authenticity of the material.

In the Goportis Digital Archive, however, the authenticity is ensured as following:

- The original data is always saved as the Preservation Master. This version will not be changed. There cannot be more than one Preservation Master.

- Changes are always performed to a copy of the Preservation Master, which is labelled in the Archive as a 2nd representation named Modified Preservation Master.

- All changes to the Modified Preservation Master are documented in the metadata. If a preservation plan was used, this is also saved and transparently reproducible in the Goportis Digital Archive. If plugins were used, these are archived as well.

References

All references last accessed 2015/08/04

[1] TIB: guideline 12

[2] <http://www.econstor.eu/>

[3] <http://nationallizenzen.zbw.eu/>

[4] http://www.zbw.eu/elektronische_angebote/docs/econstor_deposit_license.pdf

[5] <http://webopac.hwwa.de/digiview/docs/eigeneSache.cfm>

Reviewer Entry

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Accept

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13. The technical infrastructure explicitly supports the tasks and functions described in internationally accepted archival standards like OAIS.

Minimum Required Statement of Compliance:

3. In progress: We are in the implementation phase.

Applicant Entry

Statement of Compliance:

4. Implemented: This guideline has been fully implemented for the needs of our repository.

Self-assessment statement:

The ZBW conducts an OAIS-compliant archive[1] , which is based on Rosetta [2]. Furthermore, the archive conducted by the ZBW is compliant to the DIN 31644:2012-04 [3] and the DCC Curation Lifecycle Model [4].

An organization has to fulfill several requirements to conduct an OIAS-compliant archive, especially in terms of the designated target group and that the archived information is comprehensible and available to the target group. These are described in the guideline 13 of the TIB. These requirements are fulfilled by the ZBW as described in the guidelines 1,2,3,5,6,8,11,12 and 16 and in the Preservation Policy [5].

The Digital Curation workflows and processes are described in Guideline 8.

It is possible for the Goportis partners to contribute to the development of Rosetta, as Goportis is a member of the German-speaking Rosetta User group as well as of the international Rosetta User group. The customers share their experiences and enhancement wishes to be able to address them to Ex Libris corporately.

For the archival storage there is a development concept. Furthermore, the Rosetta Architecture is scalable [6].For more information about archival storage please see guideline 6 and 13 of the TIB.

Standards are used to ensure the long-term access of the objects. Dublin Core is used for descriptive metadata [7]. The metadata concerning the long-term preservation are described via DNX. These consist of technical, administrative and Process-Metadata. DNX is based on PREMIS [8].

Dublin Core and DNX are embedded in METS [9], furthermore all metadata concerning rights, structure and administration are described in the METS file. The METS file contains all metadata and the paths to the objects of an Archival Information Package. The METS structure is publicly available [10].

References

All references last accessed 2015/08/04

[1] Reference Model for an Open Archival Information System (OAIS),
<http://public.ccsds.org/publications/archive/650x0m2.pdf>

[2] <http://www.exlibrisgroup.com/category/RosettaOverview>

[3] DIN 31644:2012-04 "Kriterien für vertrauenswürdige digitale Langzeitarchive"

[4] <http://www.dcc.ac.uk/resources/curation-lifecycle-model>

[5] <http://www.zbw.eu/en/about-us/key-activities/digital-preservation/preservation-policy/>

[6] <http://www.exlibrisgroup.com/files/Products/Preservation/RosettaScalingProofofConcept.pdf>

[7] <http://dublincore.org/documents/usageguide/elements.shtml>

[8] <http://www.loc.gov/standards/premis/>

[9] <http://www.loc.gov/standards/mets/>

[10] <http://www.loc.gov/standards/mets/profiles/00000042.xml>

Reviewer Entry

Accept or send back to applicant for modification:

Accept

Comments:

14. The data consumer complies with access regulations set by the data repository.

Minimum Required Statement of Compliance:

4. Implemented: This guideline has been fully implemented for the needs of our repository.

Applicant Entry

Statement of Compliance:

4. Implemented: This guideline has been fully implemented for the needs of our repository.

Self-assessment statement:

Our long-term archive is a dark archive. We provide access via other platforms. Below we describe the access regulations for the collections that are part of our archive so far. For those platforms where access limitations apply, there are technical provisions in place to ensure that the platforms can only be accessed in accordance with the set restrictions (e.g. only for registered users, only for viewing, no printing out).

EconStor [1]

EconStor is an Open Access repository and can be accessed by everyone via Internet, without registration or other restrictions. The documents can be viewed, printed or saved for personal, non-commercial use according to the German copyright law.

National and Alliance Licences material – hosted by ZBW [2]

The material of these licenses is only available for certain institutions or registered users. In general a user can view, print and save the material. If non-registered users try to access the material, they are informed that only registered institutions or users can have access. A contact email address is shown, please see [3] for this information.

20th Century Press Archive [4]

The content of this repository is in general Open Access for everyone via Internet. This repository deposits mainly older copyright free content. If content is still under copyright (e.g. the creator of the article has been dead for less than 70 years), the content is not available on the website yet, in accordance with German law. These items become available in Open Access after a Moving Wall, under the principles of German Copyright Law (see ZBW: Guideline 16 for detailed access regulations).

