



## **Implementation of the CoreTrustSeal**

The CoreTrustSeal board hereby confirms that the Trusted Digital repository Australian Data Archive complies with the guidelines version 2017-2019 set by the CoreTrustSeal Board.

The afore-mentioned repository has therefore acquired the CoreTrustSeal of 2016 on February 1, 2018.

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

Yours sincerely,

The CoreTrustSeal Board

## Assessment Information

Guidelines Version: 2017-2019 | November 10, 2016  
Guidelines Information Booklet: [DSA-booklet\\_2017-2019.pdf](#)  
All Guidelines Documentation: [Documentation](#)

Repository: Australian Data Archive  
Seal Acquiry Date: Feb. 01, 2018

For the latest version of the awarded DSA for this repository please visit our website: <http://assessment.coretrustseal.org/seals/>

Previously Acquired Seals: None

This repository is owned by: **Australian Data Archive**  
Beryl Rawson Building  
The Australian Data Archive Level 2, The Australian National University Acton ACT 2601

Australia

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E [ada@anu.edu.au](mailto:ada@anu.edu.au)  
W <http://ada.edu.au/ada/home>

# Assessment

## 0. Context

### Applicant Entry

*Self-assessment statement:*

**Repository Type:**

Domain or subject based repository. The area of interest is Social Science Data with a broad remit as to what sorts of digital data are acquired and preserved by the Australian Data Archive. We are a digital data archive and do not preserve physical objects but will digitize and preserve relevant documents and data of interest.

**Designated community:**

Australian Data Archive (ADA) was established at The Australian National University (The ANU) in 1981 (under the original title of the Social Science Data Archive) with a brief to provide a national service for the collection and preservation of computer readable data relating to social, political and economic affairs and to make these data available for further analysis. The ADA acquires, documents, preserves and disseminates data online to a broad range of social science researchers in the university, government, and other sectors. The designated communities are reflected by the way the holdings are separated into a series of sub-archives reflecting the nature of the data and/or major thematic divisions. The sub-archives are: Social Science – predominantly survey or polling based quantitative social science data ; Historical – an archive of Australian census data tables from 1834 to the present day; Indigenous – A thematic archive bringing together research data about Aboriginal and Torres Strait Islanders; Longitudinal –major longitudinal cohort and panel surveys of the Australian population; Qualitative – a collection which provides specialist data archiving and access services to qualitative researchers; Crime & Justice – major collections of data in crime, law and justice, including criminal justice administrative data; International – a central point of access for links to international data sources around the world.

Overview of ADA in ADA User Guides, Introduction to the Australian Data Archive (pg2):  
<http://ada.edu.au/ada/user-guides> PDF download IntroductionToADA.pdf (accessed 12/04/2017)

### **Level of Curation:**

Every data set offered to the ADA is evaluated by trained ADA data archive staff to ensure it is relevant and accessible and contains understandable data and related materials. Data accepted by the ADA are ingested via a program called ADAPT and assigned a unique number. The ADA staff then perform various levels of curation dependent upon the level agreed with depositor, type of data set and importance to the confidentiality and the scope of the ADA collections. All data received as the Submission Information Package (SIP) are stored in original form, all data processed are done on copies of the original and are converted to preservation formats for long term storage as the Archival Information Package (AIP). All copies of syntax and superseded data/documents are retained in an archival form. As a general rule data is processed to at least basic curation standards (brief checking to ensure no personally identifiable information is contained, addition of basic metadata or documentation) which is defined as level 1 in ADA wiki 1.2.4 and equates to B basic curation and C enhanced curation in these guidelines. The default level is ADA level 2, at minimum requires dataset and questionnaire, a number of data checks are undertaken and full DDI documentation is created, data is then available for download in various formats which makes curation at level C enhanced curation in these guidelines. ADA Level 3 is for special studies all processing from level 2 occurs and literal question text is added in Nesstar and variables are grouped, and any extra documentation possible is gleaned and added this equates to D data level curation. All data is available for viewing on the ADA website and is downloadable in a variety of formats via online Nesstar tools as the Dissemination Information Package (DIP) to those registered with ADA. All data post mid2016 are assigned a DOI. The majority of data have value added by enhancing the data, metadata and documentation, predominately data is checked to the data level thus would be level D in these guidelines of data-level curation.

The ADA is transitioning away from Nesstar as the processing and dissemination package and moving to Dataverse. Dataverse is a community based software program and will be the mode of dissemination by 2018. All data will be transitioned from the current ADA Nesstar catalogue to ADA Dataverse and assigned DOI.

ADA Wiki: <https://assdawiki.anu.edu.au/assdawiki/Deposit2> (internal access only)

### **Outsource Partners:**

The National Computational Infrastructure (NCI) house the platforms for ADA and store the ADA data.

NCI is managed by the Australian National University with governance provided by NCI Board, to within the limits of the Statutes and policies of the University. The NCI operates the fastest filesystems in the Southern Hemisphere and is the nation's highly-integrated, high performance research computing environment. The NCI maintain VMWare and VMS which run ADA dataverse and Nesstar servers and provide professional support via their helpdesk facility. Areas of the guidelines which NCI are relevant to are G2, G9, G10, and G16.

The ADA collection is subject to the mandates of NCI project scheme storage agreements with NCI as detailed at <http://nci.org.au/access/user-registration/new-project-application/>. The ADA agree to terms and conditions specified by NCI to use their services such as personal security around logins, user behaviour and other areas.

Expertise and additional assistance from specific specialists is provided by the Centre for Social Research and Methods (CSRM) which consists of national and international researchers of note and additional expertise from members of The Australian National University (The ANU) in which The ADA is embedded.

We don't have an organizational mandate or legislated agreement for storage or collections but we do have a project registered with NCI and have special non-contractual arrangements in place.

NCI Overview: <http://nci.org.au/about-nci/our-role/> (accessed 1/09/2017)

NCI Policy & Conditions:  
<http://nci.org.au/access/general-requirements-expectations-policies-and-conditions-of-use/> (accessed 1/09/2017)

CSRM: <http://csrcm.cass.anu.edu.au/> (accessed 1/09/2017)

The ANU: <http://www.anu.edu.au/> (accessed 12/04/2017)

**Other:**

**CoreTrustSeal Board**

W [www.coretrustseal.org](http://www.coretrustseal.org)

E [info@coretrustseal.org](mailto:info@coretrustseal.org)

The ADA is the point of contact for some Australian Government Data Sets. It also provides the service to be a point of access to links to international data sources.

ADA International: <http://ada.edu.au/international/home> (accessed 12/04/2017)

Nesstar is the data management, DDI compliant metadata producer, publishing and disseminating software used by ADA until full implementation of Dataverse. Information regarding Nesstar can be found on its website. Information regarding the Dataverse community can be found on the website below.

Nesstar: <http://www.nesstar.com/software/publisher.html> (accessed 1/09/2017)

Dataverse: <https://dataverse.org/> (accessed 1/09/2017)

ADA webpage: <http://ada.edu.au/ada/home> (links to ADA Nesstar catalogue) <https://dataverse.ada.edu.au/> (link to ADA Dataverse)

The ADA adopts, develops and applies standards in line with international best practice. The ADA has a significant role in the data archiving, access and lifecycle methodology and terminology within Australia. It has had input into the Productivity Commission 'Data Availability and Use'. It was mentioned in chapter 3 of National Statement on Ethical Conduct in Human Research under its former name Australian Social Science Data Archive (<https://www.nhmrc.gov.au/book/chapter-3-2-databanks>). ADA belongs to international organisations (such as the International Federation of Data Organizations and the International Association of Social Science Information Service and Technology) and plays a major role in cross-national collaborative projects. It also provides support for the management and dissemination of grant-funded data collections such as ARC and NHMRC projects. The ADA gave input to the drafts of The National Research Infrastructure Roadmap and is mentioned in the final publication as being instrumental (Commonwealth of Australia Department of Education and Training, 2017, 2016 National Research Infrastructure Roadmap, p36, 1/10/2017, <https://docs.education.gov.au/node/43736>). The ADA is located in the ANU Centre for Social Research and Methods (CSRSM). The centre provides significant Australian capacity in undertaking multi-disciplinary research into major areas of applied social research, meeting a need for national leadership in research methods. The ANU CSRSM produces credible evidence-based research to inform and evaluate policy, programs and initiatives.

The Australian National University (ANU) is governed by Australian Legislation, The ANU ACT and Academic Statutes, Rules and Orders of the ANU. It also has governing Policies which are statements of principal to which all members of The University must adhere. In the governance order of items the Australian Data Archive is a unit in The Centre for Social Research and Methods (CSRМ) which is a unit in the Research School of Social Sciences in the College of Arts and Social Sciences which is one of the main Colleges of The ANU. Thus being a unit within a large body which was founded under an act of parliament by the Australian Government we will not be specifically named in any statement or policy document but are required to follow the policies, principles, procedures and standards defined in them as they relate to our operationalization. The ADA does still have authority over obtaining data and distribution rights as defined in our deposit agreements and licence agreements and for reuse of data within the edicts of our user agreements for secondary reuse. Most items required for obtaining this seal are not outsourced outside of the realm of the university but are not under direct contract or agreement with the ADA and any specific body thus specific relationships and contracts can't be cited with reference to many of these guidelines. As a unit member we are afforded services, protections and funding rights by The University.

The Australian Government has a roadmap and plan for creating National Infrastructure for research. The Plan will encompass all areas of research and international collaborations. The ADA has been instrumental in this plan with "Significant effort and institutional investment in development the process and undertaking the digitisation of materials." (Commonwealth of Australia, 2017 pg. 36). The ANU and the ADA play important and long standing roles in national and international research in areas such as roadmaps and standards. The ADA is occasionally identified in such documents but many times does not get attribution, but this fact does not diminish the important role the ADA plays.

Commonwealth of Australia Department of Education and Training, 2017, 2016 National Research Infrastructure Roadmap, <https://docs.education.gov.au/node/43736> (accessed 1/10/2017)

## **Reviewer Entry**

*Accept or send back to applicant for modification:*

Accept

*Comments:*

## 1. Mission/Scope

*Minimum Required Statement of Compliance:*

0. N/A: Not Applicable.

## Applicant Entry

*Statement of Compliance:*

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

*Self-assessment statement:*

### **Mission:**

The ADA was established at The ANU in 1981 (under the original title of the Social Science Data Archive) with a brief to provide a national service for the collection and preservation of computer readable data relating to social, political and economic affairs and to make these data available for further analysis. The ADA makes its mission to preserve and provide access to research data prominent on its website and in supporting documentation.

