

Digital Preservation

OAIS Reference Model

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Outline

-
- Principles of the OAIS Model
 - Technical Overview
 - Functional Overview
 - Information Modell
 - Summary
-

OAIS and the role of NASA

- National Space Science Data Center
 - NASA's first digital archive
 - has gone through many technology changes since 1966
- Consultative Committee for Space Data Systems
 - International group of Space Agencies
 - developed a set of standards across disciplines
 - evolved into working group ISO TC 20/ SC 13 around 1990
 - TC20: Aircraft and Space Vehicles
 - SC13: Space Data and Information Transfer Systems

What's a reference model

- A Framework
 - to understand the relationship between significant entities in an environment
 - for the development of consistent standards or specifications to support this environment.
- A reference model
 - is based on a small number of unified concepts
 - is an abstraction of the core concepts, their relationships and interfaces within as well as external to the framework
 - can be used as a basis for training and to explain standards.

OAIS

- OAIS is a reference model
- No design specification, no data model, no set of functional requirements!
- Describes elements and concepts that are relevant for a project
- Goal: determine, which parts of the reference model map to which subsystems, functions and responsibilities in a desired solution.

OAIS Sources of Information

- Reference Model for an Open Archival Information System (OAIS),
- Blue Book, CCSDS 650.0-B-1, January 2002
- Pink Book, **CCSDS 650.0-P-1.1, August 2009**
- <http://public.ccsds.org/sites/cwe/rids/Lists/CCSDS%206500P11/Attachments/650x0p11.pdf>
- Slides based on Blue Book, Pink Book and:
 - Don Sawyer, Lou Reich: ISO Reference Model for an Open Archival Information System (OAIS) Tutorial Presentation, LOC, June 13 2003
- <http://ssdoo.gsfc.nasa.gov/nost/isoas/overview.html>

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Open Archival Information System (OAIS)

- Open
 - Reference Model standard(s) are developed using a public process and are freely available
- Information
 - Any type of knowledge that can be exchanged
 - Independent of the forms (i.e., physical or digital) used to represent the information
 - Data are the representation forms of information
- Archival Information System
 - Hardware, software, and people who are responsible for the acquisition, preservation and dissemination of the information

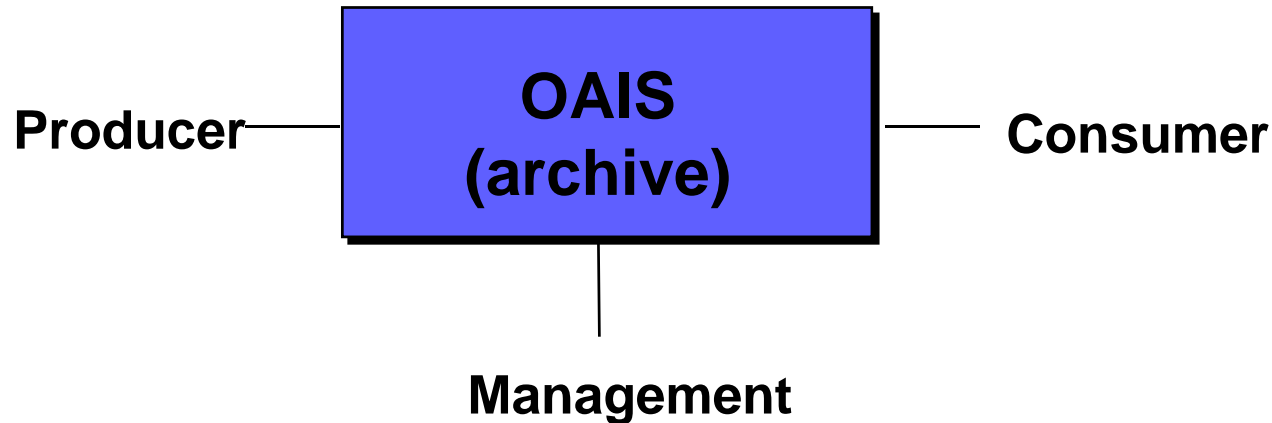
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Purpose, Scope, and Applicability

- Framework for understanding and applying concepts needed for long-term digital information preservation
 - Long-term is long enough to be concerned about changing technologies
 - Starting point for model addressing non-digital information
- Provides set of minimal responsibilities to distinguish an OAIIS from other uses of 'archive'
- Framework for comparing architectures and operations of existing and future archives
- Basis for development of additional related standards
- Addresses a full range of archival functions
- Applicable to all long-term archives and those organizations and individuals dealing with information that may need long-term preservation
- Does NOT specify an implementation

Model View of an OAIIS Environment



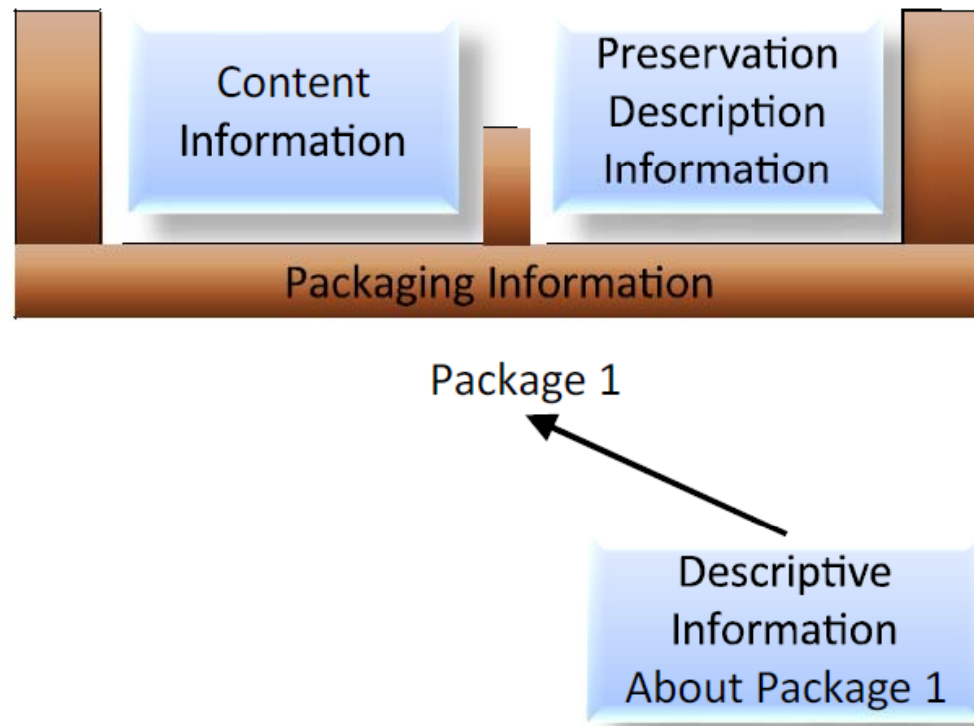
- Producer is the role played by those persons, or client systems, who provide the information to be preserved
- Management is the role played by those who set overall OAIIS policy as one component in a broader policy domain
- Consumer is the role played by those persons, or client systems, who interact with OAIIS services to find and acquire preserved information of interest

OAIS Information Definition

- Information is always expressed (i.e., represented) by some type of data
- Data interpreted using its Representation Information yields Information
- Information Object preservation requires clear identification and understanding of the Data Object and its associated Representation Information



Information Package Definition



- An Information Package is a conceptual container holding two types of information
 - Content Information
 - Preservation Description Information (PDI)
 - Plus descriptive information

Information Package Variants

■ **SIP:** Submission Information Package

- Negotiated between Producer and OAIS
- Sent to OAIS by a Producer

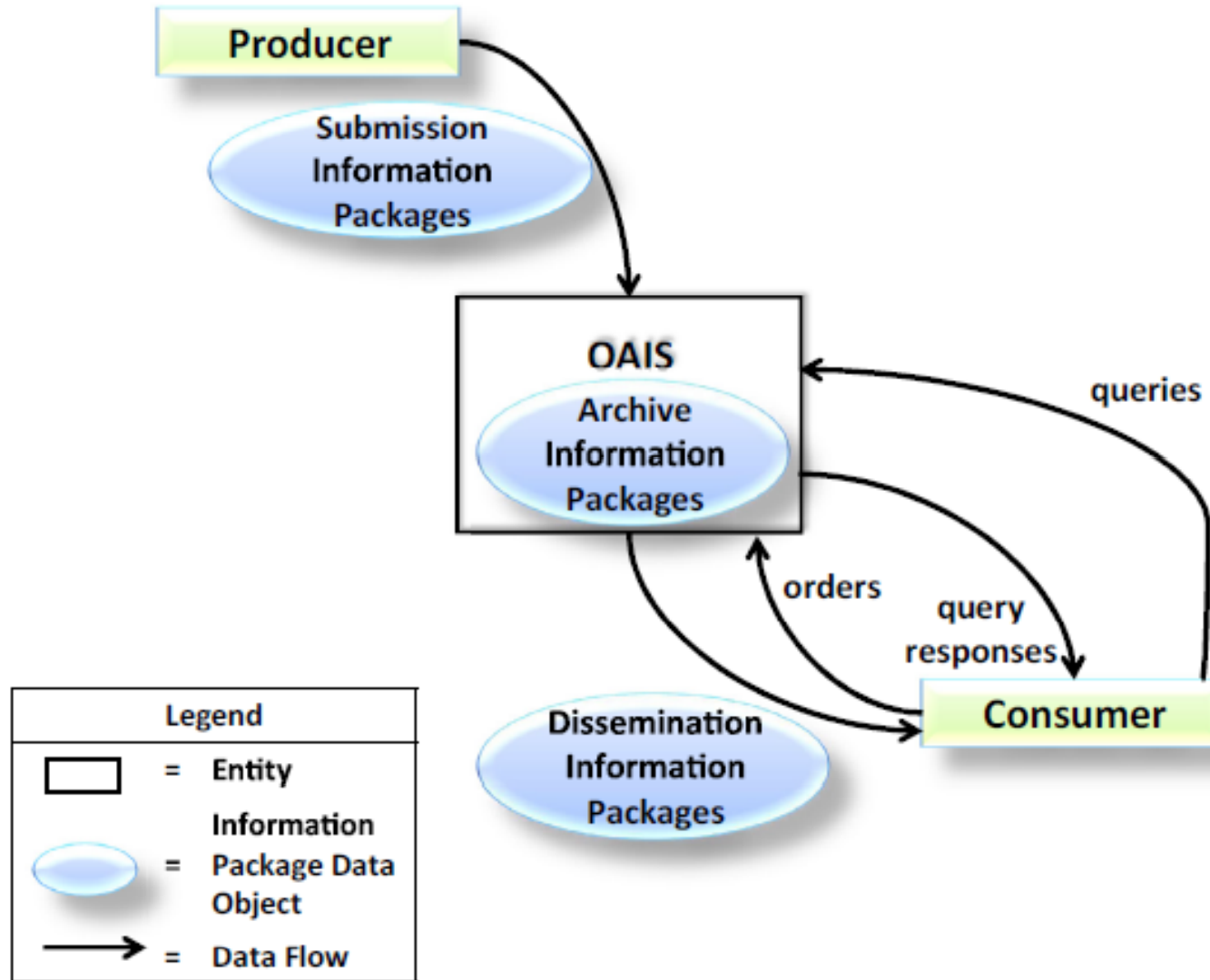
■ **AIP:** Archival Information Package

- Information Package used for preservation
- Includes complete set of Preservation Description Information (PDI) for the Content Information

■ **DIP:** Dissemination Information Package

- Includes part or all of one or more Archival Information Packages
- Sent to a Consumer by the OAIS

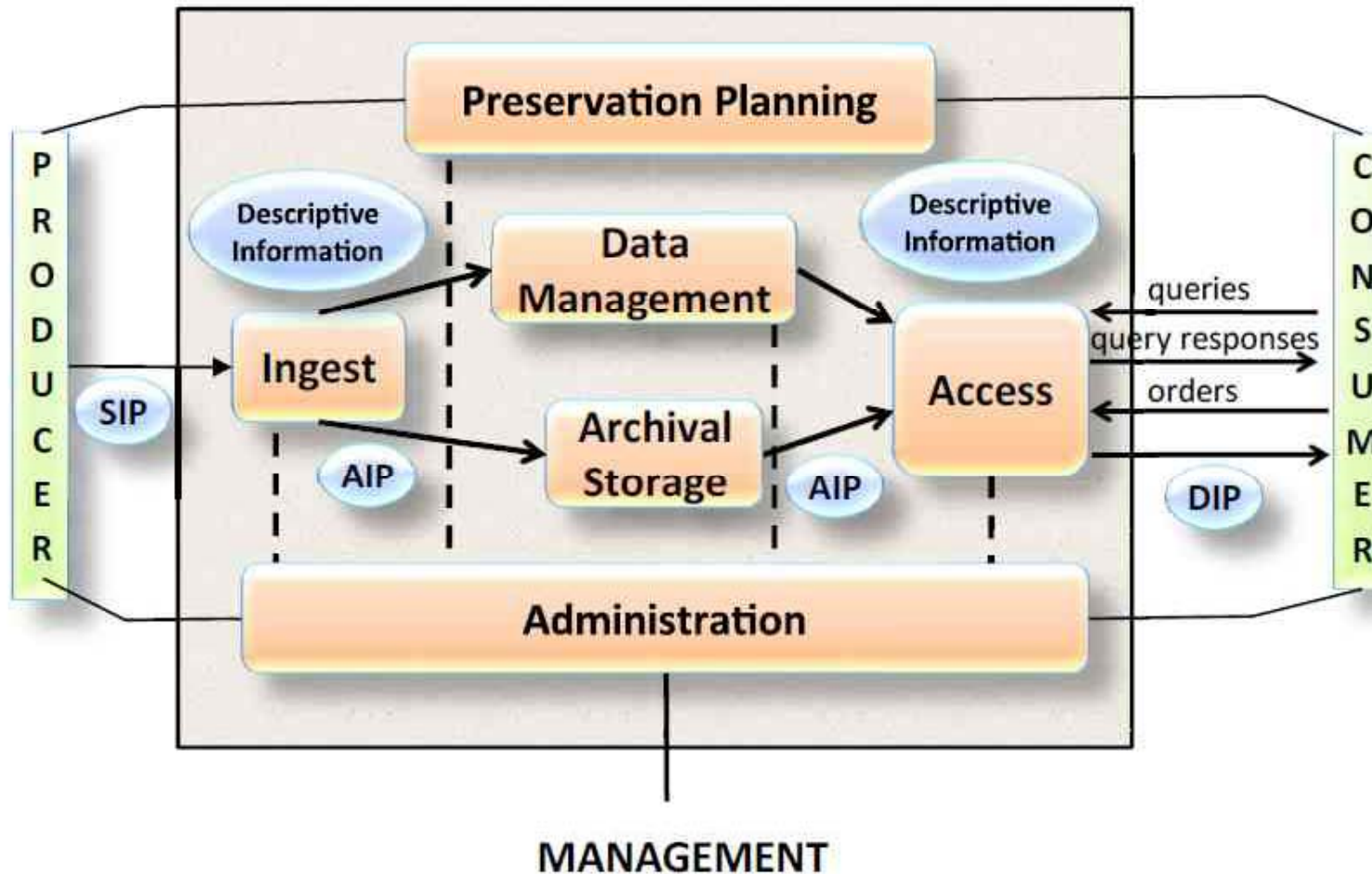
External Data Flow View



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Open Archival Information System: Six Functional Entities



