OAI Protocol for Metadata Harvesting

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uct cs honours 2006

What is the OAI ?

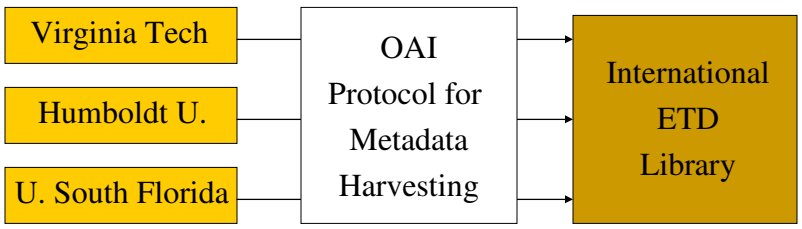
- What is the Open Archives Initiative (OAI)?
  - Organisation dedicated to solving problems of digital library interoperability by defining simple protocols, most recently for the exchange of metadata among repositories.
- What is the Protocol for Metadata Harvesting?
  - Protocol to transfer metadata from a source archive to a destination archive.

Motivation

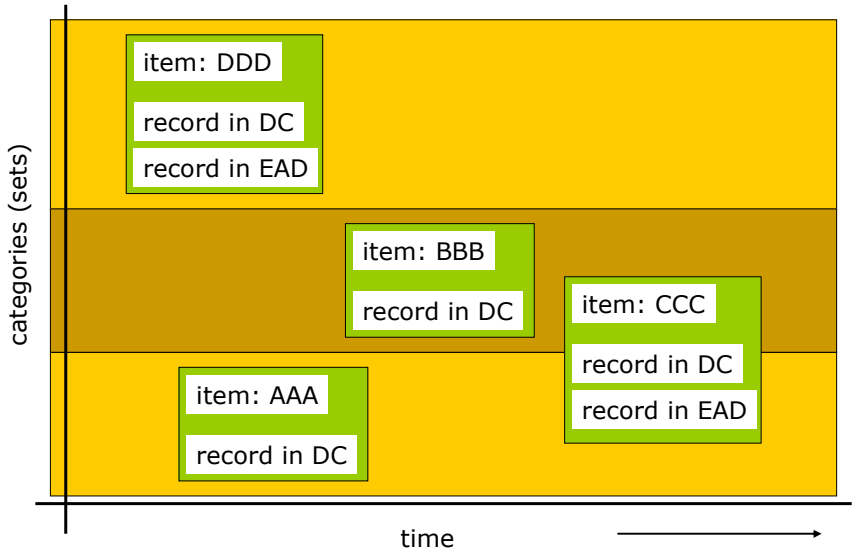
- Existence of some established but independent archives.
- Need for cross-archive services (like search engines).
- Lack of low-cost interoperability technology.
- Experience from past projects such as Dienst.

Case Study: NDLTD

- Networked Digital Library of Theses and Dissertations
- Made up of multiple independent university-based collections of electronic documents.



Multi-dimensional Data Model



Definitions / Concepts

- Basic Principles
  - What is an Open Archive?
  - Harvesting vs. Federation
  - Metadata vs. Data
  - Data and Service Providers
- Underlying Technology
  - HTTP and XML
  - XML, XML Namespaces and Schema
- Protocol Policies
  - Uniqueness and Persistence
  - What is a record?
  - Multiplicity of Metadata
  - Sets
  - Datestamp, Harvesting and Flow Control

What is an Open Archive ?

- Any WWW-based system that can be accessed through the well-defined interface of the Open Archives Protocol for Metadata Harvesting.
- … a.k.a. OAI-Compliant Repository
- No implications for:
  - Physical storage of data
  - Cost of data
  - Metadata and data formats
  - Access control to server

Harvesting vs. Federation

- Competing approaches to interoperability
  - Federation is when services are run remotely on remote data (e.g. Federated searching)
  - Harvesting is when data/metadata is transferred from the remote source to the destination where the services are located (e.g. Union catalogues).
- Federation requires more effort at each remote source but is easier for the local system and vice versa for harvesting.
- OAI currently focuses on harvesting.