The ADA team is comprised of professional data archivists, advised by a panel of leading social scientists, who provides both stewardship and outreach services to the Australian social science community. The archive:

- acquires, documents, preserves and disseminates data online to a broad range of social science researchers in the university, government, and other sectors
- provides the only comprehensive social science data collection in Australia, with a catalogue of around 5000 data sets
- holds data from Australian surveys, opinion polls and censuses and includes data from other countries within the Asia Pacific region
- is continually expanding and diversifying its collection
- provides specialist services within specific subject areas, including Indigenous studies, electoral behaviour, criminology and some humanities disciplines, and within specific data types, including quantitative, qualitative, time series and panel data, and historical statistics
- locates and manages access to overseas social science data sets required by Australian based researchers
- adopts, develops and applies standards in line with international best practice
- belongs to international organisations (such as the International Federation of Data Organizations and the International Association of Social Science Information Service and Technology) and plays a major role in cross-national collaborative projects
- plays an important role on behalf of the Australian Research Council (ARC) through the management and dissemination of ARC funded data collections arising from Discovery and Linkage grants

ADA website: <http://ada.edu.au> (accessed 12/04/2017)



### **Mission approval:**

The mission of the ADA is integrated into the position statements of ADA staff and the organizational planning of the CSRM at The ANU (annual report 2015/16). The dissemination of research data and results also has potential benefits for the general public. For example, the Australian National University (in their Position Statement on Open Access) has identified that: "The University has an obligation to share research outcomes with the global community, many members of which do not enjoy the same level of investment in research experienced in Australia. The ability to participate and share in scientific and cultural advancement is a declared human right. Traditional publication channels do not necessarily place scholarly works into the public domain promptly and at low cost to the user. The University supports prompt open dissemination where possible to avoid these barriers." (<http://ada.edu.au/ada/why-deposit-data->) This is also inline with the ANU Open Access Policy and Procedure which helps meet the objectives of The Australian National University's [Open Access Policy](#) and [Procedure](#) which state: "The Australian National University is a research-intensive, research-led university. Our commitment to the dissemination of research findings is essential both to differentiate the University's research excellence and support national and international research excellence." (Anu Policy Open Access 008802). Publishing data through the Australian Data Archive enables the public to gain access to research data that would otherwise be inaccessible. The ADA is unit within The ANU and as such is held to all legislation and policies governing the University. The ADA is the preferred repository for ARC funded collections. In line with ANU policies on Open Access as of October 2015 the ADA is a free service. The benefits of depositing data with the ADA are detailed in the document [Depositing Data with the Australian Data Archive](#).

The ADA has strong links, support and collaborations with Australian Consortium for Social and Political Research Inc (ACSPRI), Australian Housing and Urban Research Institute (AHURI), National Centre for Vocational Education Research (NCVER), and various Australian Federal Government Departments.

Introduction to the Australian Data Archive: <http://ada.edu.au/ada/user-guides> PDF Downloads  
IntroductionToADA.pdf (accessed 12/04/2017)

ANU Open Access Policy: [https://policies.anu.edu.au/ppl/document/ANUP\\_008802](https://policies.anu.edu.au/ppl/document/ANUP_008802) (accessed 12/04/2017)

Open Research ANU: <http://openresearch.anu.edu.au/about-open-research-anu> (accessed 1/09/2017)

ANU Data Sharing: <http://libguides.anu.edu.au/c.php?g=465056&p=3180336> ;  
<http://libguides.anu.edu.au/c.php?g=465056&p=3180679> (Data sharing ANU guides)

User Guides/Depositing Data with The Australian Data Archive: <http://ada.edu.au/ada/user-guides> (accessed 12/04/2017)

Why deposit your data?: <http://ada.edu.au/ada/why-deposit-data-> (accessed 12/04/2017)

## **Reviewer Entry**

*Accept or send back to applicant for modification:*

Accept

*Comments:*

## 2. Licenses

*Minimum Required Statement of Compliance:*

0. N/A: Not Applicable.

### Applicant Entry

*Statement of Compliance:*

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

*Self-assessment statement:*

#### **License agreements in use:**

The Australian Data Archive is committed to providing open access to Australian and international research data for research and education purposes. This open access commitment however is balanced against our obligations to the original participants in these research studies. Data provided to the ADA has been collected from research participants following research ethics requirements on the depositor who produced the data. These requirements place obligations on the researchers and ADA for appropriate use of the data for secondary purposes. Under ADA's deposit protocols, the conditions under which the data may be made available by the ADA to other researchers are determined by the Principal Investigator depositing the data. The License is attached to the depositing information and forms on the ADA website. Depositors may engage with the ADA staff regarding questions of license and access.

The deposit form in ADA Deposit and Preservation Tool (ADAPT) and available at the ADA website obtains Licence Details. The Licence Form is required to be completed and submitted before publishing. The Licence Form determines how the data and associated materials may be used once they have been deposited at ADA. It gives ADA non-exclusive rights to redistribute the data - a deposit must not be published without it.

Information not in the public domain but detailed to ADA staff on the ADA wiki:

ADA staff check that the person who signed the Licence Form has the authority to do so. This is an important copyright issue. If the deposit is from a government department, the head of the relevant departmental area should sign the Licence Form. If the deposit is from a University, the University will probably hold the copyright rather than the individual researcher, so the person signing the Licence Form should be at a sufficiently high level to have the necessary authority. For example, ADA do not accept a Licence Form signed by a research assistant.

The original Licence Form is required to be obtained, scanned and stored in the archive. Scanned or faxed copies of the signed Licence Form can be accepted in the interim, but the original will also be required to be held onto

until the electronic version is stored in the archive. Copies of the (signed) Licence Form and the Deposit XML are stored in electronic format in the archive folder (pdf and .xml respectively) on the relevant archive folder and any paper copies are disposed of.

Licence and Deposit Forms: <http://ada.edu.au/ada/deposit-forms> (accessed 12/04/2017)

Deposit details of conditions: <http://ada.edu.au/ada/how-to-deposit-data> (accessed 12/04/2017)

Deposit Access Conditions and Licence Form WIKI: <https://assdawiki.anu.edu.au/assdawiki/Deposit1> (internal access only)

ADAPT wiki page: <https://assdawiki.anu.edu.au/assdawiki/ADAPT> (internal access only)

ADAPT weblink: <https://adapt.ada.edu.au> (accessed 12/04/2017)

### **Conditions of use:**

Conditions of release of data to ADA for distribution are detailed in the Licence agreement as noted above. Catalogue information about a study and its contents (known as metadata) are freely accessible on the ADA site to enable researchers to locate relevant data (and thus not subject to conditions). The procedures by which a user may access data are set out in our Access Conditions. In order to access any data for online analysis or for download a user must first register with ADA. The particular form of access conditions can be set to three possible levels of access: General, Restricted or Special Access. The process for accessing ADA data then depends upon the level of access (browse, analyse or download) required. The majority of ADA data is available for download by completing a General or Restricted Access data access request. Browsing access is available for any study, while access to analyse data under a general access license is open to registered ADA users. General access is not open access as we still have a review process, it is mediated access. To apply for access to general or restricted access datasets, a Data Access Request must be completed. In some circumstances depositors require additional information from users which require completion of a special access request form. On the ADA license form choice of one of the two standard access conditions is offered:

- General access: There are no additional restrictions other than logging in for tracking purposes to access to the data or publication of results, and the depositor does not wish to be informed of individual use being made of the data. (Note that this is not open access but mediated access with approval by the archive director.)
- Restricted access: The depositor, or an authorised representative, wishes to be informed by the Archive of each request to use the data in order to give or withhold permission.
- In addition special access conditions can be arranged. For example, a user interested in accessing data from a study may be required to obtain the Primary Investigator's permission, or that of an authorised representative (such as the ADA Manager), in writing before publishing any interpretation of such materials. A depositor can contact the Archive at any time to find out who is using the data, in order to comment on that use and make contact with colleagues of similar interests. Users are notified that their information may be shared with depositors at the time they request data from a study.

#### Embargoes

Researchers are often interested in publishing from their data prior to releasing the data for access to others. An embargo period may be imposed on the data, whereby no access to the data would be permitted until after the date specified. At the end of the embargo period, the data may be released under the access conditions for the study. The User Undertakings detail the appropriate use of the data. The details of access conditions is found both in setting access conditions under data deposits and data access under access conditions. The ADA is amenable to special access conditions and agreements are made at the discretion of the Data Archive Manager.

The License agreement defines the responsibilities of the ADA. Under clause 1 The Australian Data Archive and the Australian National University accept no responsibility for the consequences of any breach of these undertakings. The ADA National Manager shall act at all times so as fully to preserve the individual confidentiality of survey respondents and their replies. Under clause 5 of the License agreement the ADA defines destruction of material. While the Australian Data Archive takes every care to preserve the physical integrity of the data, The Australian National University shall incur no liability, either expressed or implicit, for the physical materials deposited with the Archive or for the loss of data or information in the operation of the Archive.

Access conditions: <http://ada.edu.au/ada/setting-access-conditions> (accessed 12/04/2017)

User Undertakings: <http://ada.edu.au/ada/ada-undertaking-forms> (accessed 12/04/2017)

Details of access conditions: <http://ada.edu.au/ada/access-requests> (accessed 12/04/2017)

**Noncompliance with conditions of access and use:**

At the discretion of the ADA Manager, the Archive may submit a complaint against users who fail to meet the conditions of access and use under the Australian Code for the Responsible Conduct of Research. Per Section B of the Code, this may include:

- a discreet investigation
- a formal inquiry
- the imposition of a sanction or penalty
- actions to remedy the situation
- advice to expert groups and public statements as appropriate.

ADA as a unit of the ANU are under ANU Policy Code of Conduct.

Australian Code for the Responsible Conduct of Research: <https://www.nhmrc.gov.au/guidelines-publications/r39>  
(accessed 12/04/2017)

ANU Policy Code of Conduct: [https://policies.anu.edu.au/ppl/document/ANUP\\_000388](https://policies.anu.edu.au/ppl/document/ANUP_000388) (accessed 1/11/2017)

ADA wiki: <https://assdawiki.anu.edu.au/assdawiki/Deposit1> (internal access only)

## **Reviewer Entry**

*Accept or send back to applicant for modification:*

Accept

*Comments:*

### 3. Continuity of access

*Minimum Required Statement of Compliance:*

0. N/A: Not Applicable.

#### Applicant Entry

*Statement of Compliance:*

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

*Self-assessment statement:*

##### **Responsibility for data holdings:**

The ADA has a mission to preserve and make available data entrusted to them for preservation and secondary reuse (see ADA website). The License agreement with depositors defines the responsibilities of the ADA. Under clause 1 The Australian Data Archive and the Australian National University accept no responsibility for the consequences of any breach of these undertakings. The ADA National Manager shall act at all times so as fully to preserve the individual confidentiality of survey respondents and their replies. Under clause 5 of the License agreement the ADA defines destruction of material. While the Australian Data Archive takes every care to preserve the physical integrity of the data, The Australian National University shall incur no liability, either expressed or implicit, for the physical materials deposited with the Archive or for the loss of data or information in the operation of the Archive.

All practices and procedures carried out by the ADA are to ensure preservation and continued access to existing and new data deposited, consistent with our mission. The ADA liaises with depositors to ensure adequate data and documentation are provided to ensure usability of data and licence agreements for distribution and preservation. The ADA has processes in place to ensure preservation of data deposited in its care but does not have a guaranteed preservation period.

