

## OAIS Implementation Group: Work Plan for Year 1

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### Group Members

Nancy McGovern—Co-Team leader  
Marcy Rosenkrantz—Co-Team leader  
Eli Brown  
Peter Hirtle  
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Bill Kehoe  
Mary Newhart  
Joy Paulson  
Frances Webb  
Anne Kenney—LMT liaison

### Work Plan Tracks

Implementing an Open Archival Information System for CUL will require intensive organizational and technological work. This work plan defines what we are doing, why, how, for and with whom, and by when. We have identified 5 parallel tracks for Year 1 activities. These tracks may change in Years 2-4 or may not be needed after Year 1, but for the now the tracks serve these purposes:

- to ensure adequate coverage of the range of issues associated with establishing an OAIS
- to leverage and focus the strengths and talents of the team members
- to enable core activities to progress simultaneously
- to allow smaller groups to work effectively

These are the five tracks for Year 1:

1. OAIS Requirements
2. Organizational Framework
3. Technological Framework
4. Resource Implications
5. Communications and Outreach

#### 1. OAIS Requirements

This track provides the organizational and technological umbrella for the other tracks.

*OAIS Group members:* All members

*Others to consult:* Digital Preservation Workshop team for resources on OAIS and other relevant digital preservation activities; reviewers of deliverables

##### *Track 1 tasks with deliverables*

- **Task:** Identify OAIS requirements - deconstruct OAIS into our version of requirements. *Note:* OAIS-compliance is not universally defined at this point. There are developments in that direction, which we will monitor as we develop our own response.  
**Deliverables:** List of OAIS requirements for CUL.
- **Task:** Complete gap analyses. This will need to be done in parts, e.g., what will EATMOT be doing, what do we have in place in various repositories, how do our 5

target areas (in priority order) stack up, how does this analysis map to our OAIS requirements.

**Deliverables:** Gap analyses – overall gap analysis for CUL and specific analyses for each priority area: digital image collections, University content, Euclid journals, ArXiv pre-prints, USDA materials.

- **Task:** Monitor work of the OAIS working group on digital archive certification and other relevant digital preservation activities.

**Deliverables:** Self-assessment for certification as basis for certifying CUL's OAIS and a plan developed for meeting certification requirements.

## 2. Organizational Framework

This track addresses core organizational issues for implementing OAIS – the requisite policies and procedures and the enabling organizational structure.

**OAIS Group members:** Nancy McGovern (lead), Eli Brown, Peter Hirtle, Eileen Keating, Bill Kehoe, Mary Newhart, Joy Paulson

**Others to consult:** CUL Implementation Group 1 Integrated Framework for Digital Collections, LMT, Tracy Mitrano, DCAPS, reviewers of deliverables, Steve Schuster, CIT-email archiving

### **Track 2 tasks with deliverables**

- **Task:** Identify, develop and disseminate policies and procedures. Ensure that policies are informed by and aligned with University policies. *Note:* We will start by parsing out the digital preservation policy framework to identify and prioritize the specific documents that we need to develop.

**Deliverables:** Prioritized list of policies and procedures needed; working drafts of policies and procedures that cover all of the functional areas of OAIS.

- **Task:** Develop a model for an organizational structure for our sustainable OAIS.

**Deliverables:** Proposed OAIS organizational model for CUL with roles, and responsibilities identified.

## 3. Technological Framework

This track addresses the core technological requirements and realities for implementing our OAIS in accordance with prevailing standards and practices and for maintaining our OAIS over time.

**OAIS Group members:** Marcy Rosenkrantz (lead), Bill Kehoe, Nancy McGovern, Frances Webb

**Others to consult:** Reviewers of deliverables; CIT technical writer as sub-contractor

### **Track 3 tasks with deliverables:**

*Note:* These tasks lead to Year 2 development.

- **Task:** Define functional specifications and requirements.

