

A Survey of Organizational Assessment Frameworks in Digital Preservation

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Organizational Assessment for Digital Preservation

Much progress has been made on **tools, models, strategies and other innovations** to facilitate the long-term preservation of digital objects, but successful digital preservation also requires **understanding and managing how these components work together** to achieve goals at the organizational level.

Organizational assessment provides a systematic **method of measuring current performance and capabilities**. It can identify areas for improvement and enable steps towards increased capacity, improved reliability, demonstrated trustworthiness, or reduced risk.



Drawing on Concepts from Maturity Models

Assessing both:

- an organization's **capabilities** to address identified needs and achieve goals through a combination of processes, activities, people and tools (technology)
- the **maturity** of those capabilities, i.e. how effectively needs are identified, and how predictably goals are achieved.

An **assessment framework** (or maturity model) presents a model of the different capabilities required for the goals of digital preservation and outlines a series of levels or stages along a path to maturity for each of the capabilities.

e.g. NDSA Levels, Data Seal of Approval, DPCMM,
Five Stages of Digital Preservation (DPM Workshop)



Surveying the Options for Assessment Frameworks

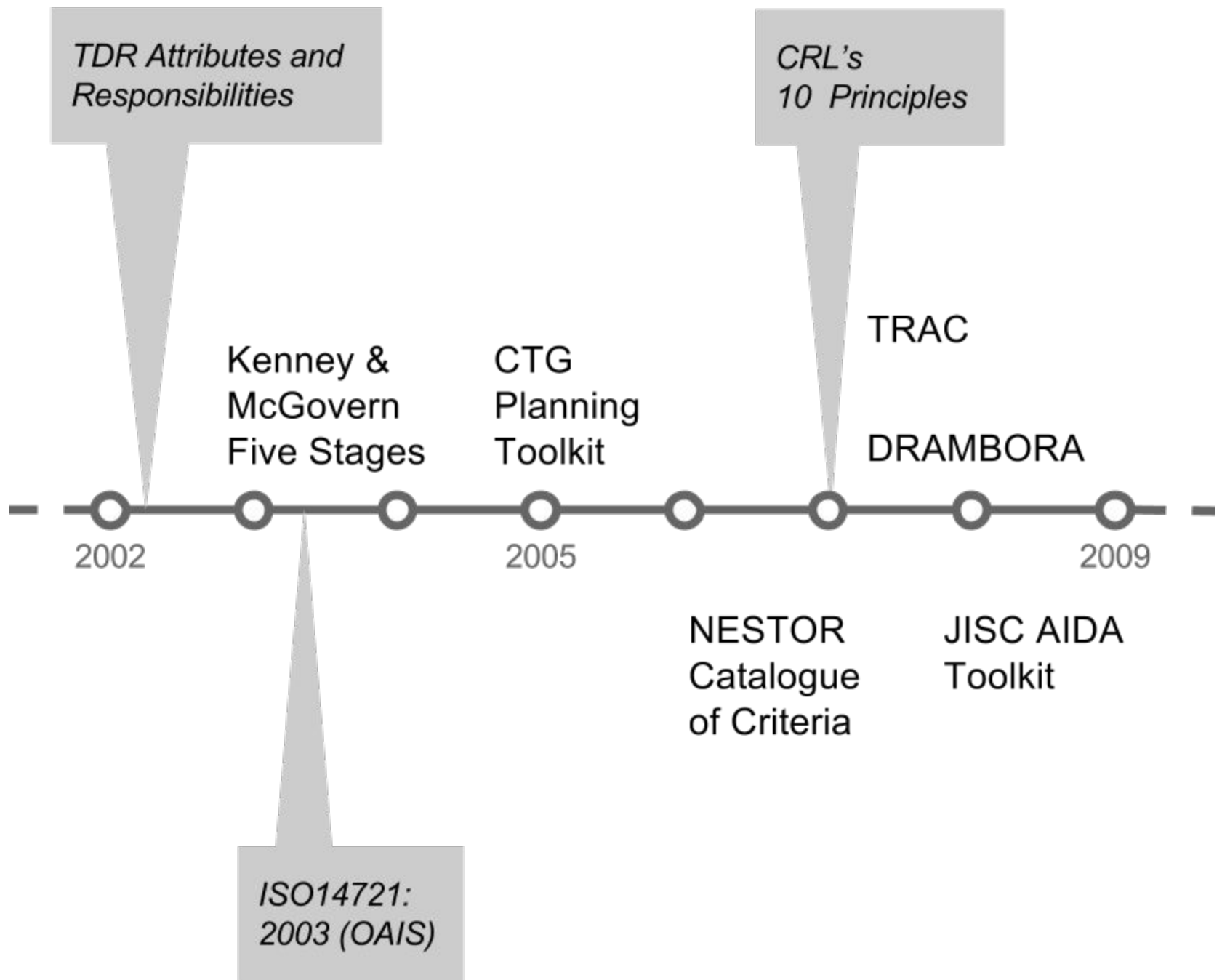
1. What are the **options** for organizational assessment including **focus, requirements, and expected outputs**?
2. What **trends and gaps exist in the current landscape**, and do these present opportunities for research?