The NCI provides the online data services and supporting infrastructure, and develops this cyberinfrastructure for the needs of the ADA.

ADA website: <http://ada.edu.au/ada/about> (accessed 12/10/2017)

License Agreement download from: <http://ada.edu.au/ada/deposit-forms> (accessed 12/04/2017)



NCI: <http://nci.org.au/> (accessed 12/04/2017)

### **Medium-term - long-term plans:**

The ADA has existed with the mission to obtain, archive and disseminate research data for secondary use since 1981 at The ANU. University structures are such that funding cycles and employment at The University are not available for publication in general domain. The ANU has provided core funding for the ADA since the inception of the ADA and its support is ongoing. The ANU has been around since 1946 by an act of Federal Parliament thus is established as a long term university. The ADA exists as an administrative unit under the Centre for Social Research and Methods (CSRM) at the Australian National University (The ANU) and ADA core mission is embedded in that of the long term strategic plan of CSRM (annual report 2015-16) and the CSRM as a Centre in the ANU is covered by ANU Policy Centres and Institutes.

As a unit within the ANU we can rely upon the institutional obligations of The University for both long term continuity and infrastructure support. With specific reference to data preservation, the data holdings would be transferred to the ANU Archive to provide continuity of the collection under The ANU Archive Collection Policy for records of continuing value. It is possible that the ADA could pursue returning data holdings to the owners in the unlikely event of its cessation. The ADA does not have agreements currently with other archives or institutions in provision of data in the event of its cessation.

CSRM home: <http://csrcm.cass.anu.edu.au/> (accessed 1/10/2017)

ANU Archive Collection Policy: [https://policies.anu.edu.au/ppl/document/ANUP\\_009412](https://policies.anu.edu.au/ppl/document/ANUP_009412) (accessed 12/10/2017)

ANU Policy Centres and Institutes: [https://policies.anu.edu.au/ppl/document/ANUP\\_012009](https://policies.anu.edu.au/ppl/document/ANUP_012009) (accessed 1/11/2017)

### **Reviewer Entry**

*Accept or send back to applicant for modification:*

Accept

*Comments:*

## 4. Confidentiality/Ethics

*Minimum Required Statement of Compliance:*

0. N/A: Not Applicable.

### Applicant Entry

*Statement of Compliance:*

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

*Self-assessment statement:*

#### **Compliance with disciplinary norms:**

Data provided to the Australian Data Archive has been collected from research participants subject to approved research ethics requirements. The depositor who produced the data is responsible for the ethics approval. All Australian university researchers are subject to National Health and Medical Research Council (NHMRC) ethics and Australian Code for Responsible Conduct of Research (ACRCCR).

NHMRC ACRCCR: <https://www.nhmrc.gov.au/guidelines-publications/r39> (accessed 12/04/2017)

Australian Code for the Responsible Conduct of Research: <https://www.nhmrc.gov.au/guidelines-publications/r39> (accessed 12/04/2017)

#### **Legal and ethical criteria for data collection/creation:**

The ADA does not explicitly request or require ethical clearance or review prior to deposit. The Australian Data Archive is committed to providing open access to Australian and international research data for research and education purposes. This open access commitment however is balanced against our obligations to the original participants in these research studies. Data provided to the Australian Data Archive has been collected from research participants following research ethics requirements on the depositor who produced the data. These requirements place obligations on the researchers and ADA for appropriate use of the data for secondary purposes. Prior to deposit the depositor must determine if their ethical clearance permits sharing of data. Depositors are requested to prepare data for deposit.

Access: <http://ada.edu.au/ada/access-conditions> (accessed 12/04/2017)

**CoreTrustSeal Board**

W [www.coretrustseal.org](http://www.coretrustseal.org)

E [info@coretrustseal.org](mailto:info@coretrustseal.org)

Access: <http://ada.edu.au/ada/access-requests> (accessed 12/04/2017)

General user undertaking (PDF): <http://ada.edu.au/ada/ada-undertaking-forms> (accessed 12/04/2017)

**Data with disclosure risk:**

The data are processed dependent upon disclosure risks assessed and access is restricted or not dependent upon data type and risk. All data are anonymized and restricted access is set when deemed necessary to protect participants.

Access: <http://ada.edu.au/ada/access-conditions> (accessed 12/04/2017)

Access: <http://ada.edu.au/ada/access-requests> (accessed 12/04/2017)

General user undertaking (PDF): <http://ada.edu.au/ada/ada-undertaking-forms> (accessed 12/04/2017)

**Data with disclosure risk storage:**

All data, including those with disclosure risks, are stored securely with the NCI according to procedures detailed in ADA staff training manuals and wiki.

ADA Wiki: <https://assdawiki.anu.edu.au/assdawiki/Data1> (internal access only)

**Data with disclosure risk distributed conditions:**

See Section 2 on licence and agreement and Section 4 above on setting access conditions. When deemed appropriate the ADA uses Aarnet provided service of CloudStor to transmit encrypted sensitive data. As per details in the ADA wiki All sensitive data to be exchanged for deposit or download should be encrypted before being uploaded to CloudStor.

Access Conditions: <http://ada.edu.au/ada/access-conditions> (accessed 12/04/2017)

Access Requests: <http://ada.edu.au/ada/access-requests> (accessed 12/04/2017)

General user undertaking (PDF): <http://ada.edu.au/ada/ada-undertaking-forms> (accessed 12/04/2017)

Aarnet: <https://support.aarnet.edu.au/hc/en-us/categories/200217608-CloudStor> (accessed 1/10/2017)

**Review of disclosure risk in data:**

Procedures to review disclosure risk are included in standard ADA procedures (ADA Wiki documents for internal access). It is important to note the access conditions for processing stages, as it may impact the way data processing is conducted and the addition of special permissions during data processing. There are three standard conditions on the ADA Licence Form and the depositor should have selected the condition they want.

Per the ADA Wiki internal access for processing data steps for disclosure risk are 2.1.2 Privacy Act., 2.2.6 Direct Identifiers and 2.2.7 Indirect Identifiers.

All data deposits are checked for violations of the Privacy Act. Privacy relates to a person's ability to control information about themselves. It is the depositor's responsibility to ensure that it is ethical for them to make the data available for secondary analysis. However, if staff become aware of any breach they are advised to notify the depositor to act on it.

ADA Wiki: <https://assdawiki.anu.edu.au/assdawiki/Data1> (internal access only)

PRIVACY ACT: <https://assdawiki.anu.edu.au/assdawiki/Data1> (internal access only)

#### **Management of data with disclosure risk:**

Staff are trained in processes for managing disclosure risk as part of standard ADA training in processing procedures.

Staff Training: <https://assdawiki.anu.edu.au/assdawiki/FrontPage> (internal access only)

**Noncompliance measures:**

The ADA is part of The ANU and is thus bound by The Universities' policies on information security and ANU Policy Code of Conduct.

Australian academic researchers are also subject to responsibilities under the NHMRC Ethical Principles and the ACRCR.

ANU Policy Information Technology security: [https://policies.anu.edu.au/ppl/document/ANUP\\_000421](https://policies.anu.edu.au/ppl/document/ANUP_000421) (accessed March 2017)

ANU Policy Code of Conduct: [https://policies.anu.edu.au/ppl/document/ANUP\\_000388](https://policies.anu.edu.au/ppl/document/ANUP_000388) (accessed 1/11/2017)

NHMRC ACRCR: <https://www.nhmrc.gov.au/guidelines-publications/r39> (accessed 12/04/2017)

**Responsible use of disclosive / potentially disclosive data:**

The Access Conditions PDF signed by users detail appropriate use. It clearly states: The material is not to be used for any non-statistical purposes, or for commercial or financial gain without the express written permission of the Australian Data Archive National Manager. Examples of non-statistical purposes are: (a) transmitting or allowing access to the data in part or whole to any other person / Department / Organisation not a party to this undertaking; and (b) attempting to match unit record data in whole or in part with any other information for the purposes of attempting to identify individuals.

The majority of ADA data is available for download by completing a General or Restricted Access data access request. However, in some circumstances depositors require additional information from users. These studies require completion of a special access request form and completion of a special undertaking form, which may include guidance on appropriate use.

Access conditions: <http://ada.edu.au/ada/access-conditions> (accessed 12/04/2017)

Access requests: <http://ada.edu.au/ada/access-requests> (accessed 12/04/2017)

General user undertaking (PDF): <http://ada.edu.au/ada/ada-undertaking-forms> (accessed 12/04/2017)

## **Reviewer Entry**

*Accept or send back to applicant for modification:*

Accept

*Comments:*

## 5. Organizational infrastructure

*Minimum Required Statement of Compliance:*

0. N/A: Not Applicable.

### Applicant Entry

*Statement of Compliance:*

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

*Self-assessment statement:*

#### **Hosted by a recognized institution:**

The archive is managed by the ADA central office, based in the ANU Centre for Social Research and Methods at the Australian National University (ANU). In 1946 the Bill establishing The Australian National University was passed by Australian Federal Parliament, making it the only federally mandated university in Australia. The ANU is a research-intensive university of global standing specialising in discovery and public policy. Research priorities address the challenges facing Australia and the world. The ANU has strong alliances with other universities in Australia and overseas, the Australian Government, industry and not-for-profit organisations have increased access to education, and opportunities for engagement and exchange, collaborative research and innovation. The ANU Centre for Social Research and Methods (CSRM) was established in 2015. The Centre's research focuses on: The development of social research methods; Analysis of social issues and policy; Training in social science methods; Providing access to social scientific data. To fulfil its role as a national leader in social research, the ANU Centre for Social Research and Methods has four main objectives:

- Build a world-class team of researchers and graduate students in social research methodology, applications and techniques,
- Develop and validate new and cost-effective data collection methods,
- Increase the availability and access to secondary data for research across Australia, and
- Produce a more sophisticated Australian skills base via training and educational activities.

The CSRM is a created centre at The ANU and is thus accorded the rights detailed in ANU Policy 012009 Centres and Institutes. Details regarding establishment and finances are not in public domain but are required by this policy prior to establishment permission by The ANU and this covers disestablishment procedures in the unlikely event of non-renewal.

CSRM: <http://csrcm.cass.anu.edu.au/> (accessed 1/10/2017)



CSRM and ADA staff: <http://csrm.cass.anu.edu.au/people/all> (accessed 1/10/2017)

The Australian National University: <http://www.anu.edu.au/> (accessed 12/04/2017)

CSRM Advisory Board: <http://csrm.cass.anu.edu.au/people/advisory-board> (accessed 1/10/2017)

ANU Policy Centres and Institutes: [https://policies.anu.edu.au/ppl/document/ANUP\\_012009](https://policies.anu.edu.au/ppl/document/ANUP_012009) (accessed 1/11/2017)

#### **Funding, staff resources, IT resources:**

The ADA and its director are actively involved in many meetings and organizations nationally and internationally. The ADA is part of the ANU which allows for a budget to allow for staff and IT resources.