Metadata vs. Data

- Data refers to digital objects or digital representations of objects.
- Metadata is information about the objects (e.g. title, author, etc.).
- OAI focuses on metadata, with the implicit understanding that metadata usually contains useful links to the source digital objects.

Data and Service Providers

- Data Providers refer to entities who possess data/metadata and are willing to share this with others (internally or externally) via well-defined OAI protocols (e.g., database servers).
- Service Providers are entities who harvest data from Data Providers in order to provide higher-level services to users (e.g. search engines).
- OAI uses these denotations for its client/server model (data=server, service=client).

HTTP and XML

- Protocol for Metadata Harvesting is an almost stateless request/response protocol.
- Requests and responses are sent via the HTTP protocol.
- Requests are encoded as GET/POST operations.
- Responses are well-formed XML documents.

XML Namespaces and Schema

- Consistency and data quality is ensured by using XML Schema descriptions for each possible response.
- XML Namespaces are used where necessary to clearly define which parts of the responses are actual metadata and which support the Protocol for Metadata Harvesting.

Uniqueness and Persistence

- Each record must be uniquely addressable by a distinct identifier.
- Identifiers must be valid URIs
- Example:
  - oai:<archiveId>:<recordId>
  - oai:etd.vt.edu:etd-1234567890
- Each identifier must resolve to a single record and always to the same record (for a given metadata format).

What is a record ?

- A record refers to an independent XML structure that may be associated with digital or physical objects.
- Records are usually associated with metadata, not data.
- OAI advocates harvesting of records, which contain metadata and additional fields to support the harvesting operation.

Sample OAI Record

(note: schema and namespaces have been left out for clarity)

```
<record>
      <header>
         <identifier>oai:jcdl2002.org:tut1</identifier>
         <datestamp>2002-02-03</datestamp>
         <setSpec>tut</setSpec>
      </header>
      <metadata>
         <dc>
            <title>Oldie-but-goodie example</title>
            <creator>Hussein Suleman</creator>
            <language>English</language>
         </dc>
      </metadata>
      <about>
         <metadataID>oai:jcdl2002.org:tut1md</metadataID>
      </about>
   </record>
```

Multiplicity of Metadata

- Multiple formats of metadata allowed.
- Dublin Core is mandatory.
- Any other format allowed as long as it has an XML encoding.
- E.g. MARC (Libraries), IMS (Education), ETDMS (Theses/Dissertations), RFC1807 (Bibliographies)

Sets

- Protocol mechanism to allow for harvesting of sub-collections.
- No well-defined semantics – depends completely on local data providers.
- May be defined by arrangement between data providers and service providers.
- E.g. Subject areas, years, author names, search queries

Datestamps & Harvesting

- Each record needs a datestamp that indicates its date of creation/modification/deletion.
- Different from dates within the metadata – this date is used only for harvesting
- Can be either YYYY-MM-DD or YYYY-MM-DDThh:mm:ssZ (must be GMT timezone)
- Dates are used to allow for harvesting by date range, thus allowing incremental and continuous transfer of metadata from a data provider to a service provider.

Flow Control

- HTTP "retry-after" mechanism can be leveraged to support server-side delaying of a client's request.
- Resumption Tokens can be used to return partial results – the client is issued with a token which may be presented to the server to receive more results.

Deletions

- Archives may keep track of deleted records, by identifier and datestamp.
- All protocol result sets can indicate deleted records.
- If deletions are being tracked, this information must be stored indefinitely so as to correctly propagate to service providers with varying harvesting schedules.