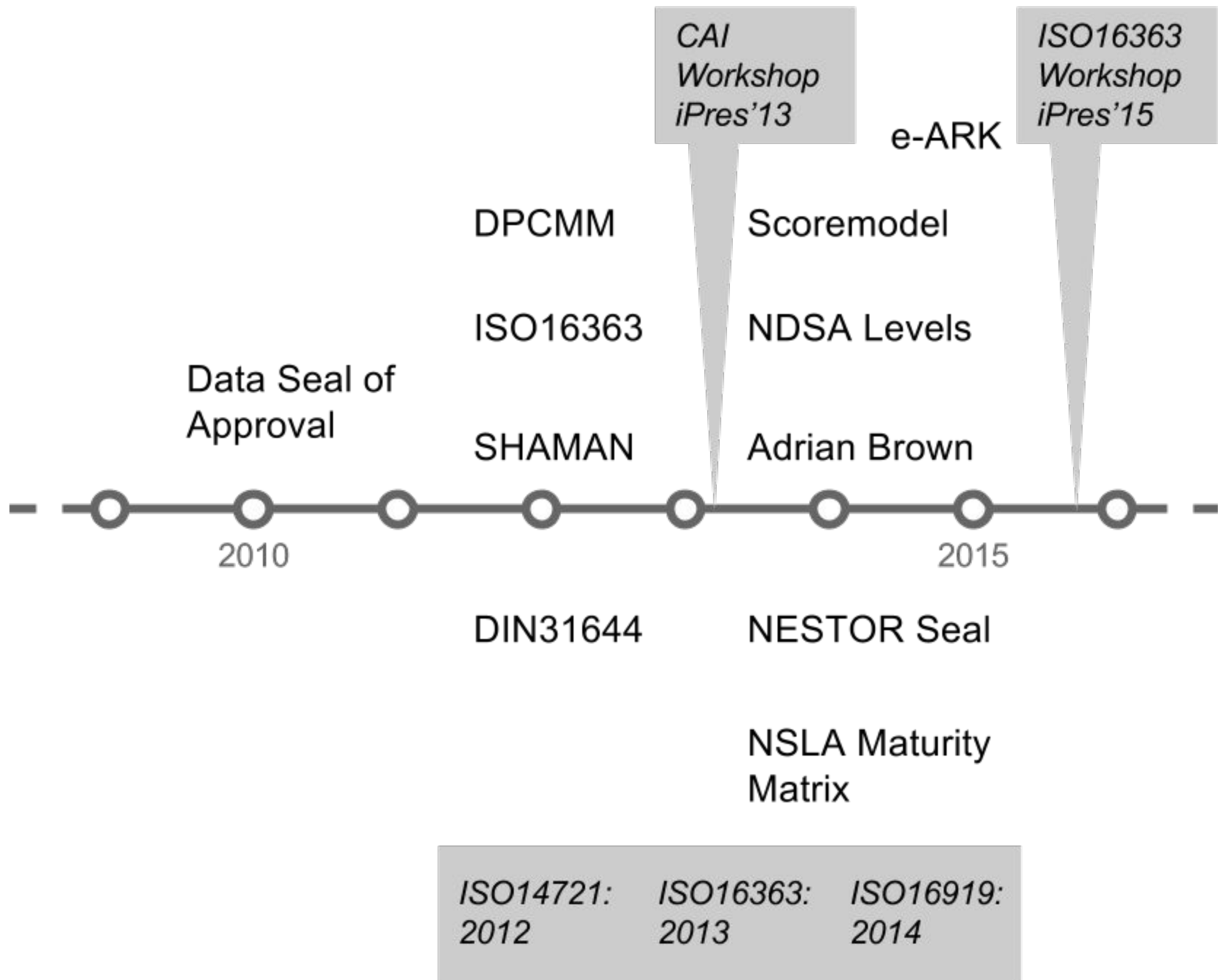
What did this survey tell us?