SIP = Submission Information Package

AIP = Archival Information Package

DIP = Dissemination Information Package

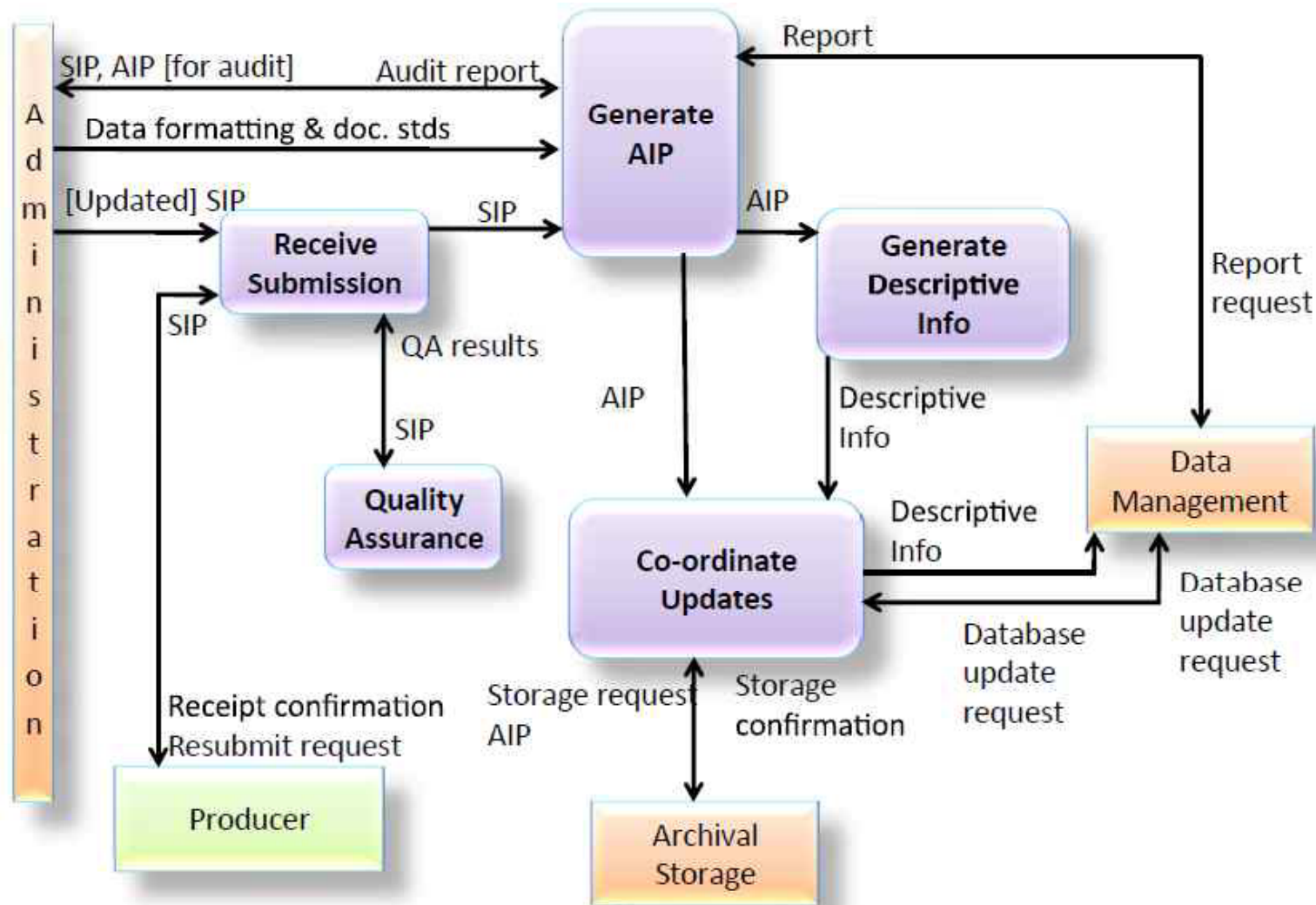
Functional Entities in an OAIS (1/2)

- **Ingest:** This entity provides the services and functions to accept Submission Information Packages (SIPs) from Producers and prepare the contents for storage and management within the archive
- **Archival Storage:** This entity provides the services and functions for the storage, maintenance and retrieval of Archival Information Packages
- **Data Management:** This entity provides the services and functions for populating, maintaining, and accessing both descriptive information which identifies and documents archive holdings and internal archive administrative data.

Functional Entities in an OAIS (2/2)

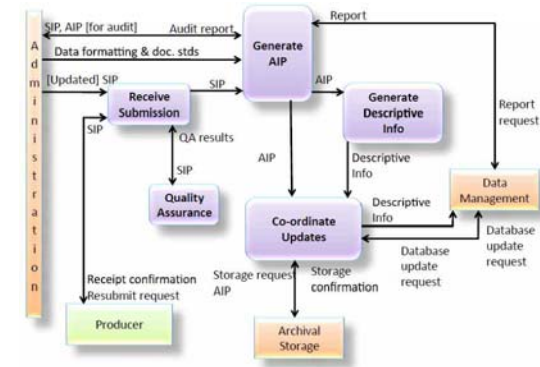
- **Administration:** This entity manages the overall operation of the archive system
- **Preservation Planning:** This entity monitors the environment of the OAIS and provides recommendations to ensure that the information stored in the OAIS remain accessible to the Designated User Community over the long term even if the original computing environment becomes obsolete.
- **Access:** This entity supports consumers in determining the existence, description, location and availability of information stored in the OAIS and allowing consumers to request and receive information products

Ingest Data Functions

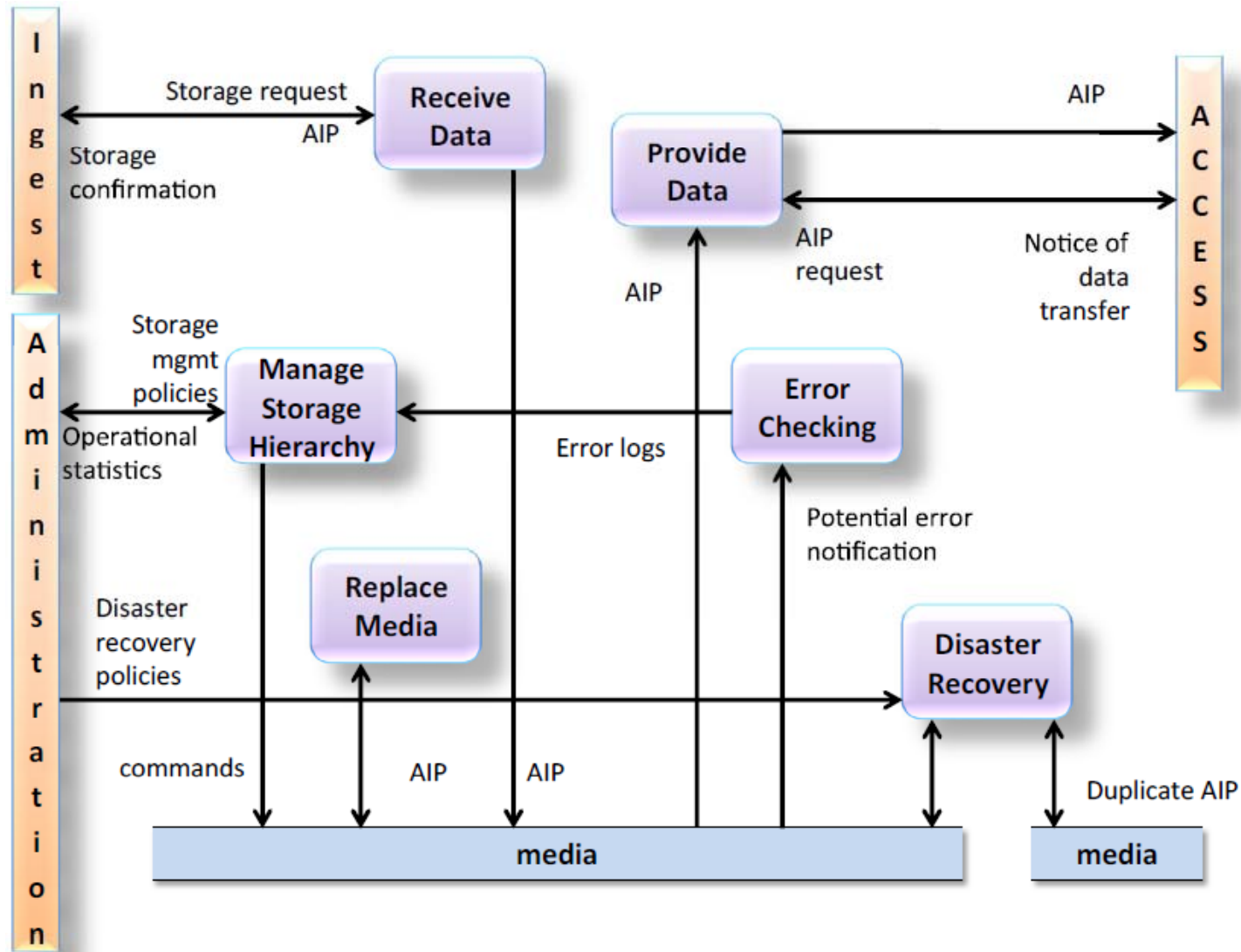


Ingest Data Functions

- Receive Submissions:
 - Zwischenspeicher (Staging Area) für Submissions
 - Bestätigung über Aufnahme in Zwischenspeicher
- Quality Assurance
 - Validierung der Submission (CRC, logs, identity checks, media)
- Generate AIP
 - Transformation von SIPs in AIPs entsprechend den Standards (Transformation, Migration, Umkodierung)
 - Weiterleitung der AIPs an Audit (Administration)
- Generate Descriptive Information
 - Sammlung bzw. Extraktion von deskriptiver Information zum AIP für Data Management und Access Aids
- Coordinate Updates
 - Transfer der AIPs zu Archival Storage
 - Bestätigung -> Deskriptive Information -> Data Management