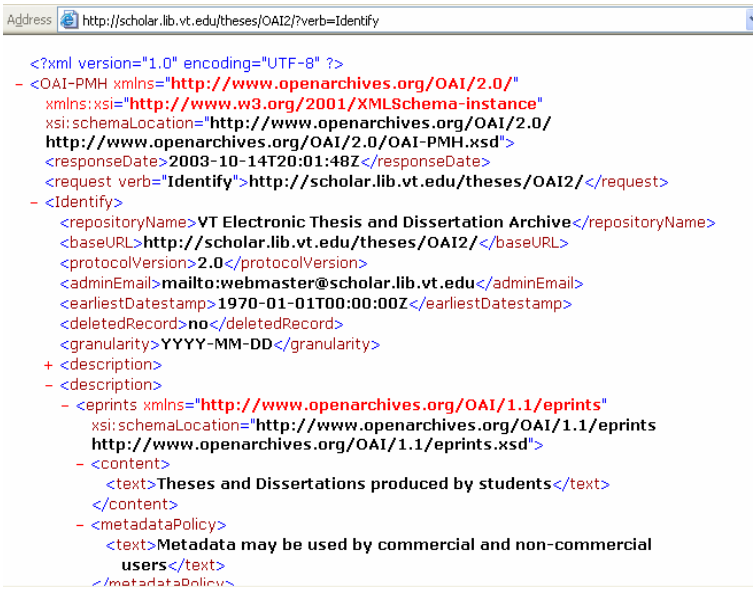
Protocol Specifics

- Service Requests
  - Identify
  - ListMetadataFormats
  - ListSets
  - GetRecord
  - ListIdentifiers
  - ListRecords
- Metadata Multiplicity
- Date Ranges
- Resumption Tokens
- Error and Exceptions

Identify

- Purpose
  - Return general information about the archive and its policies
- Parameters
  - None
- Sample URL
  - http://www.anarchive.org/cgi-bin/OAI?verb=Identify

Identify - Response



ListMetadataFormats

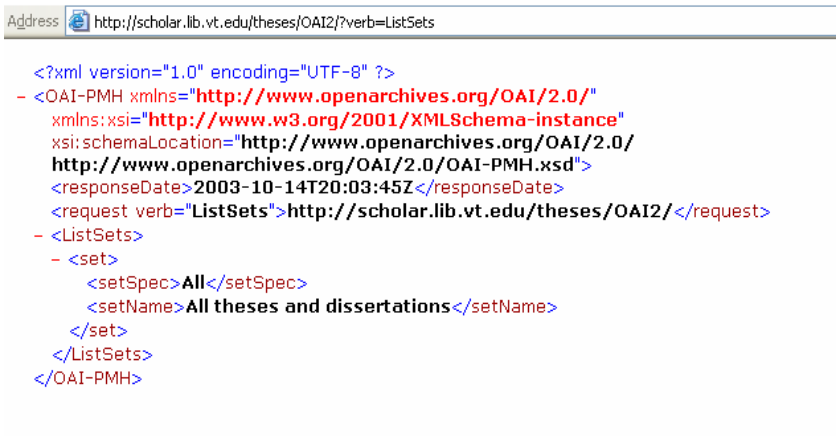
- Purpose
  - List metadata formats supported by the archive as well as their schema locations and namespaces
- Parameters
  - identifier – for a specific record (O)
- Sample URL
  - http://www.anarchive.org/cgi-bin/OAI?verb=ListMetadataFormats

ListMetadataFormats - Response

ListSets

- Purpose
  - Provide a hierarchical listing of sets in which records may be organised
- Parameters
  - None
- Sample URL
  - http://www.anarchive.org/cgi-bin/OAI?verb=ListSets

ListSets – Response



GetRecord

- Purpose
  - Returns the metadata for a single identifier in the form of an OAI record
- Parameters
  - identifier – unique id for record (R)
  - metadataPrefix – metadata format (R)
- Sample URL
  - http://www.anarchive.org/cgi-bin/OAI?verb=GetRecord&identifier=oai:test:123&metadataPrefix=oai_dc

GetRecord - Response

ListIdentifiers

- Purpose
  - List headers for all records corresponding to the specified parameters
- Parameters
  - from – start date (O)
  - until – end date (O)
  - set – set to harvest from (O)
  - metadataPrefix – metadata format to list identifiers for (R)
  - resumptionToken – flow control mechanism (X)
- Sample URL
  - http://www.anarchive.org/cgi-bin/OAI?verb=ListIdentifiers&metadataPrefix=oai_dc