**Deliverables:** CUL's OAIS Functional specifications and requirements.

- **Task:** Prepare a request for information (RFI) for developing all (or distinct portions) of the OAIS based upon the functional requirements and the gap analyses.

*Deliverables:* RFI for CUL's OAIS.

#### 4. Resource Implications

This track relates to the larger objective to identify and project all known costs and to secure institutional commitment.

*OAIS Group members:* Anne Kenney (lead), Peter Hirtle, Nancy McGovern, Marcy Rosenkrantz, Frances Webb

*Others to consult:* Linda Westlake, Oya Rieger, Debra Federation, Representative from Technical Services, DLF

*Track 4 tasks with deliverables:*

- **Task:** Conduct cost analyses using current examples: arXiv, Euclid, and DSpace costs. *Note:* This task leads to Year 2 business plans.  
**Deliverables:** Cost analyses, projected cost models.

#### 5. Communications and Outreach

This track relates to our larger objective to ensure collaboration within the University and beyond.

*OAIS Group members:* All members

*Others to consult:* Linda Bryan, Mary Beth Bunge, DLF, ARL and other relevant membership organizations

*Track 5 tasks with deliverables*

- **Task** (ongoing throughout project): Raise awareness about digital preservation generally and basic OAIS requirements within CUL and across campus and establish effective outreach to other stakeholders.  
**Deliverables:** Periodic brown bags and other discussions; elevator pitch for the OAIS project (working version for Year 1 activities: completed March 2005).
- **Task:** Identify potential stakeholders and internal/external partners.
- **Deliverables:** List of potential stakeholders with possible roles and responsibilities and list of partners – current and potential – with definition of probable relationships and roles. *Note:* This task relates to Year 2 partnership agreements.

#### Measures of Success

We have defined deliverables for all of the Year 1 tasks in the charge. Their completion will be the primary measure of success for the year. By the end of Year 1, we need to be ready to proceed to the build stages in Years 2 and 3. The table on the next page identifies the deliverables associated with each task for each of the five tracks.

## Timeframes for deliverables with dependencies

Year starts Feb 2005 and ends January 2006

Track	Task	Deliverable	Start QTR	End QTR	Dependencies / Notes
<b>1</b>	Identify OAIS requirements	CUL's list of OAIS requirements	1	2	None – first priority
	Complete gap analysis: Overall	CUL gap analysis	1	4	After identification of OAIS requirements
	Complete gap analysis: Specific content	Digital image collections*	1	3	After identification of OAIS requirements
		University content	1	3	
		Euclid journals	2	3	
		ArXiv pre-prints	2	3	
		USDA materials	3	4	
	Monitor certification and other relevant activities	Self-assessment for CUL certification	4	4+	Possibly a Year 2 activity
Annotated bibliography of OAIS and other resources		1	4+	Ongoing during project	
<b>2</b>	Develop and disseminate policies and procedures	Prioritized list of policies and procedures	1	2	Ongoing during project
		Working copies of policies and procedures	2	4+	
	Develop organizational model for OAIS	OAIS organizational model for CUL	3	4	Informed by gap analyses, cost analyses, brown bags
<b>3</b>	Define functional specifications and requirements	CUL's OAIS Functional specifications and requirements	2	3	After OAIS requirements, informed by gap analyses
	Prepare a request for Information (RFI)	RFI for CUL's OAIS	4	4	After functional specs and requirements
<b>4</b>	Conduct cost analyses	Cost analyses	3	4	Informed by gap analyses, organizational model, functional specifications
		Projected cost models	4	4	
<b>5</b>	Raise awareness	Periodic brown bags, etc.	2	4	Driven by topics raised in tasks, review needs
		Elevator pitch (completed)	1	1	
	Identify potential stakeholders and internal/external partners	List of stakeholders; list of partners	1	4+	Informed by gap analyses, outreach, etc.

+ indicates that the activity continues beyond Year 1

\* Coordinate with #1 Implementation Team on the Integrated Framework for digital collections on the Gap Analysis