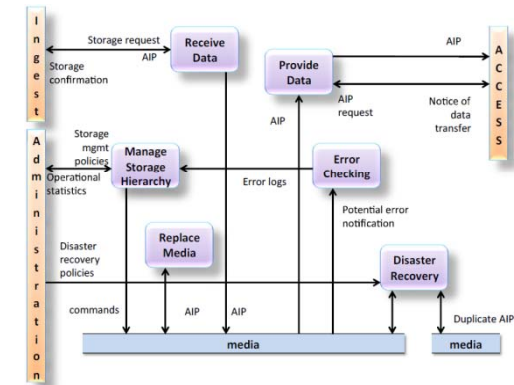


Archival Storage Functions

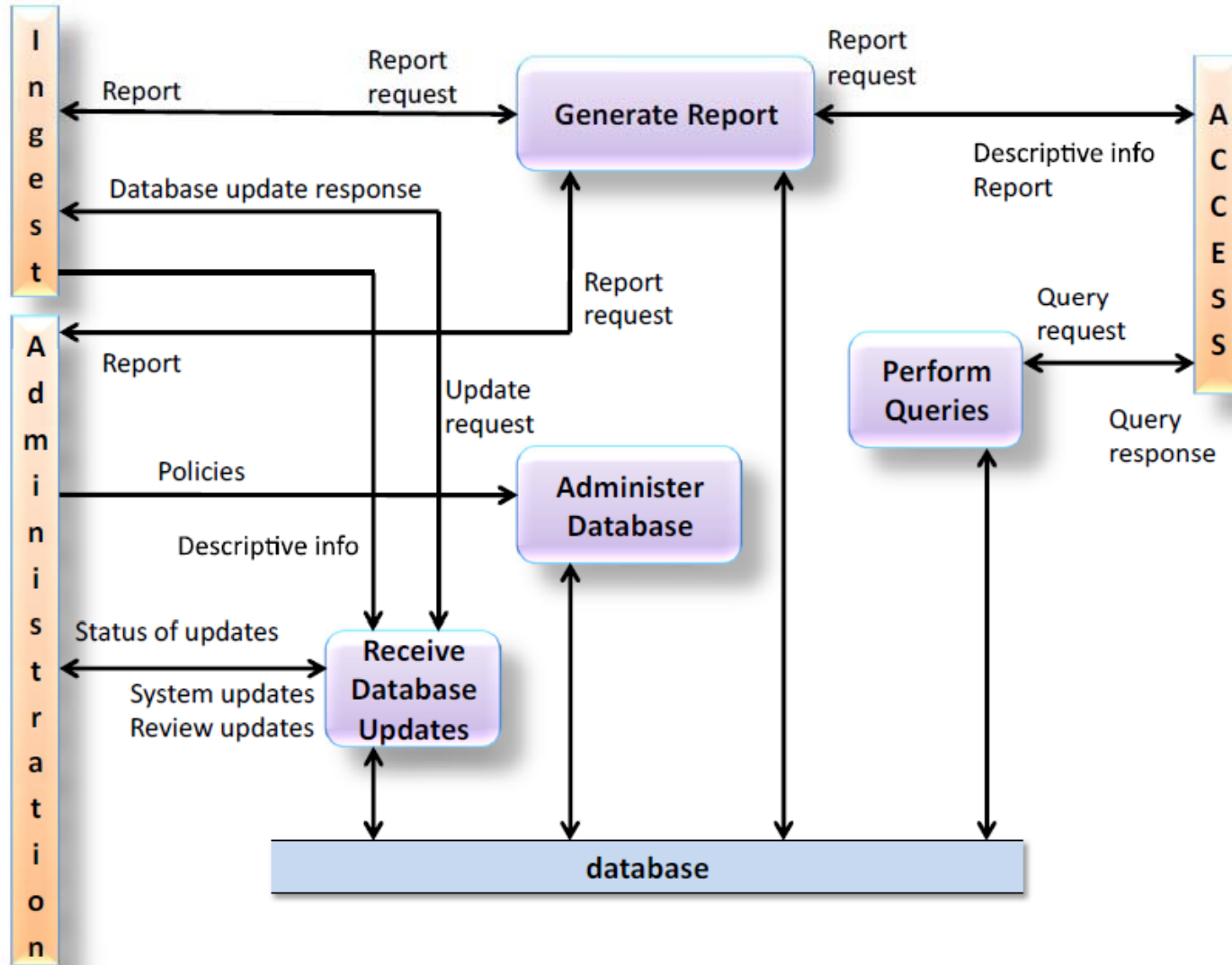


Archival Storage Functions

- Receive Data:
 - übernimmt Storage Request für AIP
 - entscheidet über Speicherort, Medien
 - retourniert Bestätigungsmeldung
- Manage Storage Hierarchy
 - Verwaltung entsprechend Policy
 - Überwachung von Fehlermeldungen, operationale Statistiken
- Replace Media
 - Reproduktion von AIPs über die Zeit (keine Änderung von Content oder Preservation Description Information, nur Packaging Information - andere Änderungen: Administration)
- Error Checking
 - PDI Fixity Information (CRCs, error-correcting codes, ...)
- Disaster Recovery
 - Duplizierung des Inhalts of Speichermedien
 - Transport an physisch getrennten Ort
- Provide Data
 - Kopien von AIPs für Access

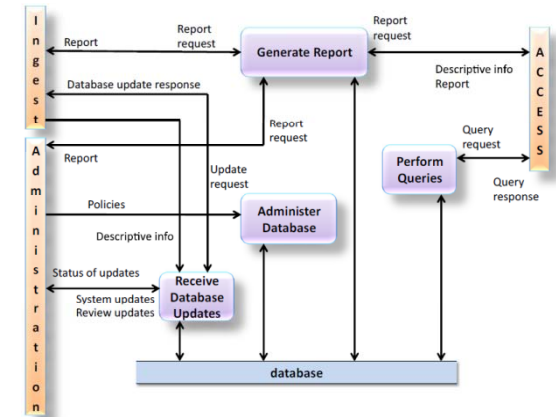


Data Management Functions



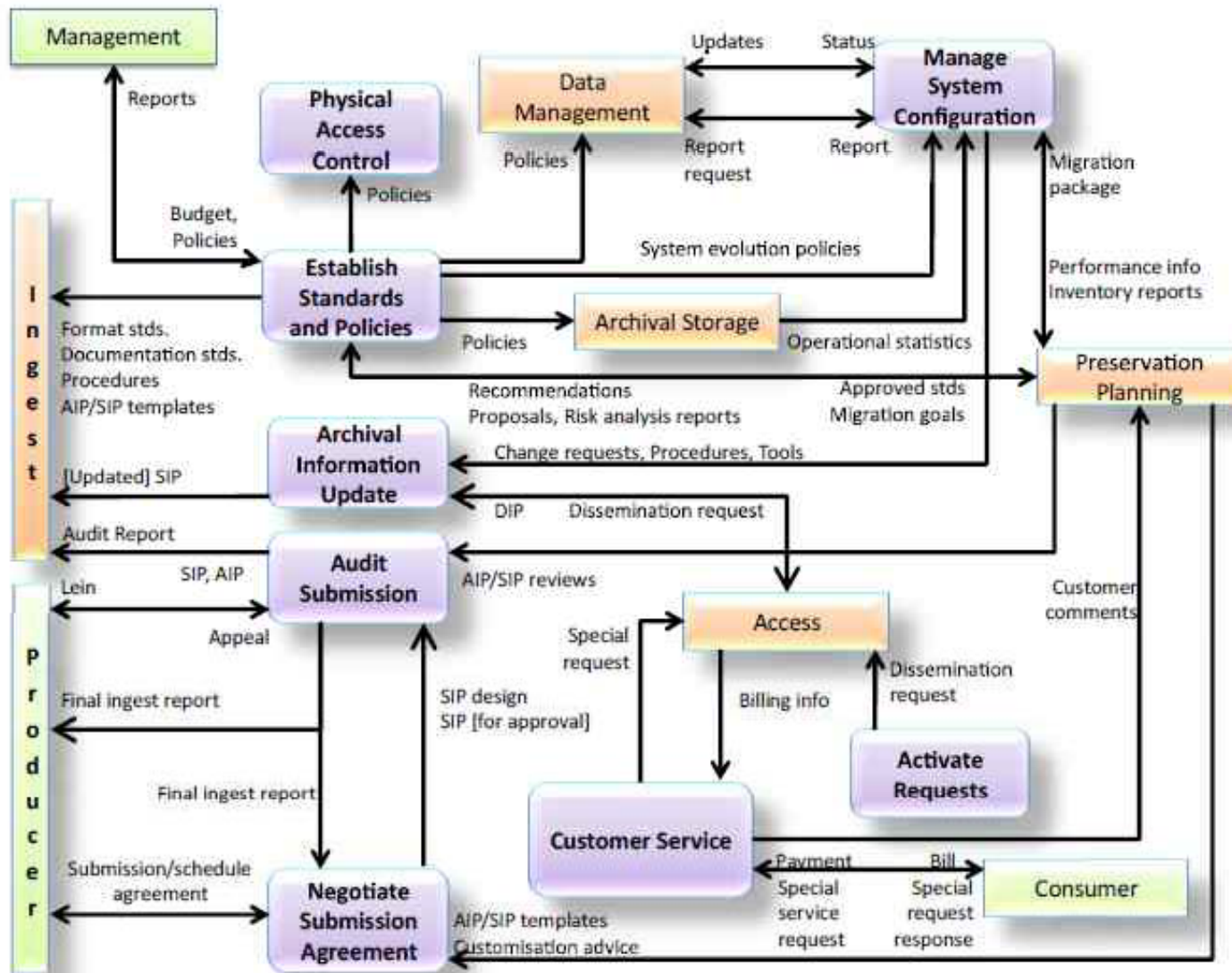
Data Management Functions

- Administer Database
 - Integrität der DB für Descriptive Information und Systeminformation
- Perform Queries
 - Bearbeitung von Anfragen durch Access
- Generate Reports
 - Berichte für Ingest, Access, Administration
- Receive DB Updates
 - Fügt hinzu/Löscht/Modifiziert Information in Management DB
 - Ingest: neue AIPs, Administration: updates



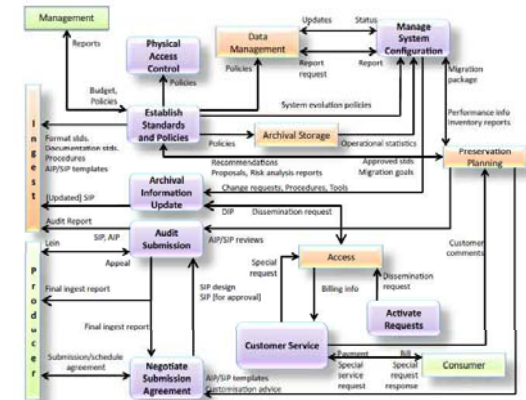
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Administration Functions



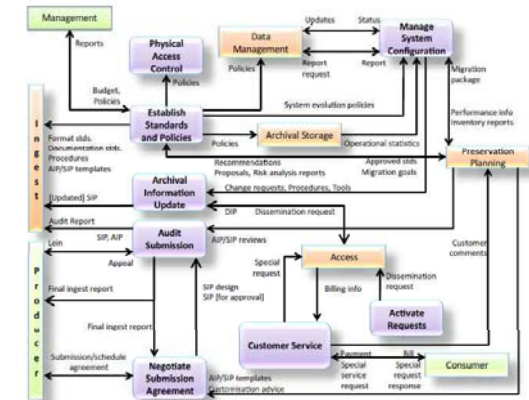
Administration Functions

- Negotiate Submission Agreement
 - Verträge mit Produzenten, Übergabe, Prozedere
- Manage System Configuration
 - Systementwicklung, Überwachung der Funktion
 - Informationen für Policies
- Archival Information Update
 - Aktualisiert den Inhalt des Archivs: Änderung der DIPs und Re-Submission -> Migration
- Establish Standards and Policies
 - Budget, Standards, Policies
- Audit Submission
 - Analyse ob SIPs und AIPs den Vorschriften entsprechen
 - Verifikation der Representation und Package Information

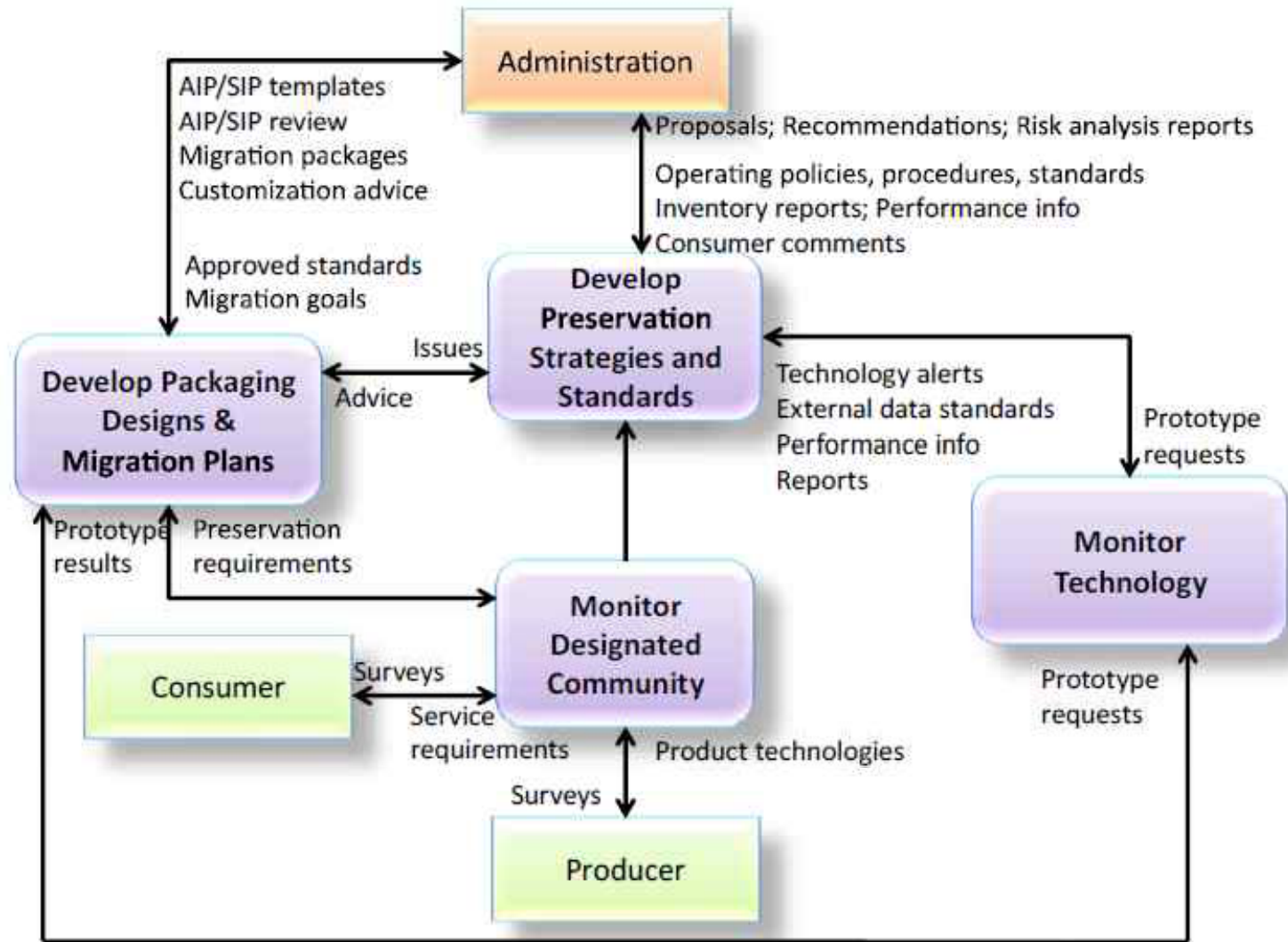


Administration Functions

- Activate Requests
 - Aufzeichnungen über ereignisgesteuerte Abfragen
 - regelmäßige Abfragen an Archiv um Vorhandensein der Daten zu verifizieren
 - Bestellungen auf periodischer Basis
- Customer Service
 - Kundenaccounts
 - sammelt Kosten von Access, erstellt Rechnungen für Kunden