The ADA has existed with the mission to obtain, archive and disseminate research data for secondary use since 1981 at The ANU. University structures are such that funding cycles and employment at The University are not available for publication in general domain. The ANU has been around since 1946 by an act of Federal Parliament thus is established as a long term university. The ADA exists as under the Centre for Social Research and Methods (CSRM) at the Australian National University (The ANU) and as a default the ADA assured some form of continuity under university provisions. Funding and preservation are covered under articles in ANU Policy Centres and Institutes. Funds for research, travel, conference, resources and outreach are available under university schemes.

ANU Policy Centres and Institutes: [https://policies.anu.edu.au/ppl/document/ANUP\\_012009](https://policies.anu.edu.au/ppl/document/ANUP_012009) (accessed 1/11/2017)

#### **Staff training and professional development:**

All ADA staff are staff members of The ANU and thus are required to undertake Performance Development Reviews yearly in accordance with university policies. During such reviews with the Archive Manager training and professional development opportunities are discussed.

The ANU values the contribution of staff who build on the distinctive excellence of our institution, both as Australia's national university and Australia's finest university. This is a status we achieve as a direct result of the quality and performance of our people. ANU seeks to enable staff to perform at their best through the creation of

an environment which develops and supports individuals to achieve their work goals, reach their full career potential and thus to maximise their individual contribution to the University. To support this commitment a Performance and Development Process (PDP) and online Performance and Development Review (PDR) form is available for all staff. The PDR ensures staff, their supervisors and managers, have clearly defined performance objectives and expectations consistent with the short and long term priorities of the University. In addition, all ANU staff will receive regular feedback on their progress and have personal career development plans, which are regularly progressed, reviewed and updated.

ANU Performance Development Review:

<https://services.anu.edu.au/human-resources/perform-develop/performance-and-development-review-pdr> (accessed 12/04/2017)

### **Range and depth of expertise of organization and staff:**

The ADA is made up of a team of professional data archivists, advised by a panel of leading social scientists, provides both stewardship and outreach services to the Australian community.

Affiliated Organisations:

International Federation of Data Organisations (IFDO): <http://www.ifdo.org/> (accessed 12/04/2017)

ADA is a member to engage with international organisations providing social science community with computerised data and documentation. Data and Codebooks can be obtained from member archives on behalf of Australian researchers upon request

International Association of Social Science Information Service and Technology (IASSIST):

<http://www.iassistdata.org/> (accessed 12/04/2017)

ADA is a member attending conferences and engaging with other member archives of this organisation

Australian Consortium of Social and Political Research (ACSPRI): <http://www.acspri.org.au/> (accessed 1/10/2017)

In a close association with the Archive via ADSRI, ACSPRI aided in the establishment of the ADA. ADA staff attend, or teach into where appropriate, the training programs held by ACSPRI.

About the Australian Data Archive: <http://ada.edu.au/ada/about> (accessed 12/04/2017)

CSRSM and ADA staff: <http://csrcm.cass.anu.edu.au/people/all> (accessed 1/10/2017)

CSRSM Advisory Board: <http://csrcm.cass.anu.edu.au/people/advisory-board> (accessed 1/10/2017)

**CoreTrustSeal Board**

W [www.coretrustseal.org](http://www.coretrustseal.org)

E [info@coretrustseal.org](mailto:info@coretrustseal.org)

## **Reviewer Entry**

*Accept or send back to applicant for modification:*

Accept

*Comments:*

## 6. Expert guidance

*Minimum Required Statement of Compliance:*

0. N/A: Not Applicable.

### Applicant Entry

*Statement of Compliance:*

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

*Self-assessment statement:*

#### **In-house advisers / external advisory committee:**

A team of professional data archivists, advised by a panel of leading social scientists, provides both stewardship and outreach services to the Australian community. The panel includes experts in data management archiving as well as directors of International data archives. The ANU CSRM and ADA benefit from the advice and contribution of members of the CSRM scientific advisory board. The board members include international and Australian leaders in survey research, with particular expertise in survey design, internet-based surveys, sampling error, and longitudinal research. The National Computing Infrastructure (NCI) provides the online data services and supporting infrastructure, and develops this cyberinfrastructure for the needs of the consortium and can be utilized along with university ITS for advice.

CSRM/ADA Advisory Board: <http://csrcm.cass.anu.edu.au/people/advisory-board> (accessed 1/10/2017)

CSRM and ADA staff: <http://csrcm.cass.anu.edu.au/people/all> (accessed 1/10/2017)

About the Australian Data Archive: <http://ada.edu.au/ada/about> (accessed 12/04/2017)

NCI: <http://nci.org.au/> (accessed 12/04/2017)

#### **Communication with the experts for advice:**

We communicate with the expert panel on a periodic basis and invite visitors to the ADA and CSRM. We are actively engaged with expert communities as members of the DDI Alliance, IASSIST community, ACSPRI and other relevant organizations.

Recent international visitors include:

Matthew Woollard, Director of the UK Data Archive and the UK Data Service:

<http://csrcm.cass.anu.edu.au/events/trusted-access-government-data-reflections-uk> (accessed 1/10/2017)

George Alter, Research Professor, Institute for Social Research (Inter-University Consortium for Political and

Social Research and Populations Studies Center), Professor, Department of History University of Michigan:  
<http://csrcm.cass.anu.edu.au/events/webinar-managing-publishing-sensitive-data-social-sciences> (accessed  
1/10/2017)

### **Communication with Designated Community for feedback:**

The archive encourages contact with the designated community by having links to its email address or physical contact on every page of the website. There is an open line of communication for all data depositors regarding ingest and use of their data.

Staff from the archive regularly participate in community events, seminars and conferences.

About the Australian Data Archive: <http://ada.edu.au/ada/about> (accessed 12/04/2017)

### **Reviewer Entry**

*Accept or send back to applicant for modification:*

Accept

*Comments:*

## 7. Data integrity and authenticity

*Minimum Required Statement of Compliance:*

0. N/A: Not Applicable.

### Applicant Entry

*Statement of Compliance:*

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

*Self-assessment statement:*

**Data integrity and verification of corruption of digital object:**

The ADA is developing code based Data Integrity Checks in SPSS and is working on setting in place standardized procedures for verifying versions and files. To check data and versions of data an automated and syntax versions of general documents are in the process of being developed by ADA staff and will be fully implemented by end of financial year 2017/2018. Reference will be made to these procedures but the actual documentation may not be in the public domain to ensure reverse engineering and data integrity are not compromised. Currently manual checks are carried out on versions.

**Documentation of the completeness of the data and metadata:**

The ADA workflow processes are detailed in ADA Wiki and detail specific steps for staff on how to process a data deposit. Step 1.1.1 provides staff details on uploading documents into the ADAPT system to ensure a study number is obtained and an archive folder is created. Step 1.1.3 deals with checking supporting documentation to ensure that the documents can be opened and are not corrupted and that they provide enough study documentation. The staff review the supporting documentation, attachments, other than the data file, which may provide additional information for users, and can be useful in processing if information is lacking. The attachments section includes the following, where applicable:

- Data file (Mandatory)
- Questionnaire
- Codebook

- Technical document
  
- qualitative documents

The staff then ensure that there are enough study details provided by following guides in step 1.1.4 on the ADA Wiki. These details are things such as:

- The principal or primary investigator(s);
  
- The person or organisation with financial and/or administrative responsibility for the creation of the study's data;
  
- The data's copyright;
  
- When and where the study was conducted;
  
- The broad methodology of the study;
  
- What the study is generally about, or its main purpose;

- The mode of data collection;
- The survey instrument (that is, the research instrument that was used to collect the survey data, for example a questionnaire). A copy of the survey instrument is essential where one was used.
- majority of the study details should be completed satisfactorily

A judgement is made if there is enough information to move forward and the potential to obtain further information in the future is possible. This decision is not always clear cut, and is a judged on a case by case basis. Deposit Review ADA Wiki: <https://assdawiki.anu.edu.au/assdawiki/Deposit1> (internal access only)

**Logging of changes to the data and metadata:**

All changes to data are written in syntax and kept with the AIP as well as documented in the Processing Report. For major changes between versions of data or metadata Version Control Strategies detailed elsewhere in this section are implemented. Processing reports are shared with the depositor and permission is obtained before data is altered.

**Description of version control strategy:**

The ADA has a draft Version Control Strategy which is not yet in the public domain. It should be complete by end of financial year 2017/2018 and will be placed on the website or the public side of the ADA wiki. All copies of all versions are stored as AIPs. New versions are assigned new DOI as per the Version Control Strategy. The most recent version is made available through the DIP via Nesstar on the ADA website or the ADA Dataverse.

**International standards and conventions:**

The requirements for this guideline are not in publically accessible documents but are detailed in the ADA wiki and staff training manual. The ADA will be making portions of its Wiki publicly accessible for those areas which can be deemed safe and useful without jeopardising data storage, data integrity, user security or reverse engineering from end of financial year 2017/2018. ADA adheres to the 6 OAIS Mandatory Responsibilities. OAIS Mandatory Responsibilities number 4: Ensure that the information preserved is Independently Understandable to the Designated Community. The representation information is created by documenting datasets to the Data Documentation Initiative (DDI) standard, which was developed by the international data archiving community and is used by most data archives. Fixed terms are used within the metadata documents taken from standard English social science language and the keywords are assigned using the National Libraries APAIS



thesaurus, making metadata compatible with Australian catalogues outside social science field. Again, as ADA exists within its designated community and is guided by the ADA Advisory Panel, it remains open to feedback and making changes to suit the community.

OAIS Mandatory Responsibilities number 5: Follow documented policies and procedures which ensure the information is preserved against all reasonable contingencies and which enable information to be disseminated as authenticated copies or traceable to the original. All policies used at ADA are based on 40 years of professional Social Science Data Archiving best practice and procedures are detailed in the wiki for staff. Each archival version of data is stored in the Archive on NCI computer infrastructure which has back up based on NCI policies, access copy of data is stored on NCI computer infrastructure and disseminated via NESSTAR or Dataverse copies, metadata in the information packages details version and location of original.

OAIS Mandatory Responsibilities number 6: Make the preserved information available to the Designated Community. ADA uses NESSTAR to disseminate information packages, documents access conditions and Mediates access to files that have been restricted by the producer (eg for privacy reasons). The ADA is transitioning from NESSTAR to Dataverse by end of financial year 2017/2018. Dataverse uses DDI for metadata. An information package would include: a dataset (eg answers to a survey); Metadata – documentation describing the dataset and the dataset documentation ; Related materials – any documents used to create the metadata, other useful documents such as questionnaires, codebooks, User’s Guides, Technical Reports; Administrative Data – communications with copyright holders, records of changes made to the package. At deposit all staff follow the procedures documents in the ADA Wiki to check the data for completeness, ensure all documents and data sets are openable, create a Processing Report for all data ingested and processed.

*SIP – Submission Information Package* would include: Preservation Implications; Files deposited in proprietary formats; Software and hardware dependent; Encapsulation only possible preservation strategy; Metadata not created to a standard; Access Implications; Format deposited in may be unsuitable for use in wider community. Potentially un-standardised information. The deposit form and adapt form are utilized for completeness of data and gathering associated metadata.