ListIdentifiers - Response

Address http://scholar.lib.vt.edu/theses/OAI2/?verb=ListIdentifiers&metadataPrefix=oai_dc

```
<?xml version="1.0" encoding="UTF-8" ?>
- <OAI-PMH xmlns="http://www.openarchives.org/OAI/2.0/"
    xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance"
    xsi:schemaLocation="http://www.openarchives.org/OAI/2.0/
    http://www.openarchives.org/OAI/2.0/OAI-PMH.xsd">
    <responseDate>2003-10-14T20:05:14Z</responseDate>
    <request verb="ListIdentifiers"
      metadataPrefix="oai_dc">http://scholar.lib.vt.edu/theses/OAI2/</request>
  - <ListIdentifiers>
    - <header>
        <identifier>oai:VTETD:etd-3345131939761081</identifier>
        <datestamp>1997-03-31</datestamp>
        <setSpec>All</setSpec>
      </header>
    - <header>
        <identifier>oai:VTETD:etd-171110282975860</identifier>
        <datestamp>1997-03-13</datestamp>
        <setSpec>All</setSpec>
      </header>
    - <header>
        <identifier>oai:VTETD:etd-05012000-14030054</identifier>
        <datestamp>2000-05-01</datestamp>
```

ListRecords

- Purpose
  - Retrieves metadata for multiple records
- Parameters
  - from – start date (O)
  - until – end date (O)
  - set – set to harvest from (O)
  - resumptionToken – flow control mechanism (X)
  - metadataPrefix – metadata format (R)
- Sample URL
  - http://www.anarchive.org/cgi-bin/OAI?verb=ListRecord&metadataprefix=oai_dc&from=2001-01-01

ListRecords - Response

Address http://scholar.lib.vt.edu/theses/OAI2/?verb=ListRecords&metadataPrefix=oai_dc

```
<?xml version="1.0" encoding="UTF-8" ?>
- <OAI-PMH xmlns="http://www.openarchives.org/OAI/2.0/"
    xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance"
    xsi:schemaLocation="http://www.openarchives.org/OAI/2.0/
    http://www.openarchives.org/OAI/2.0/OAI-PMH.xsd">
    <responseDate>2003-10-14T20:09:30Z</responseDate>
    <request verb="ListRecords"
      metadataPrefix="oai_dc">http://scholar.lib.vt.edu/theses/OAI2/</request>
  - <ListRecords>
    + <record>
    + <record>
    + <record>
    - <record>
      - <header>
          <identifier>oai:VTETD:etd-3621112139711101</identifier>
          <datestamp>1997-04-18</datestamp>
          <setSpec>All</setSpec>
        </header>
      - <metadata>
        - <oai_dc:dc xmlns="http://purl.org/dc/elements/1.1/"
            xmlns:oai_dc="http://www.openarchives.org/OAI/2.0/oai_dc/"
            xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance"
            xsi:schemaLocation="http://www.openarchives.org/OAI/2.0/oai_dc/
            http://www.openarchives.org/OAI/2.0/oai_dc.xsd">
            <title>Fermion Quantum Field Theory In Black-hole Spacetimes</title>
            <creator>Ahmad, Syed Alwi B.</creator>
            <subject>Physics</subject>
```

Metadata Multiplicity

Address ir.lib.vt.edu/theses/OAI2/?verb=GetRecord&metadataPrefix=oai_etdms&identifier=oai:VTETD:etd-3345131939761081

```
- <record>
  - <header>
      <identifier>oai:VTETD:etd-3345131939761081</identifier>
      <datestamp>1997-03-31</datestamp>
      <setSpec>All</setSpec>
    </header>
  - <metadata>
    - <oai_etdms:thesis
        xmlns="http://www.ndltd.org/standards/metadata/etdms/1.0/"
        xmlns:oai_etdms="http://www.ndltd.org/standards/metadata/etdms/1.0/"
        xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance"
        xsi:schemaLocation="http://www.ndltd.org/standards/metadata/etdms/1.0/
        http://www.ndltd.org/standards/metadata/etdms/1.0/etdms.xsd">
        <title>Conceptual Development and Empirical Testing of an Outdoor
          Recreation Experience Model: The Recreation Experience Matrix (REM)
          </title>
        <creator>Walker, Gordon James</creator>
        <subject>outdoor recreation</subject>
        <subject>recreation experience preference scales</subject>
        <subject>recreation experience matrix</subject>
        <subject>recreation opportunity spectrum</subject>
        <description>This dissertation examines four issues, including: (a) whether
          outdoor recreation experiences not included in the Recreation Experience
          Preference (REP) scales exist; (b) whether these experiences can be
          categorized using a framework called the Recreation Experience Matrix
          (REM); (c) how well the Recreation Opportunity Spectrum (ROS) variables
          of activity, setting, and expertise explain the types of experiences outdoor
```