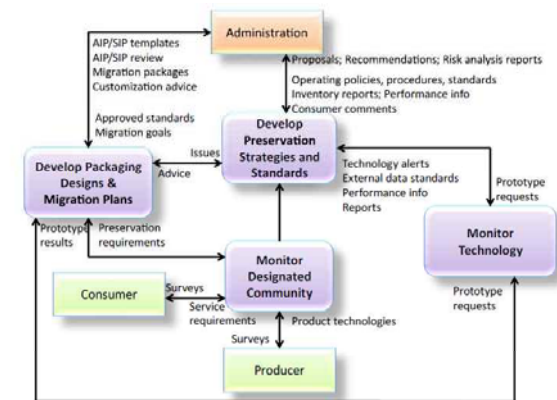


Preservation Planning Functions

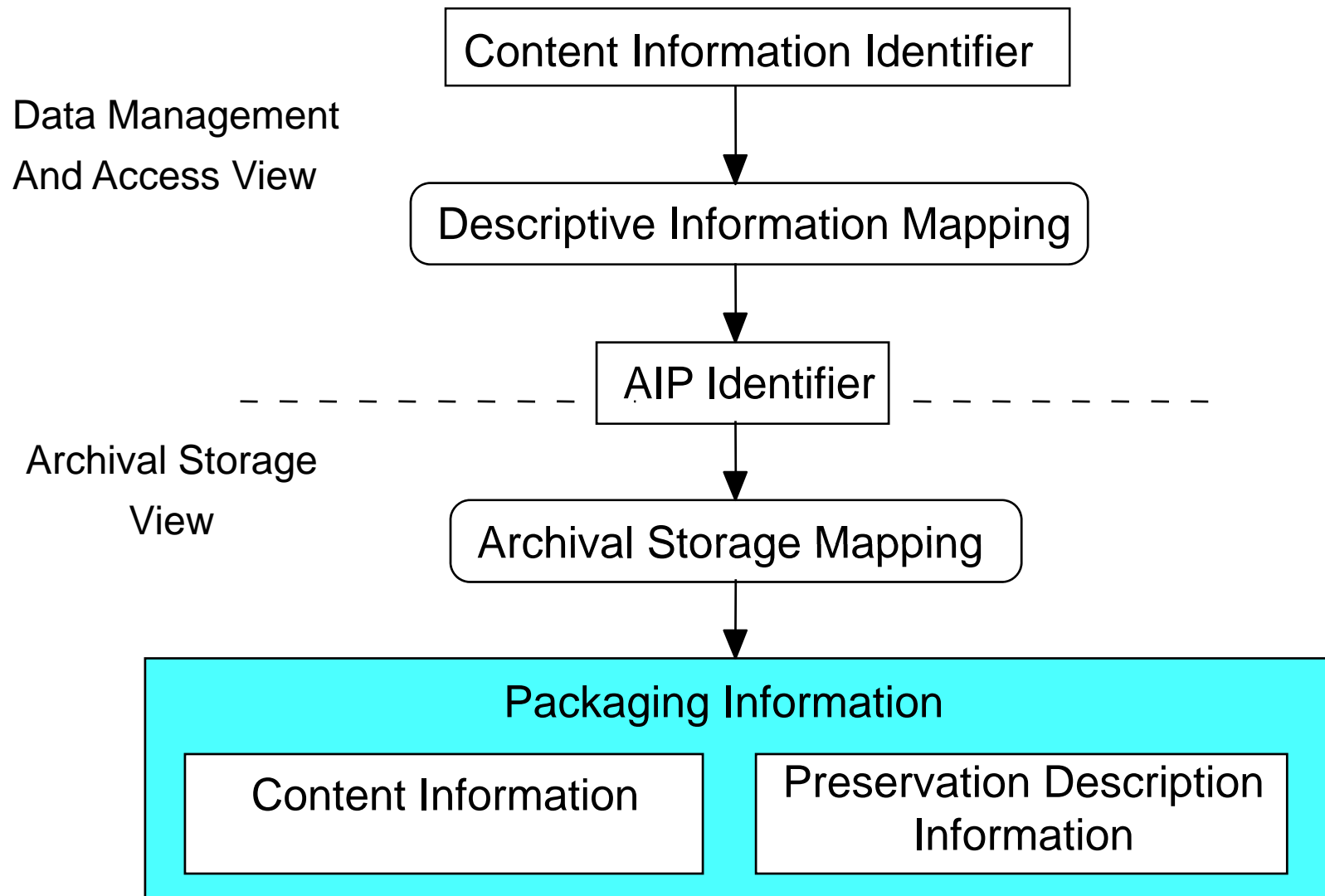


Preservation Planning Functions

- Monitor Designated Community
 - interaktion mit Produzenten und Kunden
- Monitor Technology
 - Technologieentwicklung: HW, SW, Formate
- Develop Preservation Strategies and Standards
 - Strategien, Entwicklungen, Vorhersage von Trends
- Develop Packaging Designs and Migration Plans
 - Migrationspfade, Tools
 - Erstellung von Preservation Description Information



Migration Context



Data Management
And Access View

Archival Storage
View

Digital Migration

Digital Migration is defined to be the transfer of digital information, while intending to preserve it, within the OAIS.

- Focus on preservation of the full information content
- New information implementation replaces the old
- OAIS has full control and responsibility over all aspects of the transfer

Migration Motivators

- Motivators driving digital migrations
 - Media Decay
 - Often this is superceded by escalating media drive maintenance costs
 - Increased Cost Effectiveness
 - More cost-effective media types with higher volumes and lower drive maintenance costs
 - New User/Consumer Service Requirements
 - New formats more compatible with user's technology and applications
 - Proprietary software evolution
 - New software versions used to 'upgrade' formats of the information objects being preserved

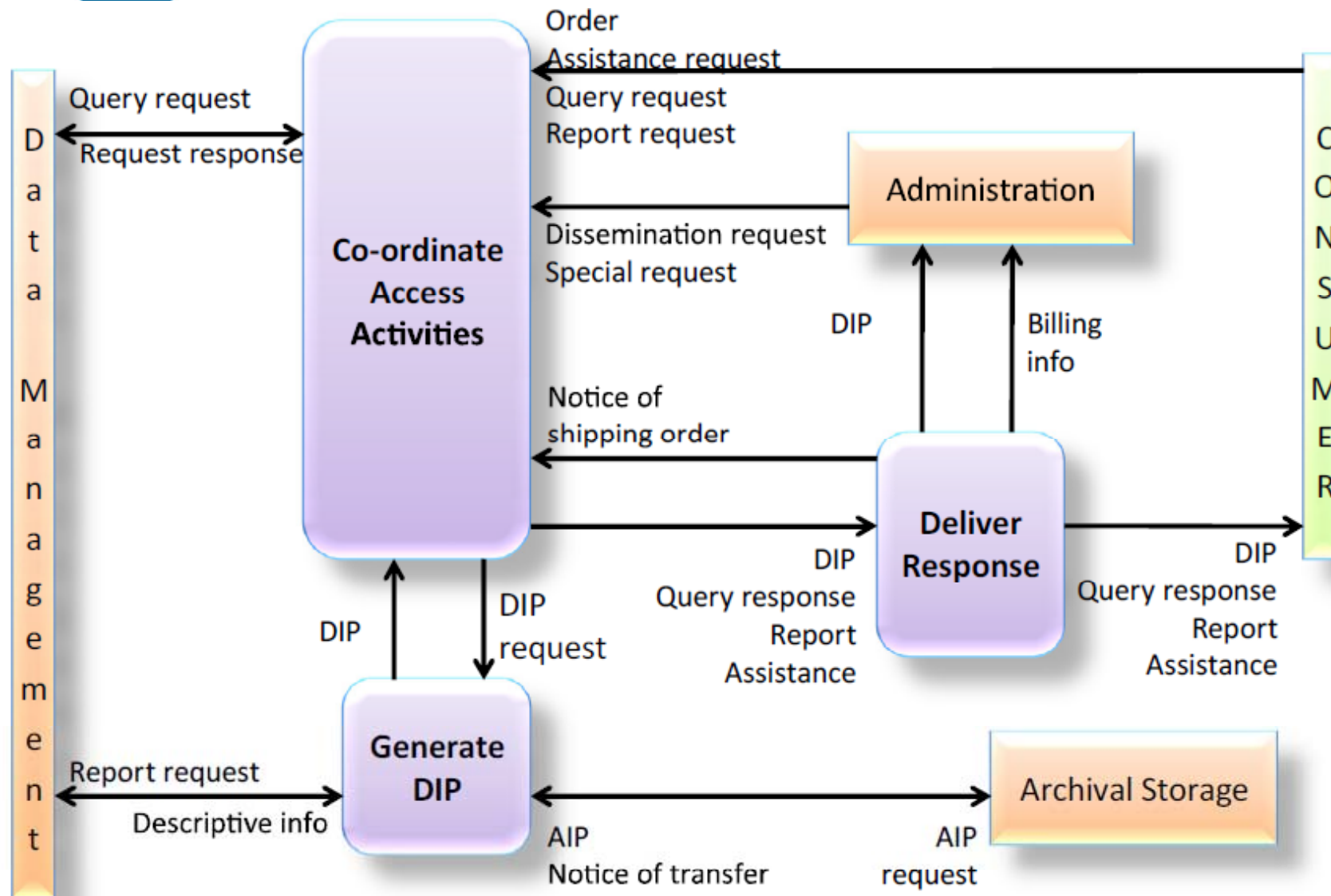
Digital Migration Approaches

- Four primary types of digital migration in response to motivators, ordered by increasing risk of information loss:
 - Refreshment
 - Media replacement with no bit changes
 - Replication
 - No change to Packaging Information or Content Information bits
 - Repackaging
 - Some bit changes in Packaging Information
 - Transformation
 - Reversible: Bit changes in Content Information are reversible by an algorithm
 - Non-reversible: Bit changes in Content Information are not reversible by an algorithm

Digital Migration and AIPs

- Unless migration involves transformation:
no new AIP version
- Transformation:
new **AIP Version**
- Upgrading or improvement of AIPs:
new **AIP Edition**
- Extracting or aggregating from multiple AIPs:
Derived AIP

Access Functions



Access Functions

- Coordinate Access Activities

- Benutzerschnittstelle, Autorisierung
- 3 Arten von Requests:

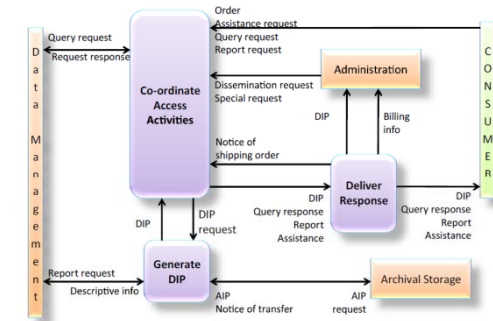
- Anfragen für Data Management mit Result Set
- Bestellungen für Data Management und Archival Storage
- Dissemination Requests durch Administration für Archival Information Update

- Generate DIP

- Holt Daten aus Archival Storage in Staging Area
- Holt Descriptive Information von Data Management
- Anwendung von Prozessen zur Transformatin des AIPs in ein geeignetes DIP für die jeweilige Anfrage

- Deliver Response

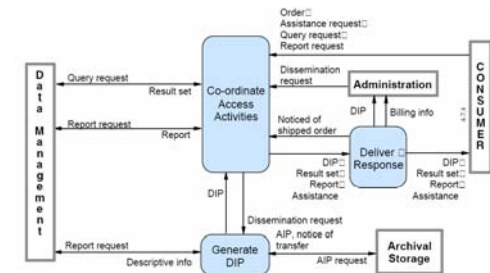
- on-line und off-line Anfragen
- Weiterleitung des Ergebnisses



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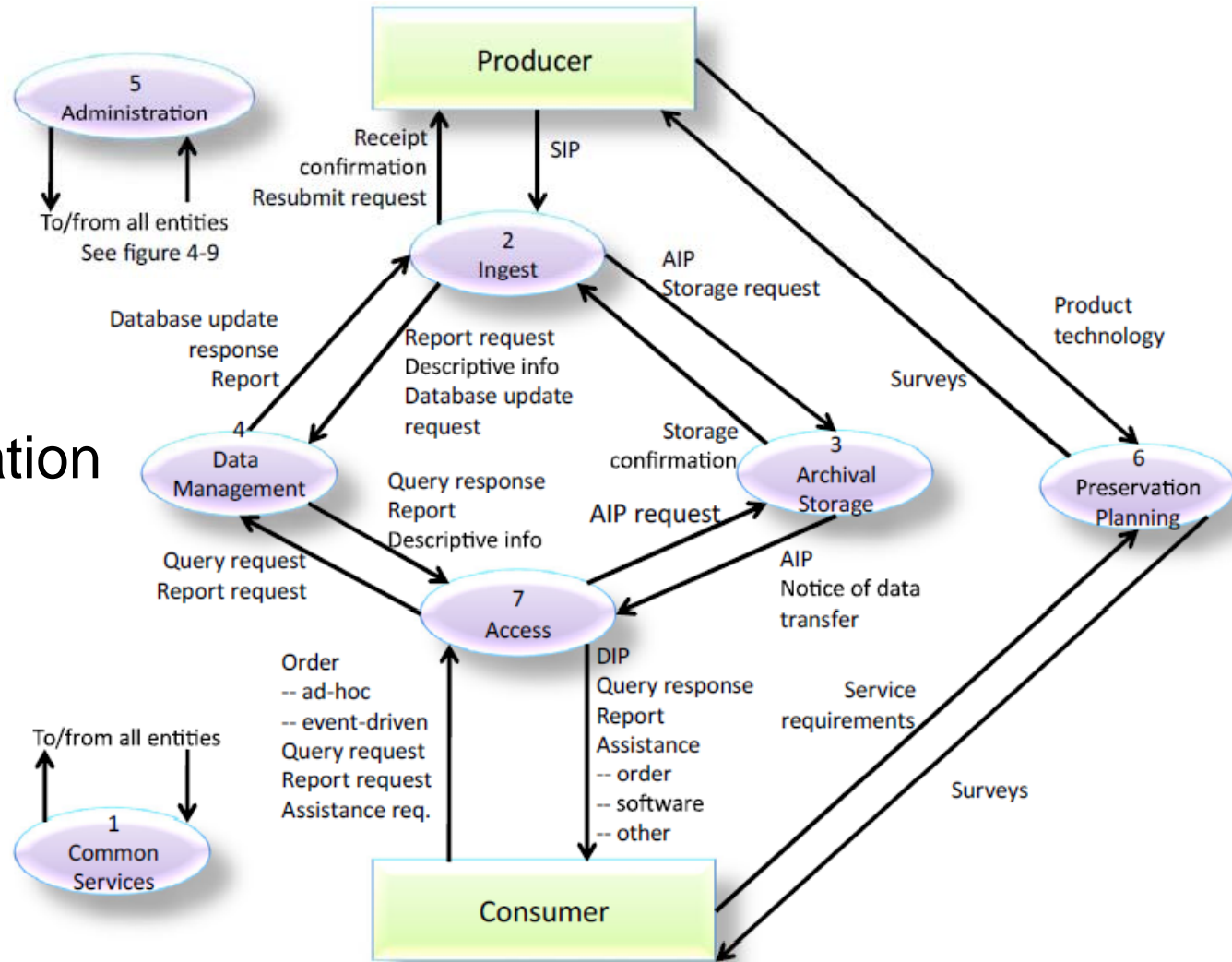
Access Preservation