*AIP – Archival Information Package* would include: Archival version of data converted to text; The internal structure of the file is standardised to help future migration; Standardised metadata created to international standard; All communications with package owner and decisions made with regard to data and metadata are stored electronically with package in Processing Report. The Processing Report documents the original names of files and location and conversion names, changes suggested to data and metadata, publishing and versioning details this document is not in the public domain but is shared with the depositor.

*DIP – Dissemination Information Package* would include: The package is converted to be NESSTAR compatible. NESSTAR: stores one copy of the package in NSDstat format, converts data to one of nine popular formats at the time of download, allows all relevant documents to be attached to package, and relevant weblinks in the metadata.

All metadata is recorded using DDI 2.5 standards, DDI is an international standard.

OAIS Mandatory Responsibilities: <https://assdawiki.anu.edu.au/assdawiki/OAIS> (internal access only)

DDI: <https://www.ddialliance.org/> (accessed 2017/11/01)

**Authenticity management and strategy for data changes:**

All policies used at ADA are documented and are based on 40 years of professional Social Science Data Archiving best practice. Metadata in the information package, recorded in DDI 2.5, details version and location of original. Versions are documented in an ADA Processing Report which is shared with depositors, in Nesstar and Dataverse it is in the DDI 2.5 and assigned new DOI as per the version control strategy (draft). The ADA has a draft of Version Control Strategy which is not yet in the public domain. All copies of all versions are stored in the AIP in the archive on NCI. The most recent version is made available through the DIP via Nesstar or Dataverse on the ADA website.

ADA Wiki 4.2.4: <https://assdawiki.anu.edu.au/assdawiki/Publish2> (internal access only)

**Provenance data and related audit trails:**

See above details of adherence to the OAIS core requirements. All copies of all versions are stored in an AIP in the archive on NCI. The most recent version is made available through the DIP via Nesstar or Dataverse on the ADA website. All changes are documented in the Processing Report and saved as syntax associated with the files.

**Links to metadata and to other datasets:**

ADA uses relevant DDI fields for linking to other relevant studies and data sets. All datasets are associated with metadata files in storage and dissemination. DDI fields link to other studies in the ADA collection, external URL for relevant websites. Each data set is assigned a DOI via datacite and thus can be easily linked and tracked. The Nesstar file structure grouped similar studies in sub-archive areas together.

Workflow step 3.3.2 ADA Wiki Related Studies details how to add links to other ADA studies that are related, or other external sources via a URL.

ADA Wiki 3.3.2: <https://assdawiki.anu.edu.au/assdawiki/Metadata3> (internal access only)

**Comparison of different versions of the same file:**

The ADA is developing Data Integrity Checks and is working on setting in place standardized procedures for verifying versions and files. To check data and versions of data an automated and syntax versions of general documents are in the process of being developed by ADA staff. The process should be operational and documented by end of financial year 2017/2018.

**Identities of depositors:**

The ADA requires depositors and users to fill out a registration listing affiliated organizations. This information is used to confirm the institutional identity of the depositor. The ADA is encouraging primary investigators of deposits with ORCID to provide these details.

Licence forms for deposit: <http://ada.edu.au/ada/deposit-forms> (accessed 1/10/2017)

How to Process a Study Deposit (Wiki): <https://assdawiki.anu.edu.au/assdawiki/Deposit1> (internal access only)

How to Process a Study Data (Wiki): <https://assdawiki.anu.edu.au/assdawiki/Data1> (internal access only)

How to Process a Study Metadata (Wiki): <https://assdawiki.anu.edu.au/assdawiki/Metadata1> (internal access only)

**Reviewer Entry**

*Accept or send back to applicant for modification:*

Accept

*Comments:*

## 8. Appraisal

*Minimum Required Statement of Compliance:*

0. N/A: Not Applicable.

### Applicant Entry

*Statement of Compliance:*

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

*Self-assessment statement:*

#### **Collection development policy /selection of data for archiving:**

The ADA does not have a set collection development policy but does accept any social science data that fits broadly into the remit of the archive or within the seven sub-archives. A collections policy is currently in development.

ADA Collections: <http://ada.edu.au/ada/about> (accessed 12/04/2017)

Depositing Data with the Australian Data Archive: <http://ada.edu.au/ada/user-guides/download-pdf-document> (accessed 12/04/2017)

#### **Quality control checks completeness and understandability of data deposited:**

Dependent upon processing level assigned to the study the amount of quality control checks are carried out. Basic checks are done at deposit as detailed in answers to guideline 7 of this assessment. A Processing Report is initiated for every project and is the basis for communication with the depositor when any alterations or clarifications are necessary. Ensuring DDI fields are completed in the metadata ensures quality control of completeness. If data can be fixed by the depositor this is the ideal. The ADA will work with depositors to reach a solution or will note issues in relevant DDI fields.

#### **Procedures to ensure metadata for interpretation and use of the data are provided:**

CoreTrustSeal Board

W [www.coretrustseal.org](http://www.coretrustseal.org)

E [info@coretrustseal.org](mailto:info@coretrustseal.org)

The depositor is requested to fill out the deposit form ([ADA Deposit Form v1.pdf](#)) which details many DDI 2.5 fields necessary.

The ADA data archivist utilizing the deposit form endeavours to source material for all DDI fields for processing at study which are detailed in NESSTAR and in the ADA WIKI.

A list of minimum mandatory fields is included in step 3.2.3 of the ADA workflow in the ADA Wiki. These are detailed in guideline 6.

Data Deposit form and Depositing Guide: <http://ada.edu.au/ada/user-guides> (accessed 12/04/2017)

DDI Processing: <https://assdawiki.anu.edu.au/assdawiki/Metadata2> (internal access only)

DDI: <https://www.ddialliance.org/> (accessed 1/11/2017)

**Insufficient metadata for long-term preservation supplied:**

The ADA will contact the depositor if we find there is further information that we need to create complete documentation for their data.

If there is no accompanying study details ADA does not store the deposit yet. A judgement needs to be made if there is enough information to move forward and the potential to obtain further information in the future is possible.

This decision is not always clear cut, and is a judged on a case by case basis. The Archive Manager can make the judgment call if necessary.

Deposit Review ADA Wiki <https://assdawiki.anu.edu.au/assdawiki/Deposit1> (internal access only)

Deposit Data: <http://ada.edu.au/ada/how-to-deposit-data> (accessed 12/04/2017)

### **List of preferred formats:**

The ADA accepts most formats but does detail a list of preferred formats. All data and documents will be saved in the AIP in a preservation format regardless of the format received in the SIP. For qualitative data, possible data formats vary significantly. For this reason, ADA has developed specific preferred formats, partly based on those [identified by the UK Data Archive](#) (reproduced with permission).

Preferred Formats: <http://ada.edu.au/ada/preferred-formats> (accessed 12/04/20147)

### **Quality control checks to ensure preferred formats:**

Through data processing procedures the data is checked for quality and consistency. Workflow procedures are documented in 2.2 of the ADA Wiki.

Qualitative data have some standard checks done and other processing is based on an as need basis. The standards are detailed in the ADA Wiki in the Qualitative section under heading 2.7.2 Standard Checks In Qualitative Data

- special characters may need to be substituted or removed (e.g. " should be substituted for ")
- a spell-check should be run on the file to pick up obvious spelling and grammatical mistakes (e.g. your/you're; its/it's)
- Demarcation tags should be inserted where necessary using 'Find and replace' and by reading through the transcript
- items that could be added to enhance the Data List (e.g. details of employment, education (suitably anonymised)
- logical consistency (e.g. 'find and replace' errors)

- correctness of font type, size and formatting
- Data Privacy and confidentiality

The processes and the concepts underlying each process required to obtain a quantitative data set of use in archiving and secondary analysis are detailed in the ADA Wiki in section 2.2. All data cleaning steps should be revised for each study processed, however, not all steps will be necessary to conduct, depending on the condition of the data set, and the access conditions and the processing level. Quantitative Data Cleaning is detailed in ADA Wiki in 2.2.

Access conditions: <http://ada.edu.au/ada/access-conditions> (accessed 12/04/2017)

ADA Wiki: <https://assdawiki.anu.edu.au/assdawiki/Data2> (internal access only)

Data File Format Wiki: <https://assdawiki.anu.edu.au/assdawiki/Data2> (internal access only)

#### **Data deposited in non-preferred formats:**

As noted in the ADA User Guide 3, while ADA will accept data in most formats, we do have several preferred formats for deposit. Other formats, such as database formats (eg. Microsoft Access, MySQL, PostGres) should be discussed with ADA staff prior to deposit. For qualitative data, possible data formats vary significantly. For this reason, ADA has developed specific preferred formats, partly based on those [identified by the UK Data Archive](#) (reproduced with permission).

ADA Preferred formats: <http://ada.edu.au/ada/preferred-formats> (accessed 1/10/2017)

### **Reviewer Entry**

*Accept or send back to applicant for modification:*

Accept

*Comments:*

## 9. Documented storage procedures

*Minimum Required Statement of Compliance:*

0. N/A: Not Applicable.

### Applicant Entry

*Statement of Compliance:*

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

*Self-assessment statement:*

#### **Processes and procedures documentation and management:**

The ADA follows workflows and procedures detailed in the ADA Wiki, which for internal use only. The ADA Wiki is maintained and updated with changes to policies and procedures, to reflect current ADA practices. The ADA will be making aspects of the wiki viewable in the public domain by the end of financial year 2017/2018.

Data and metadata are ingested via ADAPT and stored in SIP. All alterations which occur to the SIP are noted in the processing report and recorded via syntax for data changes. The processed data and metadata have a DOI minted and are published in Nesstar or Dataverse. The SIP, AIP and DIP are all stored in the appropriate file system in the archive stored on NCI.

User guides are available on the ADA website. NCI has processes and procedures detailed under conditions of use to which the ADA comply.

NCI: <http://nci.org.au/access/general-requirements-expectations-policies-and-conditions-of-use/> (accessed 1/10/2017)

Workflows Wiki: <https://assdawiki.anu.edu.au/assdawiki/WorkflowProducer> (internal access only)

ADA User Guides: <http://ada.edu.au/ada/user-guides> (accessed 1/10/2017)



### **Levels of security and support for these:**

According to the Australian Government Security Classification System, data archived at ADA is deemed as UNCLASSIFIED - DLM (dissemination limiting marker). The DLM would be 'Sensitive' or Sensitive-Personal'. More detail here are listed in Information Security documents.

The ADA office is secured and accessible by ANU staff card access for ADA staff only. The access card is an ANU centrally controlled photo identity security system. All secure physical data objects are stored in a locked safe in a locked storeroom, or locked cupboard in a second locked office within ADA. Computer screens are locked while staff are absent from their desks, and network access to ADA data storage held at National Computational Infrastructure (NCI) is via a secure SAMBA, SSH or VPN connection. ADA is a unit of the ANU and is regulated by ANU Policies for Information Technology security. NCI is based in a secure building on ANU campus. All NCI staff offices, including the computer centre are secure and accessible to NCI staff only. Access is available only for approved visitors who must be signed in, wear visitor identification and be accompanied at all times by NCI staff.