Resumption Token

Address dl/oai.pl?verb=ListIdentifiers&metadataPrefix=oai_dc&from=2001-06-26&until=2001-06-26

```
      <identifier>oai:JCDLPICS:200101dla9</identifier>
      <datestamp>2001-06-26</datestamp>
      <setSpec>200101dla</setSpec>
    </header>
  - <header>
      <identifier>oai:JCDLPICS:200101dla10</identifier>
      <datestamp>2001-06-26</datestamp>
      <setSpec>200101dla</setSpec>
    </header>
    <resumptionToken cursor="0" completeListSize="35">!2001-06-26!
      2001-06-26!oai_dc!30</resumptionToken>
  </ListIdentifiers>
</OAI-PMH>
```

Errors and Exceptions

Address http://scholar.lib.vt.edu/theses/OAI2/?verb=GetRecord&metadataPrefix=oai_dc

```
<?xml version="1.0" encoding="UTF-8" ?>
- <OAI-PMH xmlns="http://www.openarchives.org/OAI/2.0/"
    xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance"
    xsi:schemaLocation="http://www.openarchives.org/OAI/2.0/
    http://www.openarchives.org/OAI/2.0/OAI-PMH.xsd">
    <responseDate>2003-10-14T20:11:31Z</responseDate>
    <request>http://scholar.lib.vt.edu/theses/OAI2/</request>
    <error code="badArgument">missing identifier parameter</error>
  </OAI-PMH>
```

Implementation Details

- Basic requirements
- Basic program layout
- Object-oriented approaches
- Extensible metadata generation
- Data cleaning
- Caching of results
- Error handling
- Denial-of-service prevention
- Creating resumption tokens

Basic Requirements

- You need a WWW Server ☺
- Protocol may be implemented in many forms.
  - CGI Script (Perl, C++, Java)
  - Java Servlet
  - PHP
- Metadata (e.g. database) access mechanism required.
- See www.openarchives.org for list of publicly available software templates.

Basic Program Layout

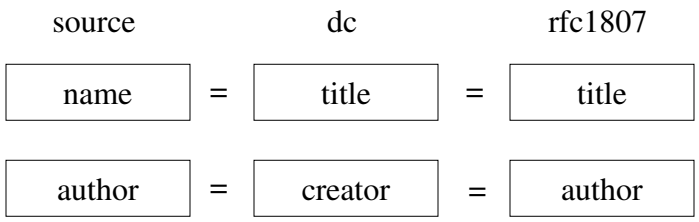
```
parse WWW request to extract parameters
if (verb='Identify')
   ProcessIdentify;
else if (verb='ListMetadataFormats')
   ProcessListMetadataFormats;
else if (verb='ListSets')
   ProcessListSets;
else if (verb='GetRecord')
   ProcessGetRecord;
else if (verb='ListIdentifiers')
   ProcessListIdentifiers;
else if (verb='ListRecords')
   ProcessListRecords;
else
   ReportError ('badVerb');
```

Object-Oriented Approaches

- Cleaner separation of protocol, database access and metadata generation.
- Example approaches
  - Each service request is handled by a object
    - Simpler incremental development
  - Protocol, Database and Metadata are objects
    - Greater portability of code
  - Inheritance from a basic OAI data provider

Metadata Generation

- Approaches
  - Map from source to each metadata format
  - Use crosswalks (maybe XSLT) to generate additional formats.



Data Cleaning

- Escape special XML characters.
- Convert to UTF-8 version of Unicode.
- Convert entity references.
- Remove extraneous whitespace.
- Convert CR/LF for paragraphs.
- URLs
  - /?#=&:;+ must be encoded as escape sequences

Result Caching

- For multiple requests from many clients or to handle partial result sets.
- Keep temporary tables/files.
- Expire temporary data when no longer needed.
- Is this necessary to handle date-range requests where new items are added to the result set while harvesting is in progress?