- Effective access to digital information requires the use of software
- Application Programming Interfaces (APIs) may be cost-effectively maintained across time by an OAIIS when:
 - API is not too complex
 - API is applicable to a wide variety of AIUs
- API source code may be ported to new environments
 - Extensive testing is needed to ensure against information loss
- Preservation of executables by full emulation of underlying hardware is problematic
 - Hard to know what is the information being preserved
 - May not be possible to fully emulate associated devices

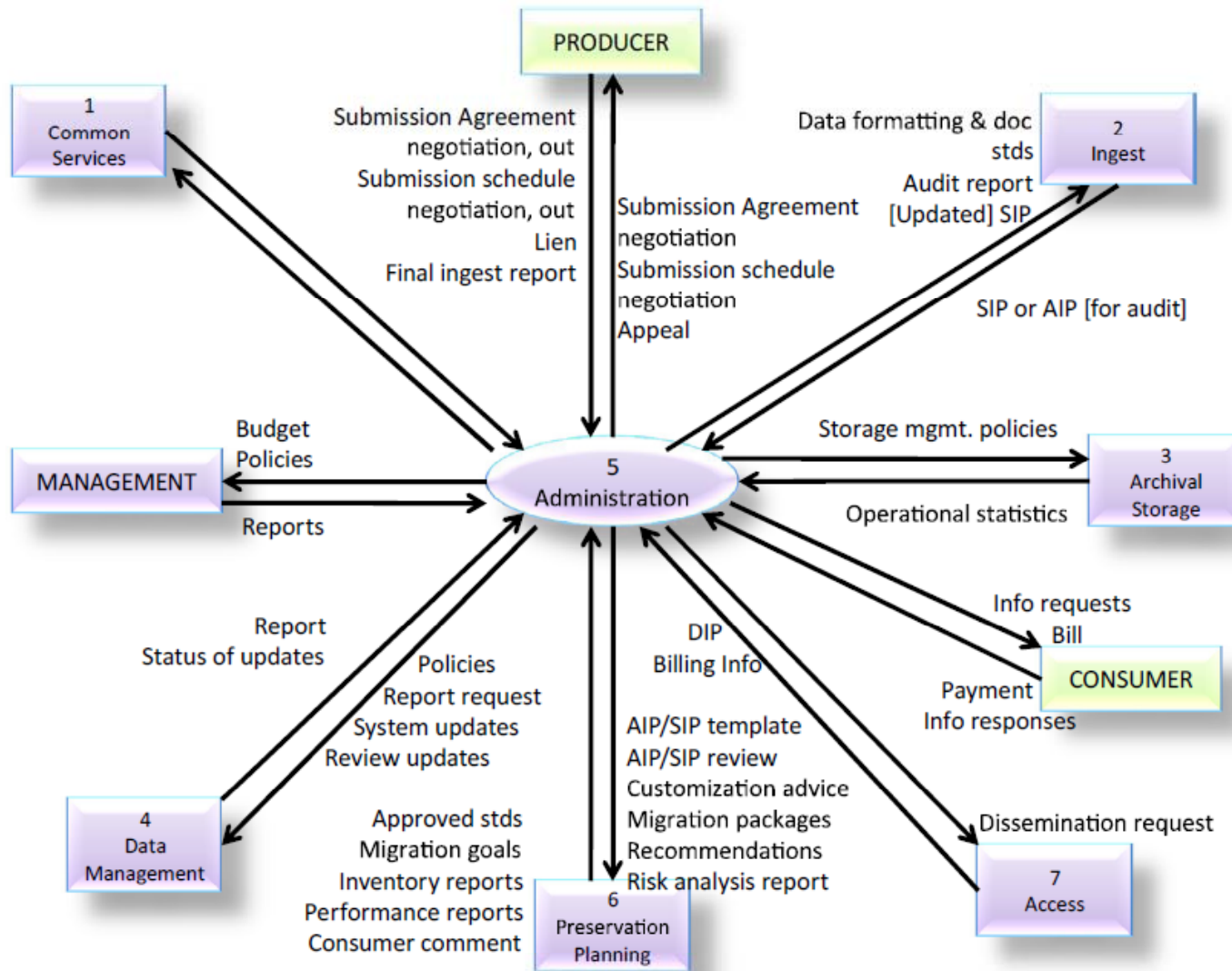


OAIS Data Flow

■ w/o administration



OAIS Data Flow



Common Services

- Modern, distributed computing applications assume a number of supporting services
- Examples of Common Services include:
 - inter-process communication
 - name services
 - temporary storage allocation
 - exception handling
 - security
 - file and directory services

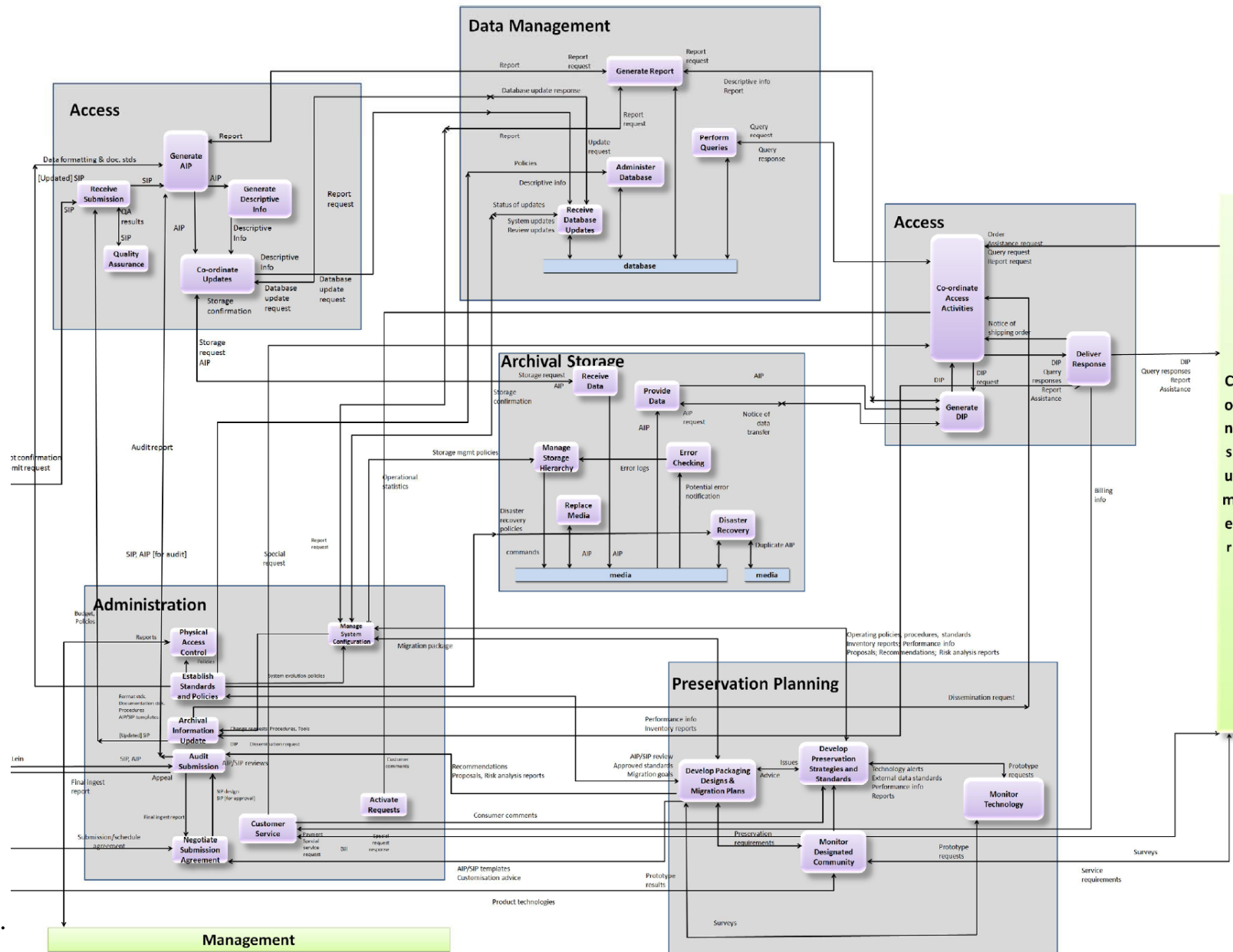
Common Services

- Wichtig:
 - alle Schritte, Aktionen dokumentiert (protokolliert)
 - Reporting
 - Bestätigungen

 - Sind Teil des Archivs

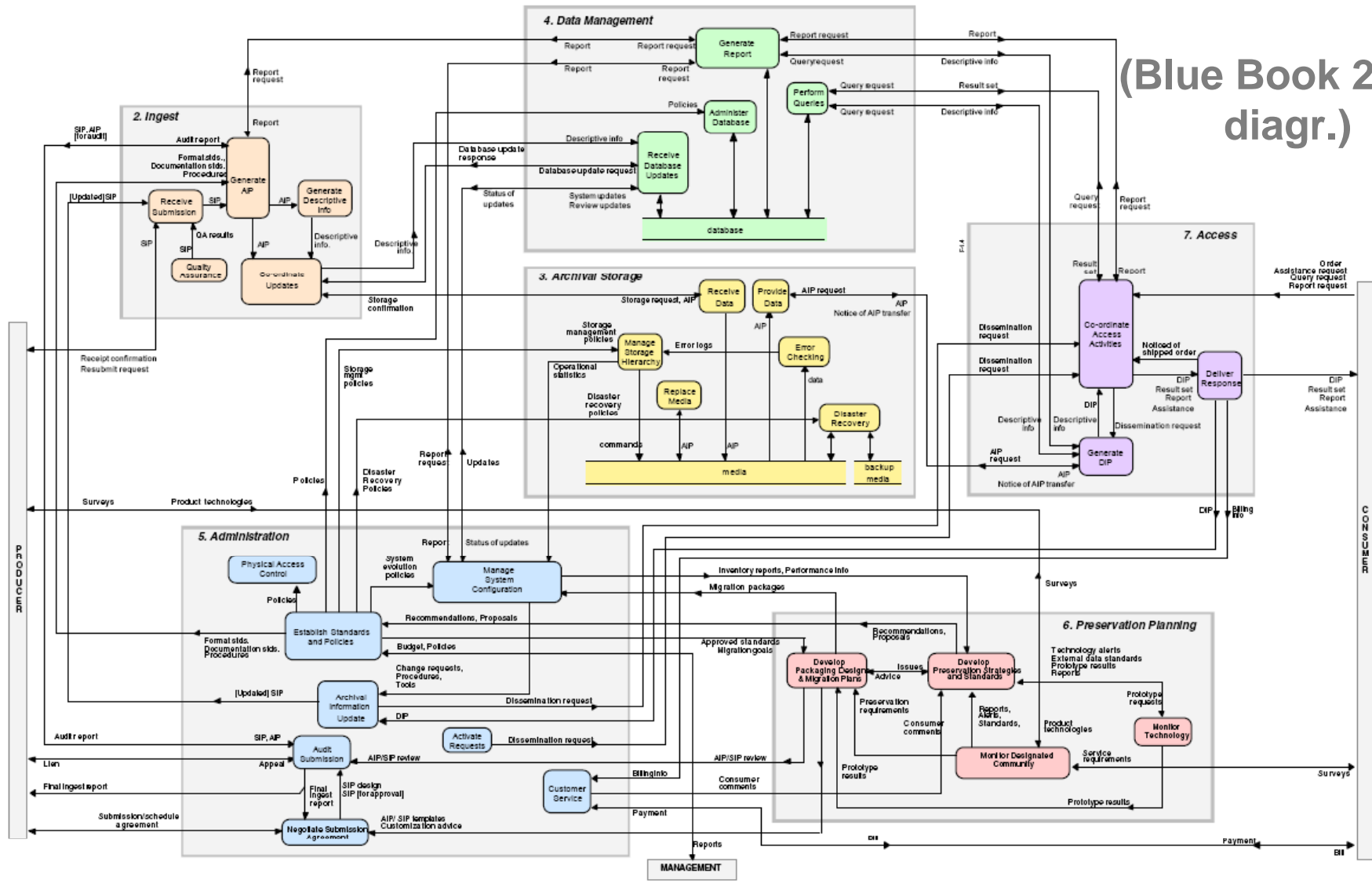
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OAIS Composite Functional Entities