References

All references last accessed 2015/08/04

[1] Terms of Use EconStor: <http://www.econstor.eu/dspace/Nutzungsbedingungen>

[2] Website of the National Licences: <http://www.nationallizenzen.de/>

[3] <http://nationallizenzen.zbw.eu/handle/10836/25420>

[4] Website of the digitized press archive of the 20th century:
<http://webopac.hwwa.de/digiview/docs/eigeneSache.cfm>

Reviewer Entry

Accept or send back to applicant for modification:

Accept

Comments:

15. The data consumer conforms to and agrees with any codes of conduct that are generally accepted in the relevant sector for the exchange and proper use of knowledge and information.

Minimum Required Statement of Compliance:

4. Implemented: This guideline has been fully implemented for the needs of our repository.

Applicant Entry

Statement of Compliance:

4. Implemented: This guideline has been fully implemented for the needs of our repository.

Self-assessment statement:

All users of our platforms can access the applicable usage regulations on the relevant website. Since our platforms and the long-term archive contain economic literature that usually does not contain any personal or confidential data in the meaning of the German Data Protection Laws, we do not need to implement a very detailed rights management for different groups of users. Nevertheless, the ZBW in general complies with the applicable regulations of the Federal Data Protection Act (BDSG) and the Data Protection Law of the State of Schleswig Holstein (LDSG).

All users are obliged to comply with the Copyright Act (UrhG). The usage regulations governing the use of our sites in Kiel and Hamburg state the obligation of any user to comply with the Copyright Laws and applicable license agreements [1] [2].

References

All references last accessed 2015/08/04

[1] http://www.zbw.eu/de/ueber-uns/zbw-von-a-z/Download_PDF_Benutzungsordnung (german only, for local users)

[2] <http://www.zbw.eu/fileadmin/pdf/recherchieren/benutzungsordnung.pdf>, see page 7

Reviewer Entry

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Accept or send back to applicant for modification:

Accept

Comments:

16. The data consumer respects the applicable licences of the data repository regarding the use of the data.

Minimum Required Statement of Compliance:

4. Implemented: This guideline has been fully implemented for the needs of our repository.

Applicant Entry

Statement of Compliance:

4. Implemented: This guideline has been fully implemented for the needs of our repository.

Self-assessment statement:

In general, the user always has to respect the applicable licenses of our data repositories. If a registration is necessary to access the data, the user has to actively agree to the terms of use by clicking a statement like "I accept the terms of use of this repository".

Below we describe the access regulations for the collections that are part of our archive so far.

EconStor

The usage regulations for EconStor are listed on the specific website "Terms of use" [1]. The user agrees with these terms by the first use of a document that is published on EconStor. Furthermore, the URL to this site is part of the Dublin Core Metadata of each item within the metadata element "dc.rights"[2]. Lastly, the terms of use are provided to the user through a specific cover page added to each PDF file downloaded from EconStor, an example is given here [3]. The cover page contains the following notes regarding the Terms of Use:

"Terms of use:

The ZBW grants you, the user, the non-exclusive right to use the selected work free of charge, territorially unrestricted and within the time limit of the term of the property rights according to the terms specified at → <http://www.econstor.eu/dspace/Nutzungsbedingungen>

By the first use of the selected work the user agrees and declares to comply with these terms of use."

National Licences

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These licences are only available for certain institutions or registered users. During the registration process [4] the user is requested to accept the terms of use for each collection before accessing the content. The terms of use are visible during the registration process and on the website of the National Licences [5], an example can be found on this site [6]. To successfully complete the registration the users have to agree to the terms.

In detail, the registration process for institutions is as follows:

- the institution needs an existing user account on www.nationallizenzen.de- the institutions applies for a licensed product by selecting this product
- the system generates a document where the director of the institution has to confirm that the terms of use of the licence are accepted
- the institution sends the signed document to the ZBW
- the ZBW checks if the institution is an authorized institution according to the licence agreement (agreement between ZBW and vendor)
- the ZBW asks the vendor to set up access for the institution

In detail, the registration process for individual users is as follows:

- a private person who is interested in accessing licensed material and who doesn't have the possibility to access the product through a library or similar institution can fill out an application form on www.nationallizenzen.de
- the person must have a permanent residence in Germany
- the person must agree to the terms of use for any product that he or she is interested in
- the "application document" must be sent by mail
- the individual user gets username and password

20th Century Press Archive

For our digitized 20th Century Press Archive we have listed the terms of use on the website [7]. A small summary concerning the copyrights is also to be found on each landing page, e. g. for the "[Länder-Sacharchiv](#)". As the website of the press archive is in German language only, there is no English version of the terms of use. In accordance with German law, content is not made available on the website unless the creator has been dead for more than 70 years. Please see also ZBW: Guideline 14.

References

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All references last accessed 2015/08/04

[1] EconStor's Terms of Use: <http://www.econstor.eu/dspace/Nutzungsbedingungen>

[2] <http://purl.org/dc/elements/1.1/rights>

[3] <https://www.econstor.eu/bitstream/10419/104060/1/805010599.pdf>

[4] http://www.nationallizenzen.de/ind_inform_registration

[5] Website of the National Licences: <http://www.nationallizenzen.de/>

[6] <http://www.nationallizenzen.de/angebote/nlproduct.2012-02-01.9485734293>

[7] <http://webopac.hwwa.de/digiview/docs/eigeneSache.cfm>

Reviewer Entry

Accept or send back to applicant for modification:

Accept

Comments:

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