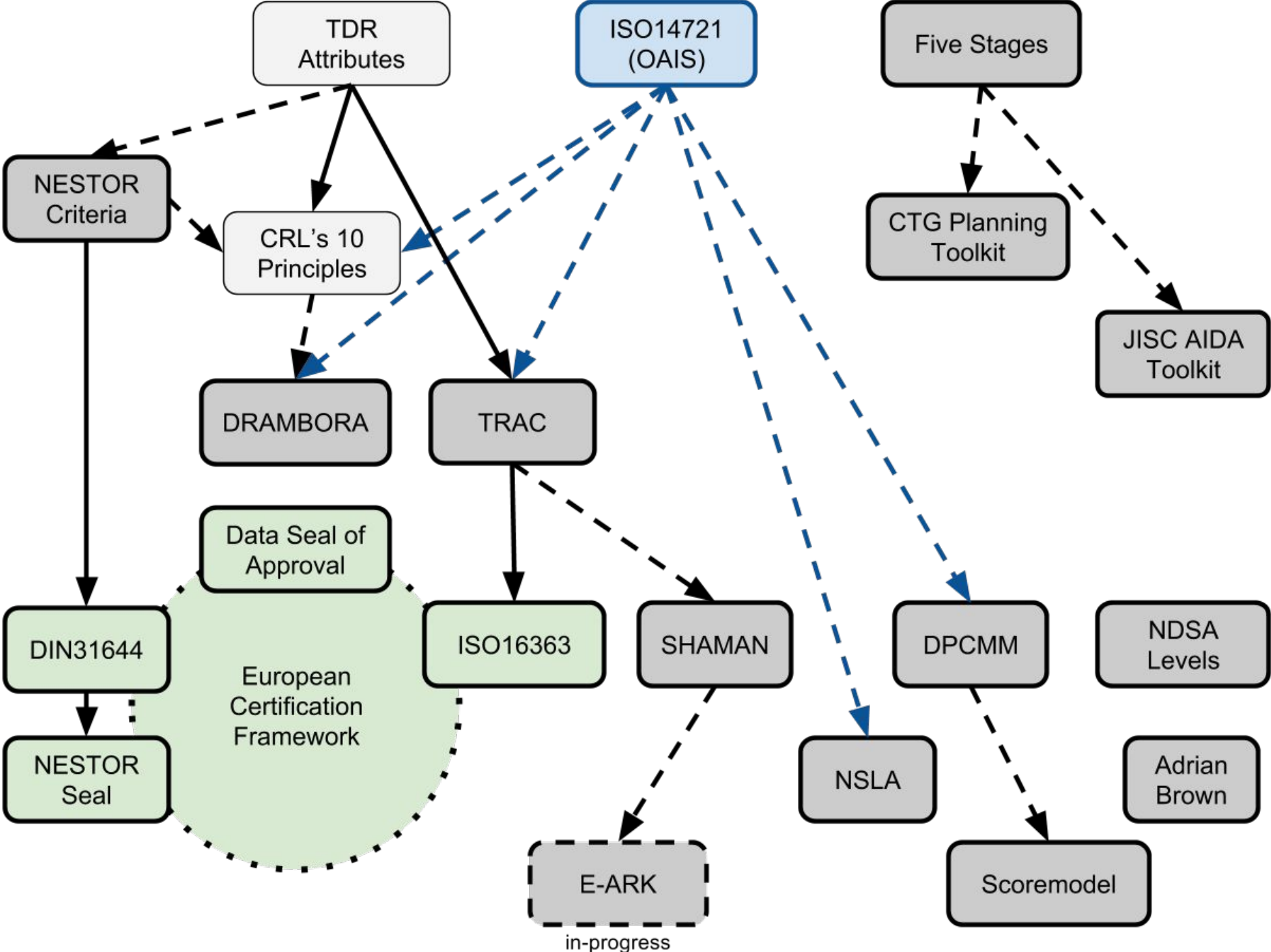
1. How models for maturity are developing
2. How models can be sorted by primary purpose of use
3. Where there are gaps in the evaluation of models