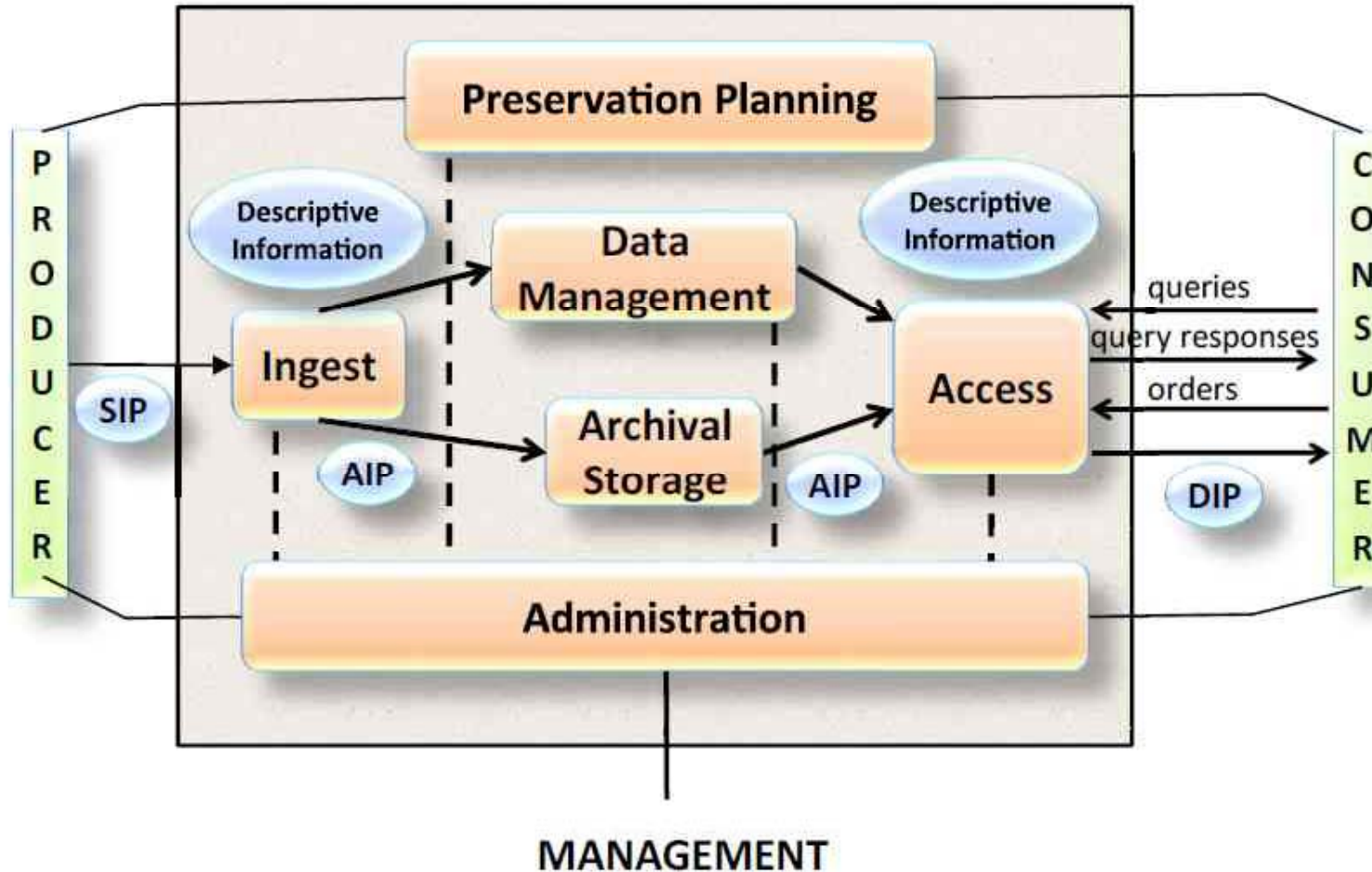


OAIS Composite Functional Entities

(Blue Book 2002 diagr.)



Open Archival Information System: Summary



SIP = Submission Information Package

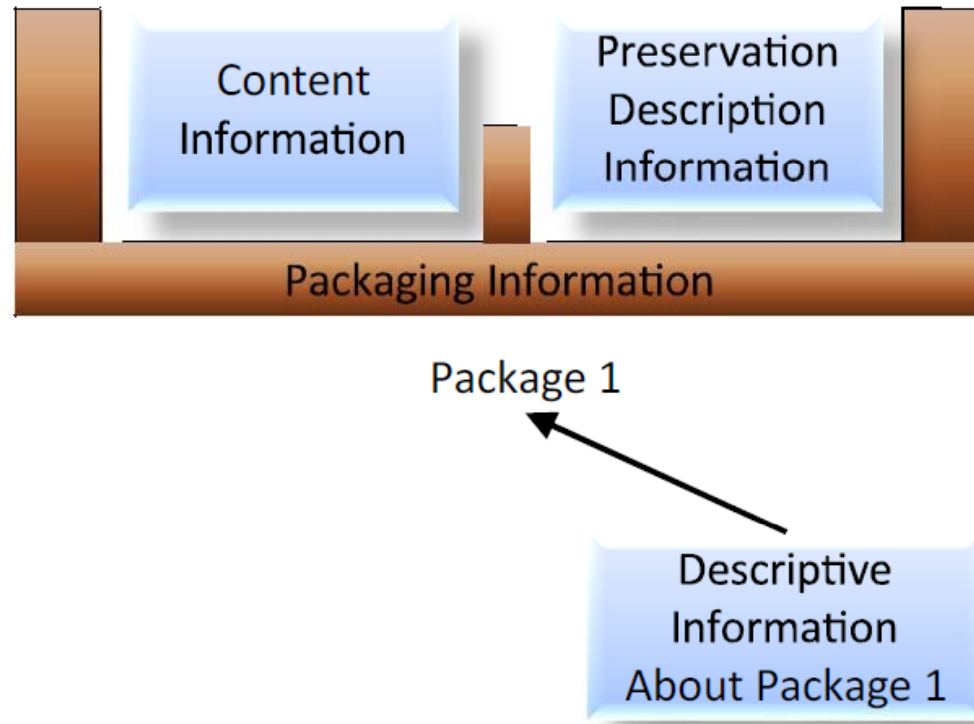
AIP = Archival Information Package

DIP = Dissemination Information Package

Outline

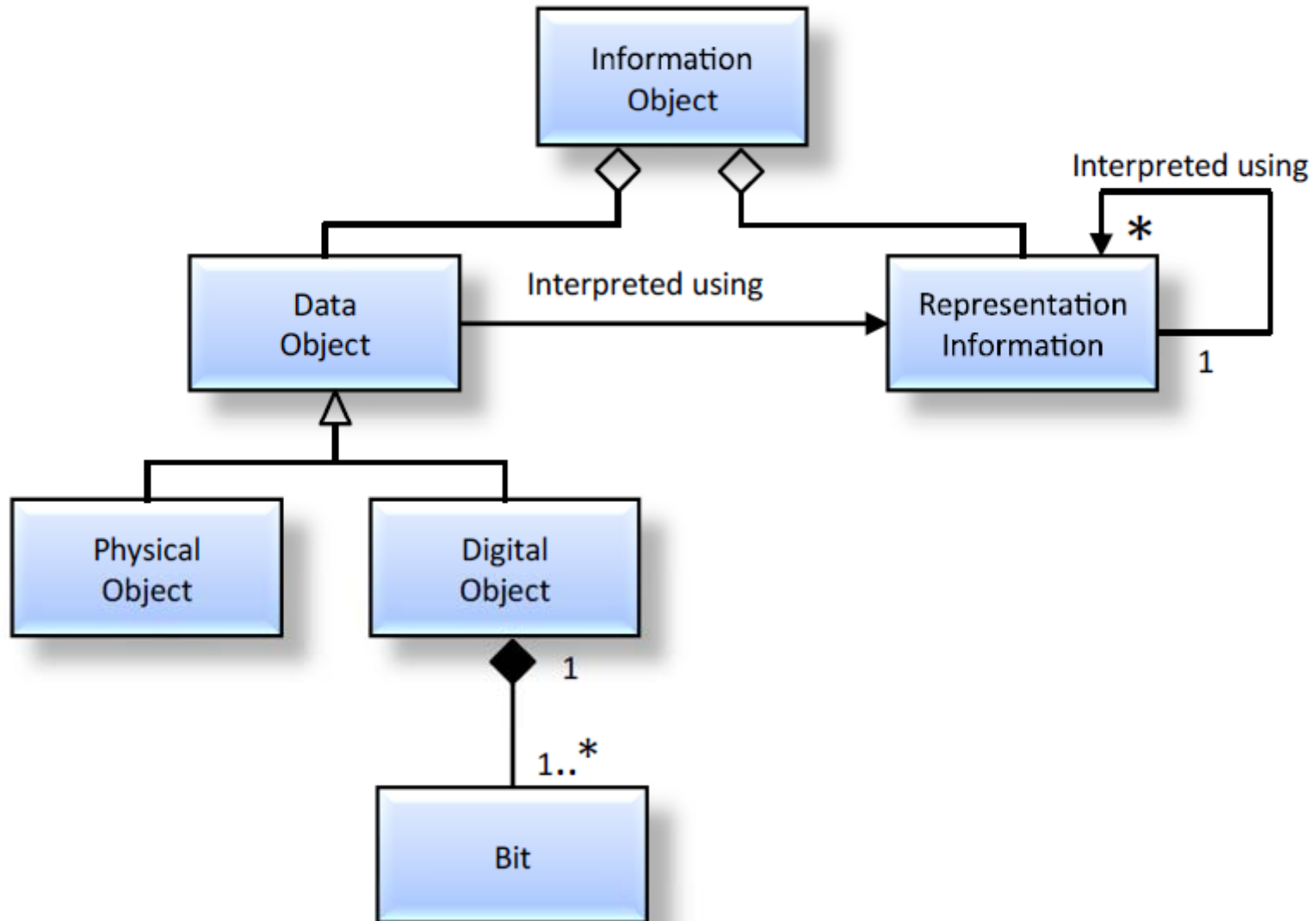
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Information Package Definition



- An Information Package is a conceptual container holding two types of information
 - Content Information
 - Preservation Description Information (PDI)
- Plus descriptive information