Error Handling

- All protocol errors are in XML format
  - badVerb: illegal verb requested
  - badArgument: illegal parameter values or combinations
  - badResumptionToken, cannotDisseminateFormat, idDoesNotExist: parameters are in right format but are not legal under current conditions
  - noRecordsMatch, noMetadataFormats, noSetHierarchy: empty response exception

Denial-of-Service Prevention

- Return only partial results and issue a resumption token for more.
- Use 503 retry-after HTTP errors to have clients try again after a specified back-off time.
- Use access control lists to limit who may access the archive.
- Invoke an explicit delay before sending back results.

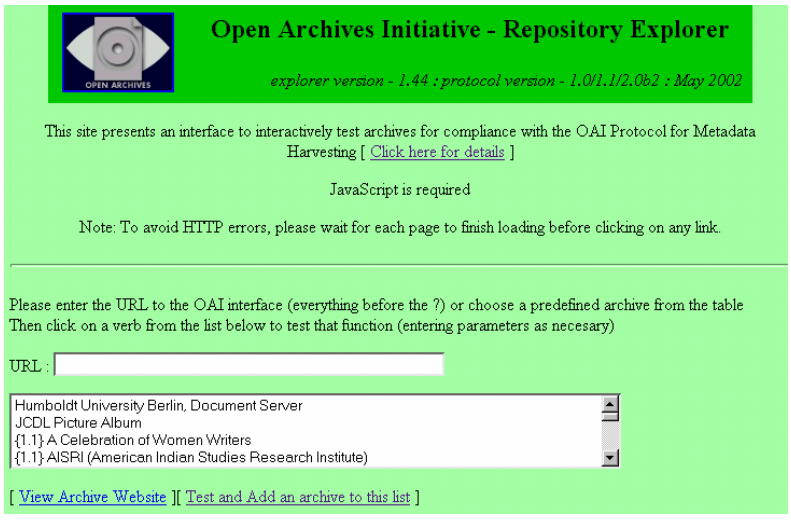
Creating resumptionTokens

- Combine from/until/metadataPrefix/set and a record number indicator with delimiters into a sequential token.
  For example:
  - from!until!metadataPrefix!set!recordnumber
  - 2000-01-01!2001-01-01!!All!100
- Use a session manager with automatic expiry.
  For example:
  - vtetd14june10amsession12

Tools for Testing

- Repository Explorer
  - Interactive Browsing
  - Testing of parameters
  - Multiple views of data
  - Multilingual support
  - Automatic test suite
- OAI Registry
- XML Schema Validator

RE Interactive Browsing



RE Parameter Testing

Verbs	Parameters
Identify List Metadata Formats List Sets List Identifiers List Records Get Record	from (eg., YYYY-MM-DD) : until (eg., YYYY-MM-DD) : metadataPrefix : identifier : set : resumptionToken :

Language	Display	Schema Validation
English	Parsed Raw XML Both	None Local mirror of schemata (Xerces) Online schemata (Xerces) Local mirror of schemata (XSV) Online schemata (XSV)

home about Send all comments to hussein@vt.edu --- Digital Library Research Laboratory@Virginia Tech

RE Browsing

Archive Self-Description

Repository Name	JCDL 2001 Picture Archive
Base URL	http://rocky.dlib.vt.edu/~jcdlpix/cgi-bin/OAI2.0/beta2/jcdl/oai.pl
Protocol Version	2.0b2
Admin Email	jcdlpix@rocky.dlib.vt.edu
Earliest Datestamp	1970-01-01T00:00:00Z
Deleted Record Handling	no
Granularity	YYYY-MM-DD
Other Information	description: toolkit: title: VTOAI Perl Data Provider author: name: Hussein Suleman email: hussein@vt.edu institution: Virginia Tech version: 3.04 URL: http://www.dlib.vt.edu/projects/OAI/

RE Browsing

List of Sets

Click on the link to list the contents

JCDL Day Four

set description:
dc:
description: Pictures taken during JCDL Day Four

JCDL Banquet

set description:
dc:
description: Pictures taken during JCDL Banquet

JCDL Day Three

RE Browsing

List of Record Identifiers

Select a link to view more information

header:
identifier : oai:JCDLPICS:200105dle1
datestamp : 2001-06-27
setSpec : 200105dle