Information security documents:

<https://www.protectivesecurity.gov.au/informationsecurity/Documents/INFOSECGuidelinesAustralianGovernmentSecurityClassification>  
(accessed 12/07/2017)

ANU Policy Information Technology Security: [https://policies.anu.edu.au/ppl/document/ANUP\\_000421](https://policies.anu.edu.au/ppl/document/ANUP_000421) (accessed 1/11/2017)

### **Data storage addressed in preservation policy:**

There is no specific preservation policy at this time. However a theoretical concept of this policy is based on the ADA implementation of the requirements for Preservation Planning under the OAIS model, and ADA is currently developing our formal policy on this basis.

ADA's partnership with NCI ensures changes in digital technology are integrated with those of NCI as the technology specialists. Memberships with both international and national designated communities ensures ADA participates in the development of new archive related standards and procedures.

### **Backup/multiple copies:**

CoreTrustSeal Board

W [www.coretrustseal.org](http://www.coretrustseal.org)

E [info@coretrustseal.org](mailto:info@coretrustseal.org)

ADA's internal archival processes and procedures ensure there are multiple copies of Information Packages stored at NCI, and that ADA storage is backed up by NCI.

Multiple copies of ADA data and information packages are backed up:

- Versions of the Submission Information Packages (SIPs) and the supporting information packages are preserved in two places – one on ADA storage at NCI, and one through manual backups to NCI tape storage.
- Each Archival Information Package (AIP) has two copies – one on ADA storage at NCI, and one through manual backups to NCI tape storage.
- Each Dissemination Information Package (DIP) has two active copies – one on ADA storage at NCI, and one “Published” to the Nesstar Server database or the Dataverse database.

ADA is a part of the ANU and as such receives full support and services provided by both ANU and NCI's Information Technology teams. NCI is based at ANU and is Australia's national research computing facility. Data backups are provided by NCI through the manual backup of ADA materials to a Hierarchical Storage Management (HSM) system, designed for the bulk storage of data. It is designed for long-term storage of data that is accessed infrequently so is suitable for this purpose. As data is written to tape, it is duplicated by the system to two separate tape libraries, located in two distinct data centres located on the ANU campus.

ADA Wiki Work Flow: <https://assdawiki.anu.edu.au/assdawiki/WorkflowProducer> (internal access only)  
NCI: <http://nci.org.au/systems-services/data-storage/mass-data-sgi-dmf/> (accessed 12/04/2017)

**Data recovery provisions:**

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E [info@coretrustseal.org](mailto:info@coretrustseal.org)

Data recovery provisions are covered by backups of ADA data by NCI where data is written to tape, and duplicated by the system to two separate tape libraries, located in two distinct data centres located on the ANU campus.

NCI: <http://nci.org.au/systems-services/data-storage/mass-data-sgi-dmf/> (accessed 12/04/2017)

NCI storage: <http://nci.org.au/systems-services/data-storage/> (accessed 1/10/2017)

#### **Risk management techniques:**

The ADA has not undertaken a specific risk management program for the ADA. As a unit within The ANU the ADA is subject to The ANU and NCI risk management arrangements, and has informal relationships with both ANU and NCI information and computational technical support to advise on potential threats and risks. As ADA is part of the ANU it is governed by The ANU risk management policy and audit but risk management audit documents are restricted to staff access and not in the public domain. The ANU Policy, Procedure and Standard for Risk Management are in the public domain. ADA is working with NCI and ANU IT Security to develop measures around disaster recovery and system security specific to the needs of the ADA with implementation scheduled for the 2017/18 financial year.

The implementation of future iterations of the ADA in other systems are in the development stage, and will include the ADA Dataverse implementation, to be based on Virtual Machines (VMs) and cloud technology, which will be part of solutions when planning for potential threats or losses to the archive and community.

ANU Risk Mgt: <https://services.anu.edu.au/planning-governance/risk-audit> (internal access only)

ANU Risk Procedures: [https://policies.anu.edu.au/ppi/document/ANUP\\_000495](https://policies.anu.edu.au/ppi/document/ANUP_000495) (accessed 1/11/2017)

ANU Standard Infrastructure security classification: [https://policies.anu.edu.au/ppl/document/ANUP\\_000753](https://policies.anu.edu.au/ppl/document/ANUP_000753) (accessed 1/11/2017)

ANU Policy Risk Management: [https://policies.anu.edu.au/ppl/document/ANUP\\_000462](https://policies.anu.edu.au/ppl/document/ANUP_000462) (accessed 1/11/2017)

### **Consistency across archival copies:**

ADA's wiki regarding archival workflow provides processes and procedures to ensure consistency across archival copies. ADA does not at present use a digital solution to compare changes to the archival materials contained in an AIP. Data integrity checks between versions or releases are carried out, and an automated version of these checks (using scripting and syntax from statistical software packages) is being developed at the ADA. The use of these checks will be documented in procedures on the ADA wiki but the scripts will not be in the public domain.

ADA Wiki: <https://assdawiki.anu.edu.au/assdawiki/WorkflowProducer> (internal access only)

### **Deterioration of storage media:**

The NCI partnership covers storage and deterioration or migration to new systems, including quarterly maintenance of their systems to ensure stability.

NCI: <http://nci.org.au/systems-services/data-storage/> (accessed 1/10/2017)

## **Reviewer Entry**

*Accept or send back to applicant for modification:*

Accept

### **CoreTrustSeal Board**

W [www.coretrustseal.org](http://www.coretrustseal.org)

E [info@coretrustseal.org](mailto:info@coretrustseal.org)

*Comments:*

## 10. Preservation plan

*Minimum Required Statement of Compliance:*

0. N/A: Not Applicable.

### Applicant Entry

*Statement of Compliance:*

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

*Self-assessment statement:*

#### **Preservation plan:**

There is no specific preservation plan in place for the ADA but the ADA is governed by processes which are tantamount to ensuring standardisation of data and its accompanying documentation to ensure preservation, migration and access can occur in an automated way.

The ADA has set procedures to ensure archivists are processing data to the same standards and practices.

ADA Wiki: <https://assdawiki.anu.edu.au/assdawiki/WorkflowProducer> (internal access only)

#### **'Preservation level' understood and defined:**

The preservation level for any study accepted into the ADA is the same. The access to the study and the processing done with the study may vary. Processing level is designated at 1,2,3 as detailed earlier and explained in full in workflow step 1.2 in the ADA Wiki.

All data and documentation are preserved in the Submission Information Package and remain in original form in the Archive. The Archival Information Package is the processed data converted to text or stable formats for preservation with associated standardized metadata created to international standards. The Dissemination

Information Package is the package in NESSTAR where users can gain access to relevant documents and weblinks.

ADA Wiki Processing Level: <https://assdawiki.anu.edu.au/assdawiki/Deposit2> (internal access only)

#### **Contract between depositor and repository:**

The Licence form which all depositors are required to sign prior to acceptance of data into the ADA authorizes the ADA and The ANU a non-exclusive license to publish the data and information for the purpose of further analysis and the publication of results of such analysis. The ADA will act to fully preserve the individual confidentiality of survey respondents and their replies. These actions are subject to persons who obtain data from the ADA signing an undertaking document which releases the ANU and ADA from responsibility or consequences of breaches of undertakings. The Licence outlines information about the deposited material may be shared and sets the conditions of access.

Licence Form (PDF download): <http://ada.edu.au/ada/deposit-forms> (accessed 12/04/2017)

#### **Transfer of custody and responsibility handover:**

The transfer of custody is made evident in paragraph one of the Licence form.

As the owner of the copyright in the material described in the Schedule of Materials Deposited hereto or duly authorised by the owner of the copyright in the material, I grant to the Australian National University a non-exclusive license to publish the data and information contained in the material, for the purpose of further analysis and the publication of the results of such analysis, subject to the following conditions.

Licence Form (PDF download): <http://ada.edu.au/ada/deposit-forms> (accessed 12/04/2017)

## **Rights to copy, transform, and store and provide access to data:**

These items are defined in sections 1 through 5 in The Licence Form which is required from any person wishing to deposit data with the ADA.

### **1. Undertakings by Users**

Any person or institution applying for copies of the data in machine-readable form, codebooks and/or other documents of assistance to the analysis of the data (with the exception of those described in Section (2) below), or for analysis of the data to be carried out by the Australian Data Archive shall be required by the ADA National Manager to give undertakings as set out in the Undertaking Form. The Australian Data Archive and the Australian National University accept no responsibility for the consequences of any breach of these undertakings. The ADA National Manager shall act at all times so as fully to preserve the individual confidentiality of survey respondents and their replies.

### **2. Publication of Information About Material**

In order that information about the material deposited in the Australian Data Archive may be circulated among interested persons or institutions, the ADA National Manager may (subject to the constraint in Section (1) above) publish questionnaire forms, the text of particular questions and statistical summaries of answers to particular questions, codebooks and outline descriptions of the deposited material.

Upon completion, please print and scan a copy of this form, and then return via email to [ada@anu.edu.au](mailto:ada@anu.edu.au), or via mail to the Australian Data Archive, Australian National University, Beryl Rawson Bldg, Ellery Crst, Acton, ACT, 0200, Australia.

### **3. Availability of Data For Analysis**

There are two standard types of access as detailed below. Other conditions can be negotiated with the ADA National Manager on an ad hoc basis if required.

(Please check the access condition that is applicable):

Unrestricted access. (Usage reports provided to depositor on request) Copies of the data in machine-readable form, codebooks and/or other documents of assistance to the analysis of data, and/or analyses of data, may be supplied by the ADA National Manager to any person or institution giving the undertakings referred to in Section (1) above. Upon request, the ADA National Manager shall send to the undersigned (or an authorised representative) information regarding the supply of such data.

Depositor required to give or withhold permission for access. No copies of the data in machine-readable form, codebooks and/or other documents of assistance to the analysis of data (with the exception of those described in Section (2) above) shall be supplied, and no analysis of the data shall be carried out by the Australian Data Archive, except with the written permission of the undersigned or the undersigned's authorised representative in each case or class of cases; it being understood that consent shall be deemed to have been given unless the undersigned or an authorised representative has replied within 30 days to an email to the last email address that he or she registered with the Australian Data Archive.



#### 4. Availability of Unpublished Reports

Any unpublished reports or interpretations of analyses that are deposited in the Australian Data Archive shall be regarded as among the documents of assistance to the analysis of data referred to in Section (3) above.

#### 5. Destruction of Material

While the Australian Data Archive takes every care to preserve the physical integrity of the data, The Australian National University shall incur no liability, either expressed or implicit, for the physical materials deposited with the Archive or for the loss of data or information in the operation of the Archive.