Information Object

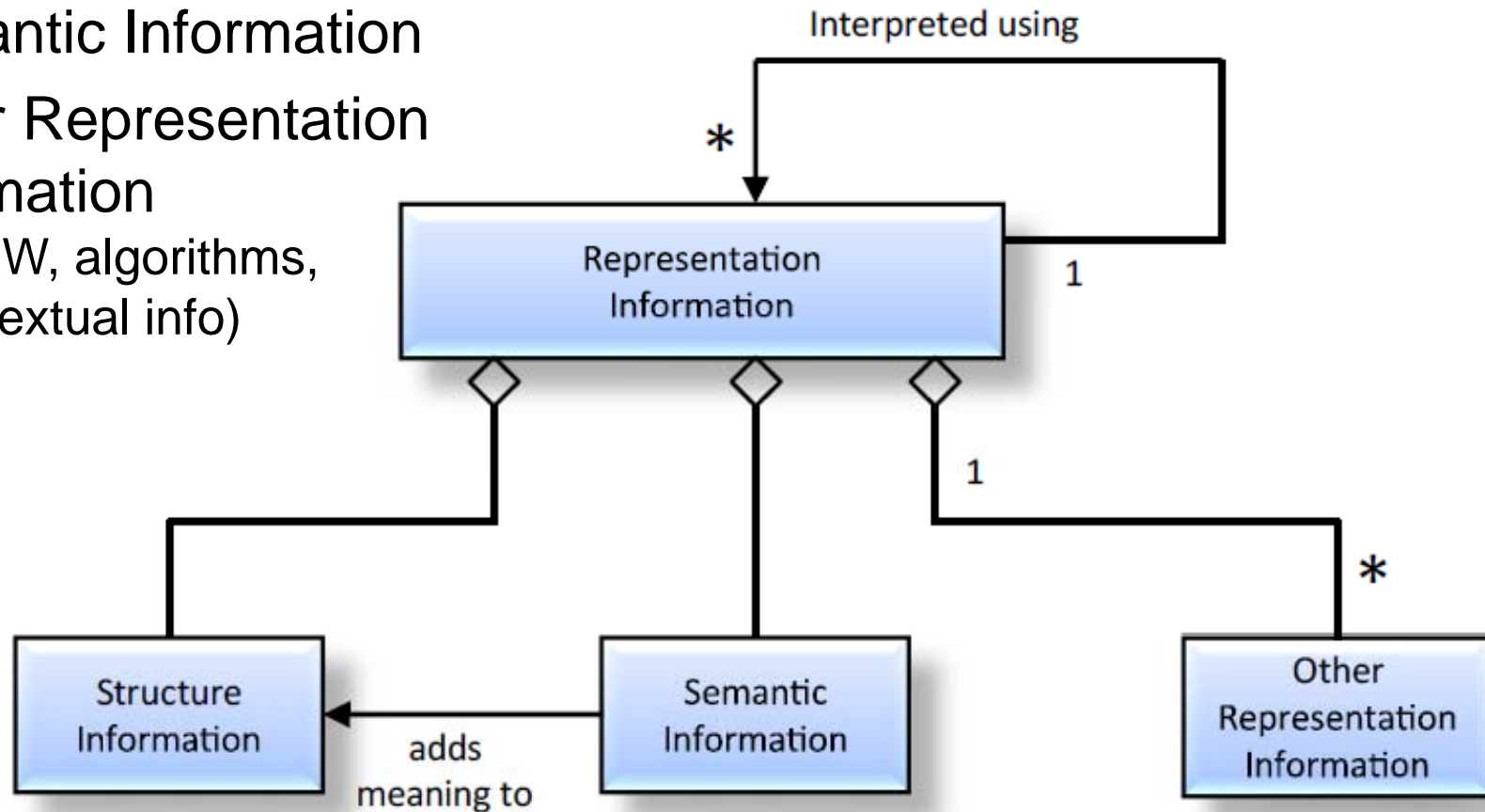


Representation Information

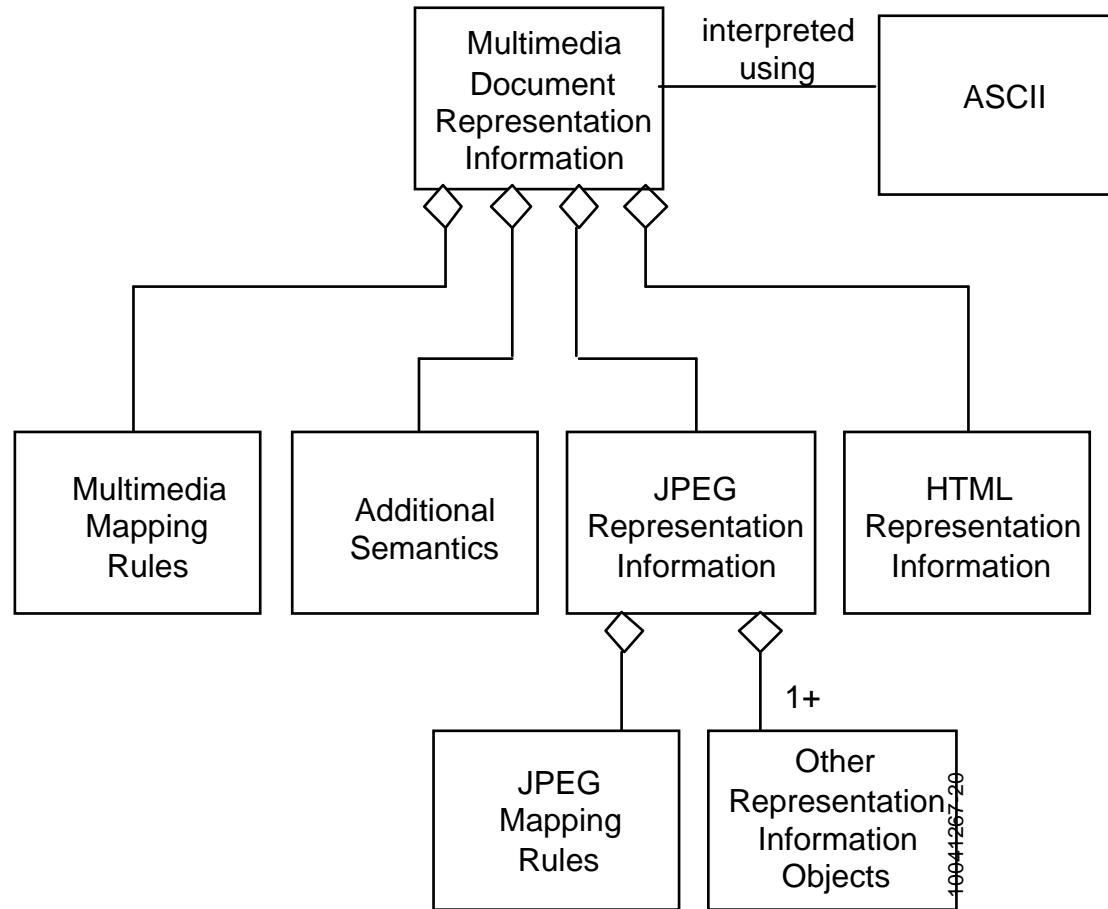
- The Representation Information accompanying a physical object, like a moon rock, may give additional meaning
 - It typically is a result of some analysis of the physically observable attributes of the rock
- The Representation Information accompanying a digital object, or sequence of bits, is used to provide additional meaning.
 - It typically maps the bits into commonly recognized data types such as character, integer, and real and into groups of these data types.
 - It associates these with higher level meanings which can have complex inter-relationships that are also described

Recursive Nature of Representation Information

- Structure Information
- Semantic Information
- Other Representation Information
(e.g. SW, algorithms, other textual info)

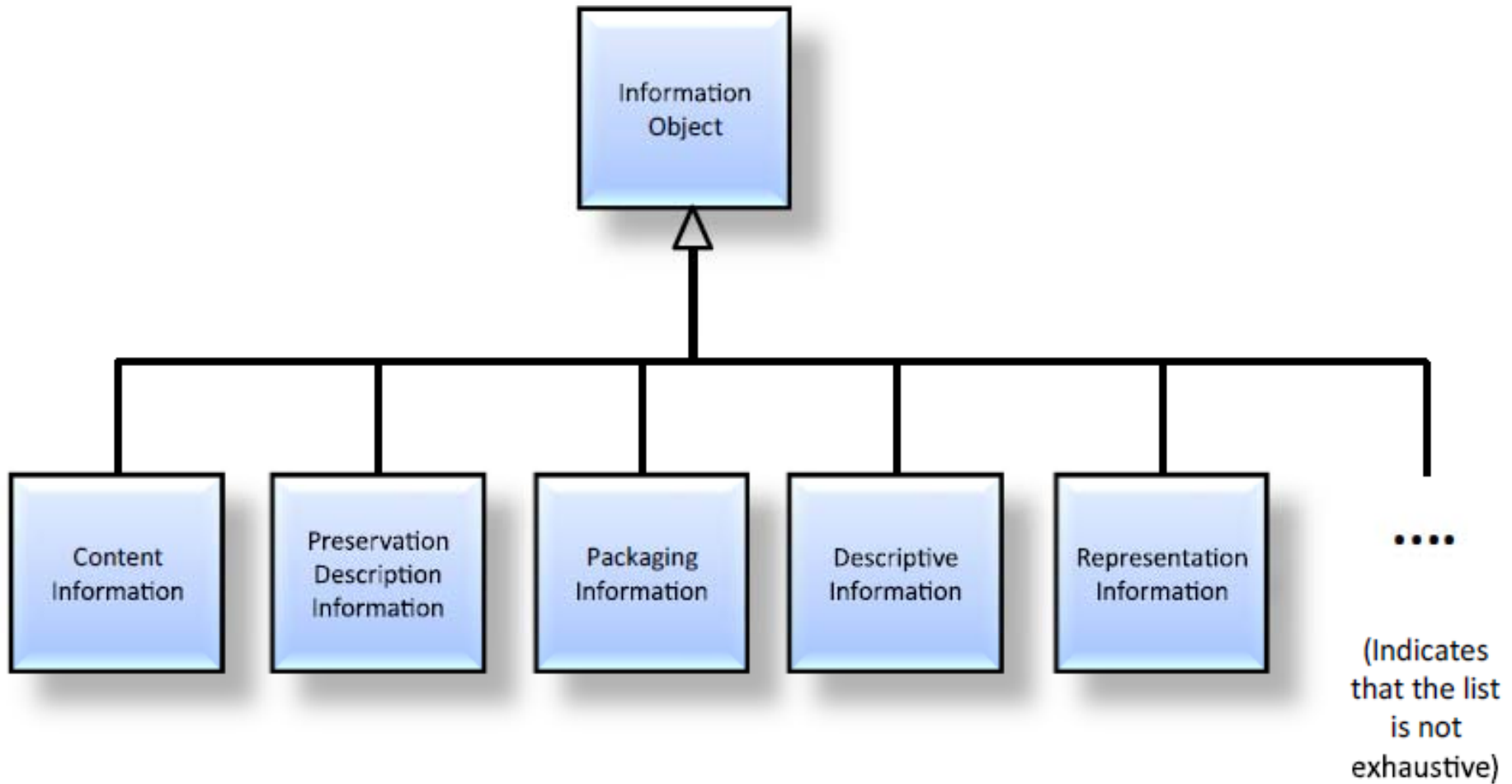


Sample Representation Net



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Types of Information Used in OAIS



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Content Information

- The information which is the primary object of preservation
- An instance of Content Information is the information that an archive is tasked to preserve.
- Deciding what is the Content Information may not be obvious and may need to be negotiated with the Producer
- The Data Object in the Content Information may be either a Digital Object or a Physical Object (e.g., a physical sample, microfilm)

- **Provenance Information**
 - Describes the source of Content Information, who has had custody of it, what is its history
- **Context Information**
 - Describes how the Content Information relates to other information outside the Information Package
- **Reference Information**
 - Provides one or more identifiers, or systems of identifiers, by which the Content Information may be uniquely identified
- **Fixity Information**
 - Protects the Content Information from undocumented alteration

PDI Examples

Content Information Type	Reference	Provenance	Context	Fixity	Access Rights
Space Science Data	<ul style="list-style-type: none"> Object identifier Journal reference Mission, instrument, title, attribute set 	<ul style="list-style-type: none"> Instrument description Principal Investigator Processing history Storage and handling history Sensor description Instrument Instrument mode Decommutation map Software interface specification Information Property Description 	<ul style="list-style-type: none"> Calibration history Related data sets Mission Funding history 	<ul style="list-style-type: none"> CRC Checksum Reed-Solomon coding 	<ul style="list-style-type: none"> Identification of the properly authorized Designated Community (Access Control) Permission grants for preservation and for distribution Pointers to Fixity and Provenance Information (e.g., digital signatures, and rights holders)

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PDI Examples

<p>Digital Library Collections</p>	<ul style="list-style-type: none"> • Bibliographic description • Persistent identifier 	<ul style="list-style-type: none"> • For scanned collections: <ul style="list-style-type: none"> • metadata about the digitization process • pointer to master version • For born-digital publications: <ul style="list-style-type: none"> • pointer to the digital original • Metadata about the preservation process: <ul style="list-style-type: none"> • pointers to earlier versions of the collection item • change history • Information Property Description 	<ul style="list-style-type: none"> • Pointers to related documents in original environment at the time of publication 	<ul style="list-style-type: none"> • Digital signature • Checksum • Authenticity indicator 	<ul style="list-style-type: none"> • Legal framework(s) • Licensing offers • Specifications for rights enforcement measures applied at dissemination time • Permission grants for preservation and for distribution • Information about watermarking applied at submission and preservation time • Pointers to Fixity and Provenance Information (e.g., digital signatures, and rights holders)
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PDI Examples

Content Information Type	Reference	Provenance	Context	Fixity	Access Rights
Software Package	<ul style="list-style-type: none"> Name Author/Originator Version number Serial number 	<ul style="list-style-type: none"> Revision history Registration Copyright Information Property Description 	<ul style="list-style-type: none"> Help file User guide Related software Language 	<ul style="list-style-type: none"> Certificate Checksum Encryption CRC 	<ul style="list-style-type: none"> Designated Community Legal framework(s) Licensing offers Specifications for rights enforcement measures applied at dissemination time Pointers to Fixity and Provenance Information (e.g., digital signatures, and rights holders)

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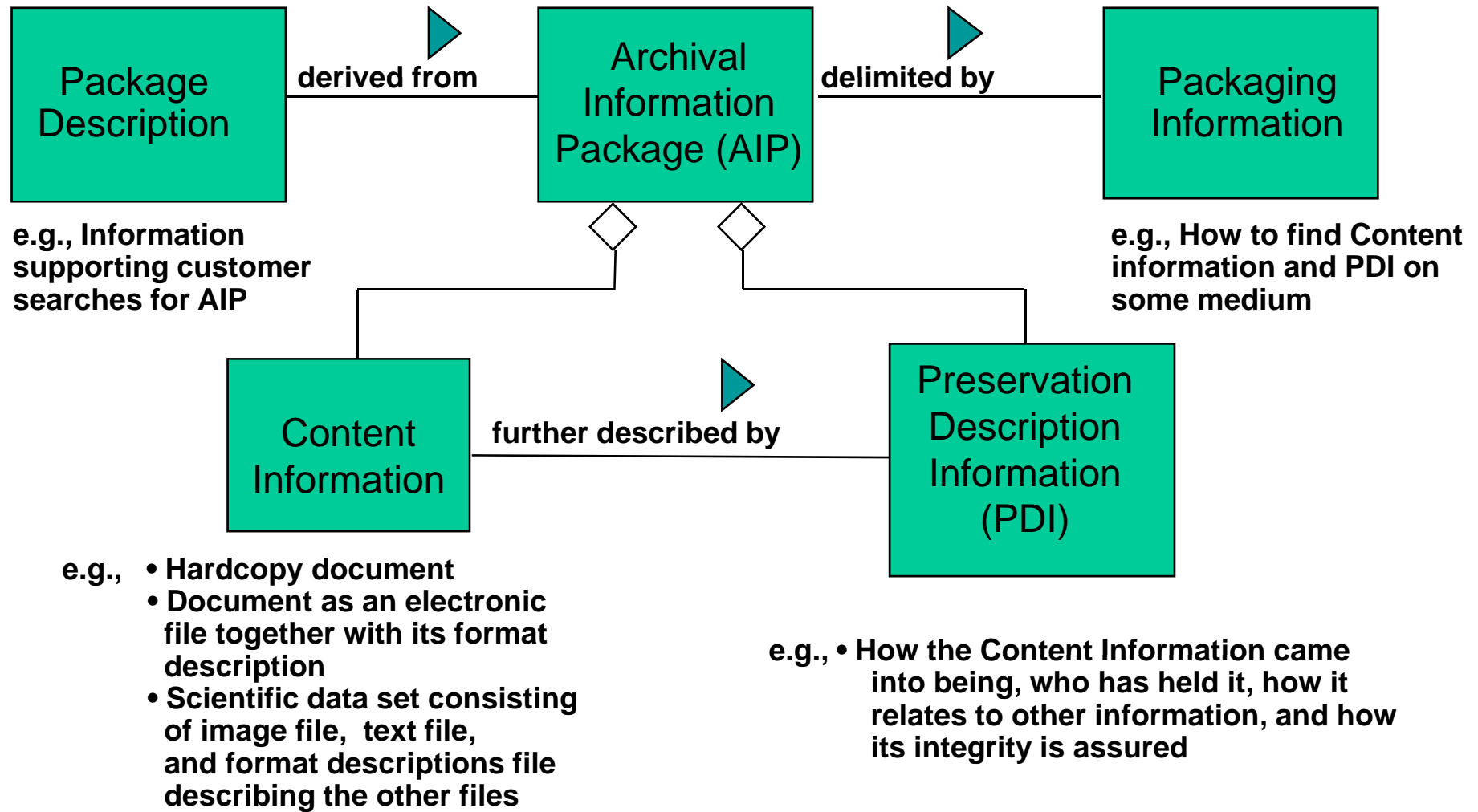
Descriptive Information

- Contain the data that serves as the input to documents or applications called Access Aids.
- Access Aids can be used by a consumer to locate, analyze, retrieve, or order information from the OAIS.