[display record in Dublin Core] [display metadata formats]

header:
identifier : oai:JCDLPICS:200105dle2
datestamp : 2001-06-27
setSpec : 200105dle

[display record in Dublin Core] [display metadata formats]

RE Browsing

List of Metadata Formats

Click on the link to view schema

Prefix=[dc2]
NameSpace=[http://www.openarchives.org/OAI/2.0/oai_dc/]
Schema=[http://www.openarchives.org/OAI/2.0/oai_dc.xsd]

[Not a standard OAI metadata name] [display record]

Prefix=[oai_dc]
NameSpace=[http://www.openarchives.org/OAI/2.0/oai_dc/]
Schema=[http://www.openarchives.org/OAI/2.0/oai_dc.xsd]

[display record]

RE Browsing

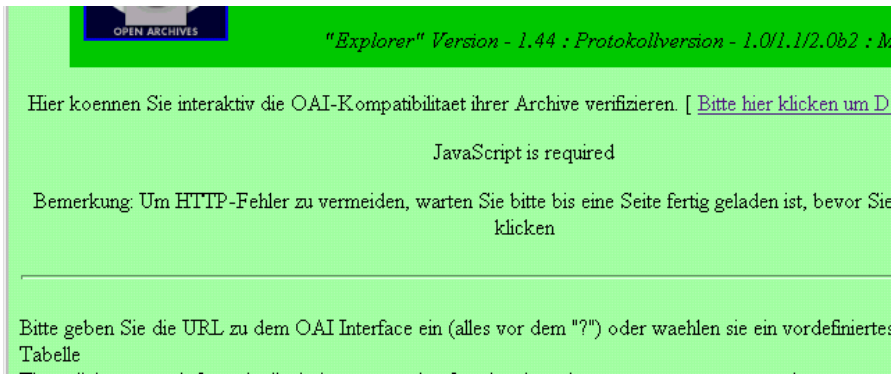
List of Fields

header:
  identifier : oai:JCDLPICS:200105dle1
  datestamp : 2001-06-27
  setSpec : 200105dle

metadata:
  dc:
    title: 01dle1
    creator: Hussein Suleman
    subject: JCDL Day Four
    description: Jim French and Unmil Karadkar over lunch
    publisher: JCDL
    date: 2001-06-27
    type: image
    format: image/jpeg
    identifier: http://rocky.dlib.vt.edu/~jcdlpix/pictures/200105dle/01dle1.jpg
    language: en-us
    relation: http://www.jcdl.org
    rights: unrestricted

RE Multiple views of data

RE Multilingual Support



RE Automatic Test Suite

Open Archives Initiative - Repository Explorer

explorer version - 1.44 : protocol version - 2.0b2 : May 2002

```
Open Archives Initiative :: Protocol for Metadata Harvesting v2.0b2
RE Protocol Tester 1.44 :: Virginia Tech DLRL :: May 2002

(1) Testing : Identify
URL : http://rocky.dlib.vt.edu/~jcdlpix/cgi-bin/OAI2.0/beta2/jcdl/oai.pl?verb=Identify
Test Result : OK
---- [ Repository Name = JCDL 2001 Picture Archive ]
---- [ Protocol Version = 2.0b2 ]
---- [ Base URL = http://rocky.dlib.vt.edu/~jcdlpix/cgi-bin/OAI2.0/beta2/jcdl/oai.pl ]
---- [ Admin Email = jcdlpix@rocky.dlib.vt.edu ]
---- [ Granularity = YYYY-MM-DD ]

(2) Testing : Identify (illegal_parameter)
URL : http://rocky.dlib.vt.edu/~jcdlpix/cgi-bin/OAI2.0/beta2/jcdl/oai.pl?verb=Identify&t
Test Result : OK

(3) Testing : ListMetadataFormats
URL : http://rocky.dlib.vt.edu/~jcdlpix/cgi-bin/OAI2.0/beta2/jcdl/oai.pl?verb=ListMetada
Test Result : OK
---- [ Sample Metadata Format = dc2 ]
```