1. How are models developing?







How are assessment models developing?

There is a recent **increase in models** for organizational assessment being developed.

Models themselves are often vague or unclear in describing how these new developments build on existing foundations.

We have tried to clarify the **relationships and influences** of earlier models on new ones.

2. What is the purpose of assessment?

We identified three categories or scenarios for an assessment:

- **initial planning** of digital preservation initiatives;
- directing and targeting **improvement** in specific areas, focused on local concerns;
- achieving external **certification**, and recognition of capabilities through compliance with standards.

Planning	Improvement	Certification
e.g. starting out setting up your first long-term repository	e.g. existing repository, with varying processes and workflows	e.g. experienced organization with documented and formalized processes
can be completed with low effort (self-assessment)	level of effort varies (evidence used, self-assessment or peer review)	significant investment in time and resources
less focused on evidence, more on learning concepts and defining goals	focus on determining areas of strength and weakness, prioritizing improvements	focus on demonstrating and proving capability with evidence

Planning	Improvement	Certification
Five Stages (DPM) NDSA Levels	CTG Toolkit AIDA Toolkit DRAMBORA Adrian Brown SHAMAN DPCMM NSLA Maturity Matrix Scoremodel e-ARK	Data Seal of Approval NESTOR Seal ISO 16363

Choosing the right model depends on the scenario or context of the organization - **not one-size-fits-all.**

Assessment is not just certification - there are other options.

3. Who is evaluating assessment models?

Not a lot of work exists that critically evaluates models.

Currently lots of papers describe research **with** models

e.g. project reports on how models are developed, and case studies of their use.

Need more research **on or about** models

e.g. comparing the effectiveness of different models, and reflecting on the theory or foundations of models.

Some concerns about the models surveyed

- Inconsistent use of concepts and terminology
- Inconsistent in providing tools and support
- Lack of concrete guidance for conducting the assessment
- Results provide little direction for targeting specific improvements, implementing changes

Summary / Conclusion

There are a lot of options available for assessing an organization's maturity - many are recent developments.

Choosing the right option depends on what your goals are in completing an assessment, and what stage you are at.

More work is needed to evaluate the assessment frameworks in order to demonstrate that they themselves are effective and reliable.



Next Steps...

1. Evaluating models through case studies
(completed + on-going)
2. Developing our own model based on case study findings
and drawing on design principles for Maturity Models.



We're getting a room! (if you'd like that.)

- Which scenarios matter to you? (have we missed any?)
- Which scenarios are underserved by current models?
- Have you attempted assessment and want to share lessons learned?
- Are you planning an assessment and have plans or questions?
- Would you like to team up for case studies?
- What would be your ideal model?
 - (We're making one.)

Thank you!

Get a Room Info: <http://bit.ly/1I4CWyR>

Full paper available at: <http://bit.ly/1RFp8Ff>

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