Licence Form (PDF download): <http://ada.edu.au/ada/deposit-forms> (accessed 12/04/2017)

#### **Actions relevant to preservation specified in documentation:**

All information for Licence and Deposit are detailed to the depositor either in the downloaded forms or on the webpages. The specifics of how the data will be processed and stored is available to depositors via email communication or verbally with the ADA.

Deposit and Licence forms: <http://ada.edu.au/ada/deposit-forms> (accessed 12/04/2017)

Depositing Data: <http://ada.edu.au/ada/data-deposit> (accessed 12/04/2017)

#### **Assurance of above steps:**

The first step in the acceptance of any study being deposited is to ensure Legal checks, in that the licence has been signed and delivered to the ADA by the authority appropriate to the data. Then the archivist may proceed with uploading the study from the ADAPT system into the archival system and NESSTAR for processing and publication. Prior to publishing there is a second check in the DDI in Nesstar to ensure all relevant licence have

been obtained and the appropriate disclaimers, confidentiality declarations and access conditions are set.

### **Reviewer Entry**

*Accept or send back to applicant for modification:*

Accept

*Comments:*

## 11. Data quality

*Minimum Required Statement of Compliance:*

0. N/A: Not Applicable.

### Applicant Entry

*Statement of Compliance:*

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

*Self-assessment statement:*

**Data and metadata quality:**

The ADA sits in the CSRM at the ANU which places its emphasis on staff who understand and value strong research methods and design and statistical practices. Staff have training in Stata, SAS, SPSS and R packages to ensure most data types can be addressed.

All data are assessed for completeness and basic logic checks are run for most data. Accompanying documents are uploaded to ensure comprehension of the study and the data sets. If no such documentation accompanies a study the archivist will liaise with the depositor to ensure all necessary value labels and codes are defined, that metadata fields can be completed in the DDI and that the data is understandable to other researchers.

It is not a requirement that a study meets all fields of the DDI but it is imperative for it to meet a minimum requirement. This minimum requirement is not published in the public domain but is referred to as DDI lite within the archive.

See also answers to guideline 7.

CSRM: <http://csrcm.cass.anu.edu.au/> (accessed 1/10/2017)

**Automated assessment of metadata adherence to relevant schema:**

The ADA uses the DDI schema used by Nesstar and Dataverse. An assessment of metadata is available against this schema through the publishing and validation process of the Nesstar software and Dataverse.

**Ability to comment on/rate data and metadata:**

No metadata or data rating system currently in place at ADA. Feedback from users is always welcomed. Statistics of access and download of each data set can be obtained. Dataverse provides metrics for each data set. Feedback and statistical information are sufficient for the needs of our archive.

Contact with ADA: <http://ada.edu.au/ada/contact-ada> (accessed 12/04/2017)

**Citations to related works:**

Nesstar has an area for related works to be linked or uploaded. Nesstar also has areas for citations and other publications. It is requested of every user of the data that in order to assemble essential information about archival resources and to facilitate the exchange of information about users' research activities, individuals are required to email ADA ([ada@anu.edu.au](mailto:ada@anu.edu.au)) with the bibliographic details and, where available, online links to any published work (including journal articles, books or book chapters, conference presentations, theses or any other publications or outputs) based wholly or in part on the material.

ADA has also implemented links to ORCID and related works in Dataverse.

**Reviewer Entry**

*Accept or send back to applicant for modification:*

Accept

*Comments:*

## 12. Workflows

*Minimum Required Statement of Compliance:*

0. N/A: Not Applicable.

### Applicant Entry

*Statement of Compliance:*

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

*Self-assessment statement:*

#### **Workflows/business process:**

The workflows and business processes are not documented in the public domain but are detailed in the internal documentation and ADA Wiki.

The workflows for ADA archivists taken from the wiki are as follows, the "see in detail" gives specific instructions for each procedure detailed in the ADA Wiki:

ADA Producer (Archivist and Staff) Workflows for Data Deposit and Publish:

#### 1. Depositors

Data depositors (usually researchers) approach ADA or are approached to deposit their dataset(s).

- See in detail 1.0 Deposit. These procedures are also detailed on the ADA website and in guidelines 0, 2 and 4.

#### 2. Legal Checks

Depositors fill in manual License form and Depositor form.

- See in detail 1.0 Deposit. Guideline 2 of this document provides greater detail as does the ADA website and Licence forms and deposit forms.

#### 3. Upload to ADA

Depositors upload files to ADA staging area.

- See in detail collecting and acquisition of data. More details are given in guideline 8.

#### 4. Processing

Archivists process the data and produce metadata. These steps include

##### 4a. Conversion

Conversion to SPSS archival format.

- See in detail conversion using Stat/Transfer.

##### 4b. Checking

Checking data integrity and embargoing variables.

- See in detail data checking.

##### 4c. Document

Document variables, codebook, notes etc.

- See in detail documentation processing.

Guidelines 7, 8 and 11 of this document provide detail.

#### 5. Pre-publish

Prepares the metadata for publishing [4.0 Publishing] See also guideline 7, 8 and 11.

##### 6a. Publish

ADA staff uses Nesstar Publisher to create .NSDstat data files and DDI V2.x (XML) metadata files and publish these onto the Nesstar server.

- See in detail publishing data to nesstar and live publication.

##### 6b. Index

Index DDI XML files (indexed through Lucene via index management servlet).

- See in detail indexing ddi xml files.

See also guideline 7, 8 and 9.

Workflow Procedures ADA Wiki: <https://assdawiki.anu.edu.au/assdawiki/WorkflowProducer> (internal access only)

#### **Communication to depositors and users about handling of data:**

All changes to data and documentation are communicated to the depositor via a Processing Report. This report also documents the trail of communication and issue and rational for any change requested. Alterations are also noted when necessary in either the relevant DDI field in Nesstar or Dataverse with regard to a specific item.

**Levels of security and workflows:**

The ADA performs various levels of curation dependent upon the level agreed with depositor, type of data set and importance to the confidentiality and the scope of the ADA collections. ADA adheres to confidential data as detailed in Standards at The ANU. Processing levels are detailed in the ADA wiki in section 1.2.4 and determine the level of work to be undertaken to prepare data for secondary use. All data received as the Submission Information Package (SIP) are stored in original form, all data processed are done on copies of the original and are converted to preservation formats for long term storage as the Archival Information Package (AIP). All copies of syntax and superseded data/documents are retained in an archival form. As a general rule data is processed to at least Basic curation standards but cases can be made for level A. All data is available for viewing on the ADA website and is downloadable in a variety of formats via online Nesstar tools as the Dissemination Information Package (DIP) to those registered with ADA. The majority of data have value added by enhancing the data, metadata and documentation. See guideline 16 for details on security.

ANU Standard Infrastructure Security Classification: [https://policies.anu.edu.au/ppl/document/ANUP\\_000753](https://policies.anu.edu.au/ppl/document/ANUP_000753) (accessed 1/11/2017)

**Qualitative and quantitative checking of outputs:**

Prior to live publishing of the DIP the Archive Manager undertakes a qualitative and brief quantitative check of the information in Nesstar for the study. This is detailed in workflow 4.2.1 in the ADA Wiki.

ADA Wiki Manager Review: <https://assdawiki.anu.edu.au/assdawiki/Publish2> (internal access only)

**Appraisal and selection of data:**

Archivists complete an initial appraisal during the "Deposit" stage of the ADA workflow. Most data deposited with the ADA is unsolicited and the depositor approaches the ADA. The Australian Data Archive has seven subarchives and accepts data that fits into any of the archives broad remit or at the discretion of the archive manager:

Social Science – predominantly survey or polling based quantitative social science data

Historical – an archive of Australian census data tables from 1834 to the present day

Indigenous – A thematic archive bringing together research data about Aboriginal and Torres Strait Islanders

Longitudinal – major longitudinal cohort and panel surveys of the Australian population

Qualitative – a collection which provides specialist data archiving and access services to qualitative researchers  
Crime & Justice – major collections of data in crime, law and justice, including criminal justice administrative data  
International – a central point of access for links to international data sources around the world  
Subarchives: <http://ada.edu.au/ada/subarchives> (accessed 12/04/2017)

**Data outside mission/collection profile:**

Data that falls outside the scope of the broad ADA mission is accepted at the discretion of the Archive Manager.

**The types of data managed and workflow:**

The access levels set for a study impact on the work required for the data. The complexity of the data and the size of the data set(s) will impact on the amount of time allocated to a study and possibly to the amount of time available for logic checks.

Access conditions: <http://ada.edu.au/ada/access-conditions> (accessed 12/04/2017)

**Decision handling within the workflows:**

All workflows, processes and procedures are detailed in the ADA wiki which is a dynamic document allowing for adaptation and change where necessary. For example, the ADA processing workflows are broken into four stages (Deposit, Data processing, Metadata processing and Publishing) which are fully documented and managed on the ADA wiki.

Decision handling within workflows is documented in the ADA workflow and levels of authority for decisions are described for particular processing steps. Outcomes of decisions are then documented and stored within ADA processing documents. For example, in the area of archival data transformation, ADA accepts within its policy most formats, all sizes and various complexities of data types. The basis of acceptance is on the merit of the data with the final judgement at the discretion of the ADA Manger. Data are then preserved in formats that allow for forward migration as detailed in other areas of this assessment.

ADA Wiki: <https://assdawiki.anu.edu.au/assdawiki> (internal access only)



### **Change management of workflows:**

As detailed above, all workflows, processes and procedures are detailed in the ADA wiki, which is a dynamic document, allowing for adaptation and change where necessary. The ADA are keeping abreast of developing technologies and are thinking of future options for the ADA. All current systems and procedures are maintained until such time as full testing of a new system are implemented. Changes to workflows are drafted and circulated for discussion among the ADA team, with final approval by the ADA Director. Superseded workflows are then preserved on the ADA wiki for archival purposes.

### **Reviewer Entry**

*Accept or send back to applicant for modification:*

Accept

*Comments:*

### 13. Data discovery and identification

*Minimum Required Statement of Compliance:*

0. N/A: Not Applicable.

#### **Applicant Entry**

*Statement of Compliance:*

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

*Self-assessment statement:*

##### **Search facilities:**

The ADA website offers multiple ways to search data held in the Nesstar catalogue system or Dataverse. Explicit instructions on how to search the ADA holdings are detailed on the web. There are options to filter results of searches, view studies and variables, search within or between subarchives, and saving searches. These searches are performed on data (variable and labels) and metadata (DDI). Metadata is harvested by various bodies and is searchable via their facilities.

Searching is also explained in the Accessing data pdf linked on the website.

Searching the ADA: <http://ada.edu.au/ada/search-ada> (accessed 12/04/2017)

Accessing Data (PDF): <http://ada.edu.au/ada/user-guides> (accessed 12/04/2017)

##### **Searchable metadata catalogue:**

All searchers search both data and metadata about a study. All studies are documented to DDI 2.5 standard and Nesstar and Dataverse are international packages for searching and disseminating data.