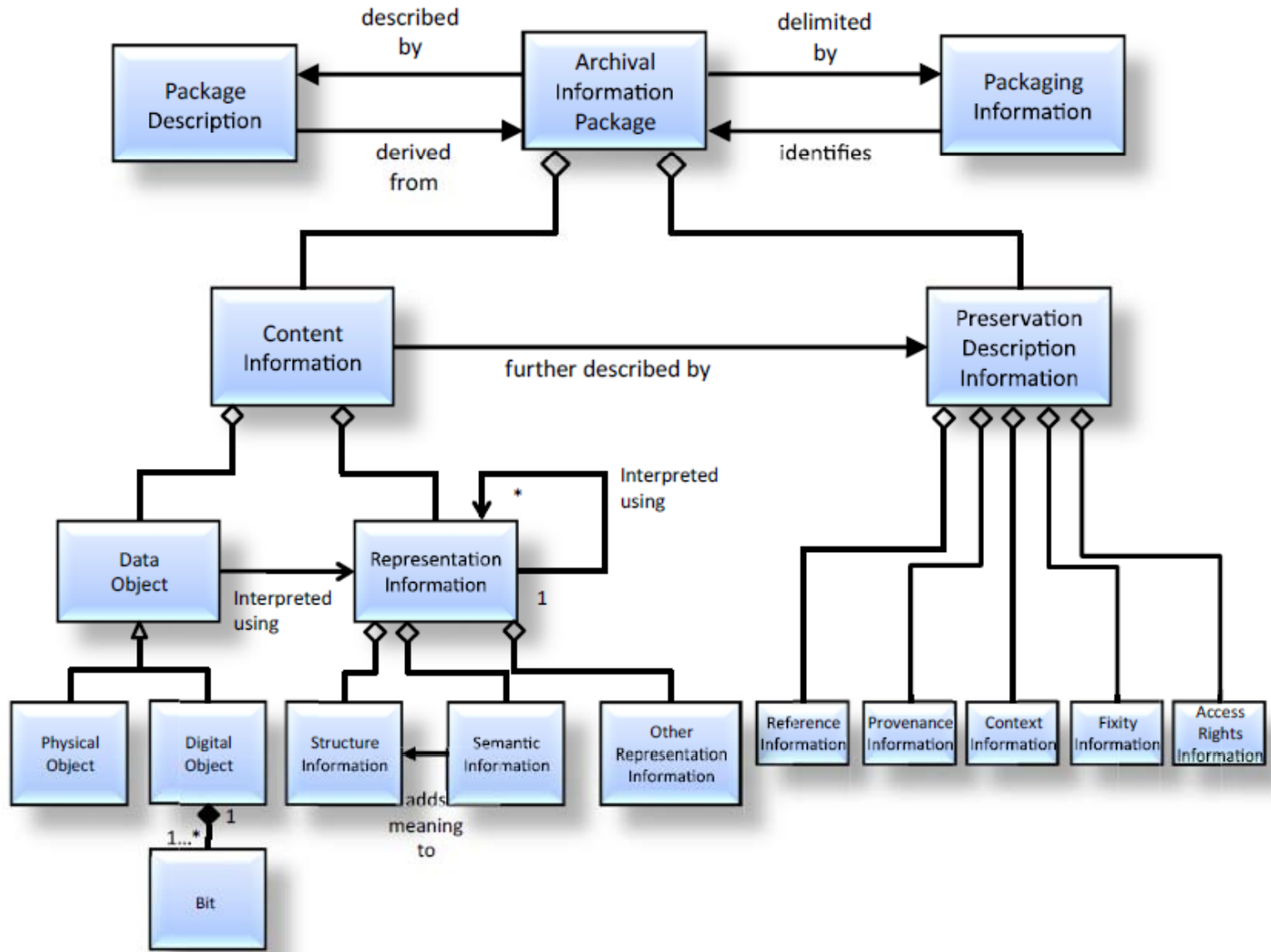
Packaging Information

- Information which, either actually or logically, binds and relates the components of the package into an identifiable entity on specific media
- Examples of Packaging Information include tape marks, directory structures and filenames

OAIS Archival Information Package

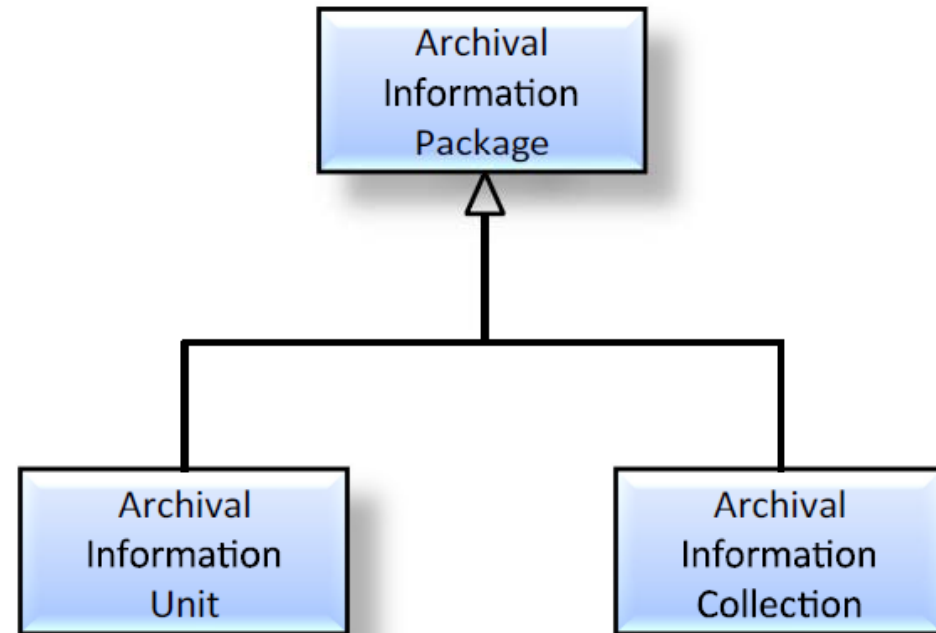


AIP detailed view



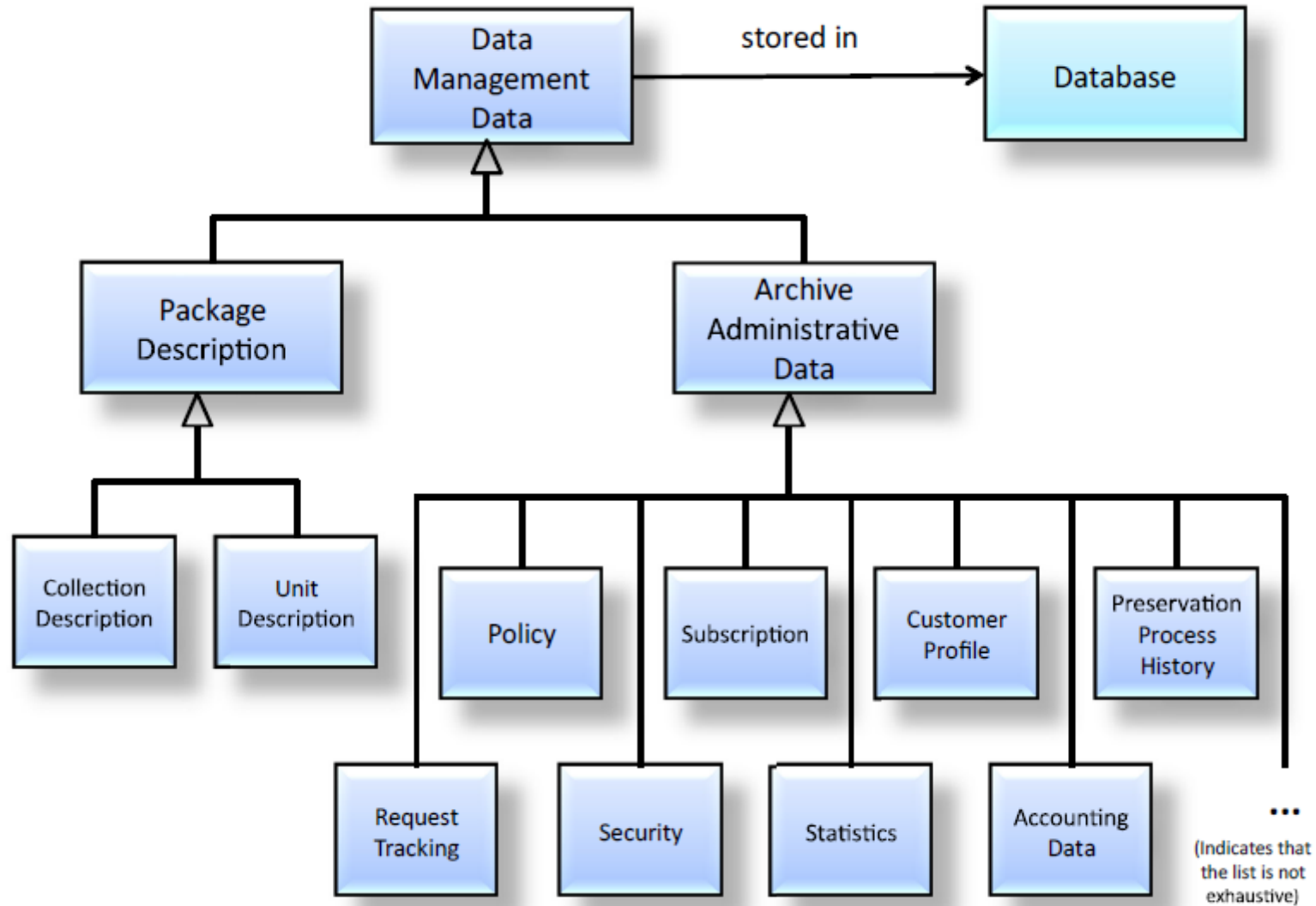
AIP Types

- Archival Information Unit (AIU) contains a single Data Object as the Content Object
- Archival Information Collection (AIC) contains multiple AIPs in its Content Object
 - Each member of an AIC is an AIP containing Content Information and PDI
 - The AIC contains unique PDI on the collection process



- Package Descriptions are needed by an OAIS to provide visibility and access to the OAIS holdings
- Package Descriptions contain 1 or more Associated Descriptions which describe the AIP Content Information from the point of view of a single Access Aid
- Some example of Access Aids Include:
 - Finding Aids - assist the consumer in locating information of interest
 - Ordering Aids - allow the consumer to discover the cost of and order AIUs of interest
 - Retrieval Aids - enable authorized users to retrieve the AIU described by the Unit Descriptor from Archival Storage

Data Management Information



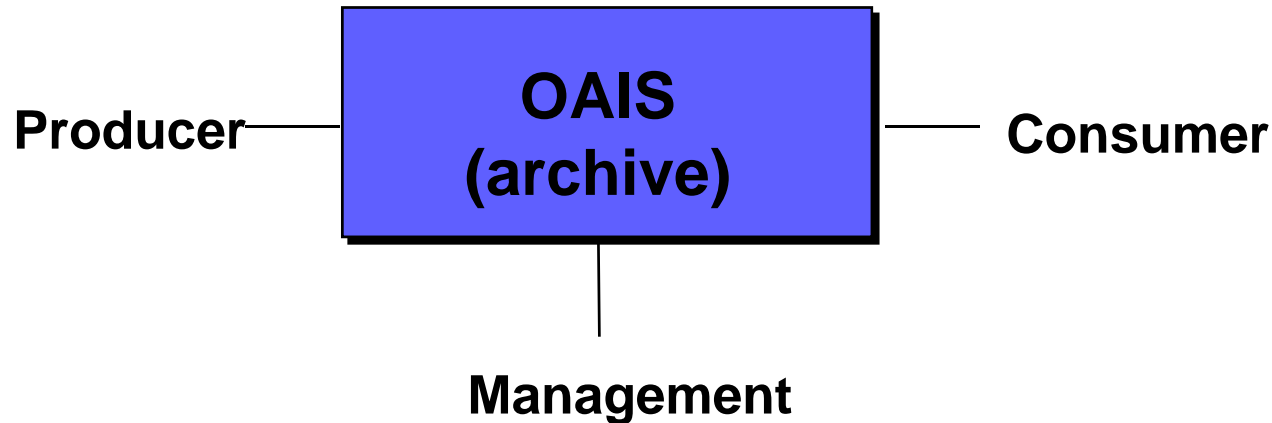
Information Model Summary

- Presented a model of information objects as containing data objects and representation objects
- Classified information required for Long-term archiving into 4 classes: Content Information, PDI, Packaging Information and Descriptive Information
- Described how these classes would be aggregated and related in an AIP to fully describe an instance of Content Information
- Presented information needed for Access, in addition to that needed for Long-term Preservation
- Put the Access oriented structures in the context of the other data needed to operate an OAIS

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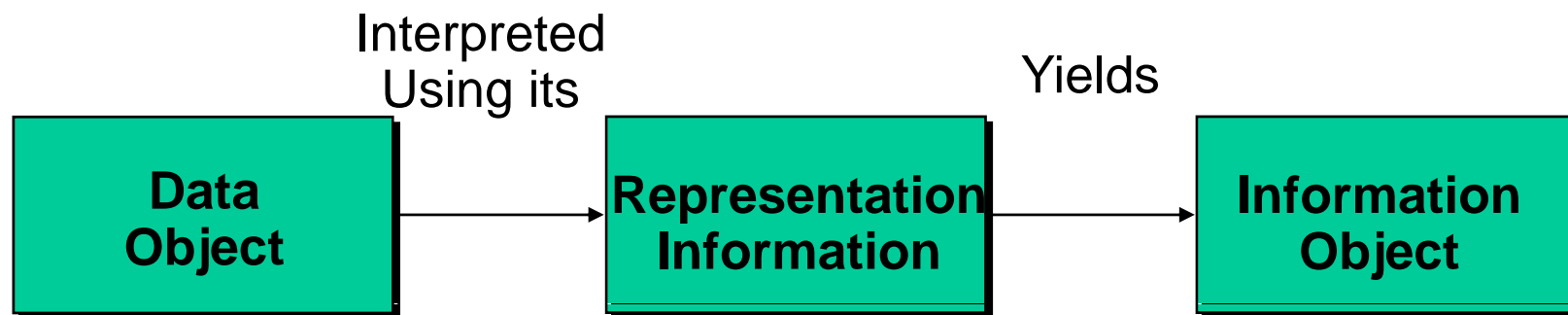
Model View of an OAIS Environment



- Producer is the role played by those persons, or client systems, who provide the information to be preserved
- Management is the role played by those who set overall OAIS policy as one component in a broader policy domain
- Consumer is the role played by those persons, or client systems, who interact with OAIS services to find and acquire preserved information of interest

OAIS Information Definition

- Information is always expressed (i.e., represented) by some type of data
- Data interpreted using its Representation Information yields Information
- Information Object preservation requires clear identification and understanding of the Data Object and its associated Representation Information



Summary

- OAIS is a reference model
- OAIS no implementation specification
- Defines language, responsibilities, functionalities,...
- Can be used for all kind of archives, institutions, organizations, systems
- Can be used for all kinds of objects, physical or digital