Searching the ADA: <http://ada.edu.au/ada/search-ada> (accessed 12/04/2017)

**Machine harvesting of the metadata:**

Currently the ADA is in the process of enabling machine harvesting to ANDS, ORIN and others so that harvesting of metadata can occur in a fully automated way. This should be fully operationalized by end of financial year 2017/2018.

**Inclusion in disciplinary or generic registries of resources:**

The ADA is listed on Re3Data.org. It is also listed on the ANU library page and ANDS (Australian National Data Service RDA).

Re3Data: <http://www.re3data.org/repository/r3d100010138> (accessed 12/04/2017)

ANU Library: <http://libguides.anu.edu.au/c.php?g=465056&p=3180336> (accessed 1/09/2017)

ANDS RDA: <https://researchdata.ands.org.au/> (accessed 1/11/2017)

**Recommended data citations:**

There are codebook and computer file bibliographic citations in the DDI in Nesstar for every study.

ADA has a standard bibliographic citation for all studies within our collection. Any publication, whether printed, electronic or broadcast, based wholly or in part on the data collections provided by the Australian Data Archive should be accompanied by the correct citation and acknowledgement information. Details of the recommended citation are set out in the ADA Catalogue study record for each study, under the 'Study information' section. In addition, the recommended citation is also included in the ADA Codebook that is provided as part of the download package for any ADA dataset. There are also explicit instructions on the importance of data citation and the preferred formats for data citation on the website.

Data Citation: <http://ada.edu.au/ada/data-citation> (accessed 12/04/2017)

#### **Persistent identifiers:**

ADA have started introducing Digital Object Identifiers (DOI) for data sets. These DOIs should also be included in the citation of the data. Every new study added to the ADA and every new version of a study has a unique DOI minted via ANDS (Australian National Data Service) via datacite. Once migration is complete to Dataverse by end of financial year 2017/2018 all datasets will have a DOI.

DOI: <http://ada.edu.au/ada/data-citation> (accessed 12/04/2017)

#### **Reviewer Entry**

*Accept or send back to applicant for modification:*

Accept

*Comments:*

## 14. Data reuse

*Minimum Required Statement of Compliance:*

0. N/A: Not Applicable.

### Applicant Entry

*Statement of Compliance:*

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

*Self-assessment statement:*

#### **Metadata standards required:**

DDI is the standard of metadata documentation utilized by the ADA.

DDI: <https://www.ddialliance.org/> (accessed 30/10/2017)

#### **Data formats used by the Designated Community:**

The ADA accepts and migrates most formats of data and documentation the dissemination tool used is Nesstar which allows for download in 11 formats. These formats cover the needs of the designated community.

Nesstar help: <http://nesstar.com/help/4.0/webview/download/download-data-and-documentation.html> (accessed 30/10/2017)

ADA Formats: <http://ada.edu.au/ada/preferred-formats> (accessed 12/04/2017)

#### **Evolution of formats plans:**

CoreTrustSeal Board

W [www.coretrustseal.org](http://www.coretrustseal.org)

E [info@coretrustseal.org](mailto:info@coretrustseal.org)

ADA has several standard formats and a text format to enable simple conversion into future formats. Data are maintained in original format with associated syntax of all alteration so that conversion or forward migration be implemented or recreated at any point.

**Future migration plans:**

No specific plan. We maintain a preservation format so that we can transform into likely future formats. We are migrating dissemination platforms from Nesstar to Dataverse, this does not effect the data.

**Understandability of the data:**

ADA provide a national service for the collection and preservation of computer readable data relating to social, political and economic affairs and to make these data available for further analysis by social science researchers generally. As such, the designated community for the ADA - social science researchers - is predominantly at the same level the data depositors in terms of knowledge level.

The ADA uses the DDI standard of metadata documentation, developed by social science data archives in collaboration with the social science community internationally, so that important aspects of a study and associated data can be understood by the community. The use of the standard includes the use of discipline-specific terms and vocabulary, and also includes the provision of links to documents, publications and similar studies to enable greater comprehension of the data.

DDI: <https://www.ddialliance.org/> (accessed 30/10/2017)

**Reviewer Entry**

*Accept or send back to applicant for modification:*

Accept

*Comments:*

## 15. Technical infrastructure

*Minimum Required Statement of Compliance:*

0. N/A: Not Applicable.

### Applicant Entry

*Statement of Compliance:*

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

*Self-assessment statement:*

#### **International and/or community standards used:**

The ADA uses DDI version 2.5 with some support for version 2.1 in Nesstar. The ADA is involved with the DDI alliance community internationally and reviews and implements updates when necessary for the needs of the archive.

ADA also uses the OAIIS as a reference model for benchmarking our archival structure and procedures as a model of best practice. This is the reference model not the ISO 14721:2012 (CCSDSS 650.0-P-1.1) OAIIS standard.

Nesstar: <http://www.nesstar.com/support/faq.html#pub.linux> (accessed 12/04/2017)

DDI Alliance: <http://www.ddialliance.org/> (accessed 12/04/2017)

#### **Implementation of above standards implemented:**

The DDI standards is implemented as XML outputs from the Nesstar package. There are no significant deviations from the standard.

The OAIIS standard is not implemented directly but is benchmarked as a reference model in DDI policy and procedures. There are no significant deviations from the standard.

**Infrastructure development plans:**

ADA are currently implementing Dataverse software produced by Harvard. NESSTAR will be kept functional until any and all migration is complete and testing done on the ADA Dataverse. The timetable for full implementation is by end of financial year 2017/2018.

All other infrastructure is provided by NCI systems support and corporate computing support is from ITS at The ANU.

**Software inventory:**

Internal documentation of software and licences inventory are maintained. System documentation is maintained by NCI and the ANU IT team.

**Community-supported software:**

NESSTAR and Dataverse, which are both community based systems, are used for the ADA systems.

**Real-time to near real-time data streams:**

Not applicable to the ADA.

**Reviewer Entry**

*Accept or send back to applicant for modification:*

Accept



*Comments:*

## 16. Security

*Minimum Required Statement of Compliance:*

0. N/A: Not Applicable.

### Applicant Entry

*Statement of Compliance:*

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

*Self-assessment statement:*

#### **Recovery and backup of essential services:**

The ADA is a unit in The ANU and is thus party to the policies governing all of The ANU with regard to Information Technology Security [ANUP\\_000421](#), and Risk Management [ANUP\\_000462](#). The NCI manages all network services and infrastructure for the ADA. The general terms and conditions of a specified project stored at NCI are found at General Requirements Expectations Policies and these apply to ADA as well as specific procedures for recovery and backup which are in development with parties at NCI. NCI currently provide ADA at a minimum the Project storage and tape archive as described in the above NCI Policy. ADA is working with NCI and ANU IT Security to establish specific risk management, data security, encryption and disaster recovery policy and plans for ADA, with a timetable for implementation of 2017/18 (30 June 2018). See also G9.

ANU Policy Information Technology Security: [https://policies.anu.edu.au/ppl/document/ANUP\\_000421](https://policies.anu.edu.au/ppl/document/ANUP_000421) (accessed 1/11/2017)

ANU Policy Risk Management: [https://policies.anu.edu.au/ppl/document/ANUP\\_000462](https://policies.anu.edu.au/ppl/document/ANUP_000462) (accessed 1/11/2017)

NCI: <http://nci.org.au/> (accessed 12/04/2017)

General Requirements Expectations Policies BACK UP:  
<http://nci.org.au/access/general-requirements-expectations-policies-and-conditions-of-use/> (accessed 1/09/2017)

#### **IT security system and risk analysis:**

CoreTrustSeal Board

W [www.coretrustseal.org](http://www.coretrustseal.org)

E [info@coretrustseal.org](mailto:info@coretrustseal.org)

The ADA has not undertaken any tool such as DRAMBORA at this time. As noted above, specific risk management, data security and disaster recovery policy and plans for ADA, are in development with partners at NCI and ANU IT Security with a timetable for implementation of 2017/18 (30 June 2018). Business continuity plans are addressed in G3. The ADA as a unit within The ANU and is subject to Legislation, Policy and university wide Procedures and Standards these include but are not limited to The ANU Archive Policy, The ANU Information Technology Security Policy, The ANU Risk Management Policy, The ANU Open Access Policy and related procedure on Open Access Research, The ANU Policy for Code of Conduct, The ANU Policy Archives collecting, The ANU Policy Records and archives management. These policies set statements of principle for those in The ANU to ensure continuity, security and best practice for ensuring protection and use of ANU assets. Being a unit in The ANU the ADA has access to and support from IT services from a wide range of areas at the university.

ANU Policy Information Technology Security: [https://policies.anu.edu.au/ppl/document/ANUP\\_000421](https://policies.anu.edu.au/ppl/document/ANUP_000421) (accessed 1/11/2017)

ANU Risk Management: [https://policies.anu.edu.au/ppl/document/ANUP\\_000462](https://policies.anu.edu.au/ppl/document/ANUP_000462) (accessed 1/11/2017)

ANU Policy Open Access: [https://policies.anu.edu.au/ppl/document/ANUP\\_008802](https://policies.anu.edu.au/ppl/document/ANUP_008802) (accessed 1/11/2017)

ANU Procedure Open Access Research: [https://policies.anu.edu.au/ppl/document/ANUP\\_008803](https://policies.anu.edu.au/ppl/document/ANUP_008803) (accessed 1/11/2017)

Open Research at ANU: <http://openresearch.anu.edu.au/about-open-research-anu> (accessed 1/11/2017)

ANU Policy Code of Conduct: [https://policies.anu.edu.au/ppl/document/ANUP\\_000388](https://policies.anu.edu.au/ppl/document/ANUP_000388) (accessed 1/11/2017)

ANU Policy The Australian National University Archives collecting:  
[https://policies.anu.edu.au/ppl/document/ANUP\\_009412](https://policies.anu.edu.au/ppl/document/ANUP_009412) (accessed 1/11/2017)

ANU Policy Records and archives management: [https://policies.anu.edu.au/ppl/document/ANUP\\_001233](https://policies.anu.edu.au/ppl/document/ANUP_001233)  
(accessed 1/11/2017)

ANU Policy Digitisation: [https://policies.anu.edu.au/ppl/document/ANUP\\_015207](https://policies.anu.edu.au/ppl/document/ANUP_015207) (accessed 1/11/2017)

## **Reviewer Entry**

*Accept or send back to applicant for modification:*

Accept

*Comments:*

## 17. Comments/feedback

*Minimum Required Statement of Compliance:*

0. N/A: Not Applicable.

### Applicant Entry

*Statement of Compliance:*

0. N/A: Not Applicable.

*Self-assessment statement:*

This assessment is meant to cover the collections housed with The Australian Data Archive and not NCI or The ANU.

During this self-assessment process many documents and relevant items were identified as important to share outwardly in the public domain. The ADA will be undertaking a website and wiki refurbishment and placing many of the items currently inward facing into outward facing documents for items where this can be safely done and will not compromise the integrity, security or confidentiality of data or data holdings. This work should be completed by the end of the 2017/2018 financial year (31 June 2018).

### Reviewer Entry

*Accept or send back to applicant for modification:*

Accept

*Comments:*