RE Error in Response

Archive Self-Description

Repository Name	Virginia Tech Electronic Thesis and Dissertation Collection
Base URL	http://oai.dlib.vt.edu:80/~hussein/cgi-bin/NDLTDErr1/VTETD.pl
Protocol Version	1.0
Error: Missing field : <Identify>/<adminEmail>	
Other Information	description: oai-identifier: scheme: oai repositoryIdentifier: VTETD delimiter: : sampleIdentifier: oai:VTETD:etd-171110282975860 description: eprints: content: text: Theses and Dissertations produced by students at Virginia metadataPolicy: text: Metadata may be used by commercial and non-commercial user dataPolicy: text: Full texts are individually tagged and the rights statemer

RE Error in XML

explorer version - 1.1 : protocol version - 1.0 : April 2001

http://oai.dlib.vt.edu/~hussein/cgi-bin/NDLTDErr1/VTETD.pl?verb=Identify

XSD Schema/Instance Validation Error !

Errors in XML instance

```
<?xml version='1.0'?>
<xsv docElt='{http://www.openarchives.org/OAI/1.0/OAI_Identify}Identify' instanceAsses
<importAttempt URI='http://oai.dlib.vt.edu/OAI/1.0/OAI_Identify.xsd' namespace='http:/
<importAttempt URI='http://oai.dlib.vt.edu/OAI/oai-identifier.xsd' namespace='http://w
<importAttempt URI='http://oai.dlib.vt.edu/OAI/eprints.xsd' namespace='http://www.open
<invalid char='4' code='cvc-complex-type.1.2.4' line='11' resource='file:///tmp/file2V
<fsm>
<node id='1'>
<edge dest='2' label='{http://www.openarchives.org/OAI/1.0/OAI_Identify}:responseDate'
</node>
<node id='2'>
<edge dest='3' label='{http://www.openarchives.org/OAI/1.0/OAI_Identify}:requestURL'/>
</node>
<node id='3'>
```

OAI Registry

The Open Archives Initiative

Registering as a Data Provider

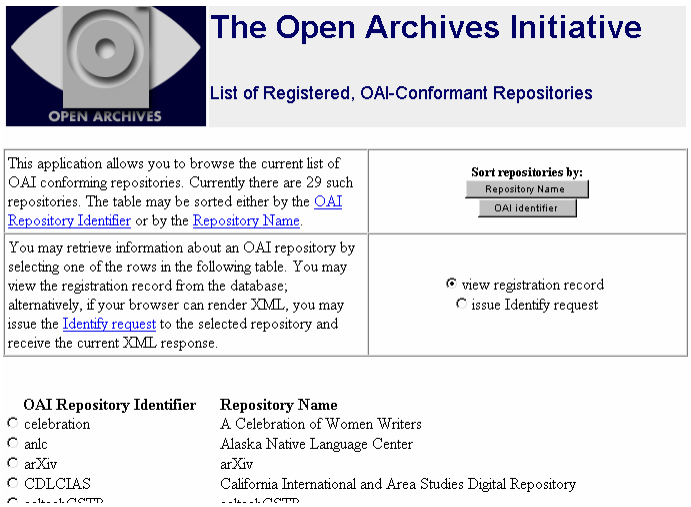
Data providers who support the OAI protocol may choose to list their repository in the OAI registry. The goals of the registry are:

- Provide a publicly accessible list of OAI conformant repositories, making it easy for service providers to discover repositories from which metadata can be harvested.
- Provide a mechanism for data providers to ensure their conformance with the OAI protocol specification.
- Provide a means for the OAI to monitor use of the protocol and plan future activities and strategies.

This page allows you to register your repository by entering your BASE-URL in the text box at the bottom of this page. *Before* doing that, please read all of this instruction page so you understand what registration means and the choices you have.

Consequences of Registration
Protocol Testing
Conformance Testing

OAI Registry



Service Providers

- How to Harvest
- Policies
- Intermediate systems
- Case Study: ARC
- Case Study: NDLTD

How To Harvest

- Identify to get basic information.
- ListIdentifiers, followed by ListMetadataFormats for each record and then GetRecord for each id/metadata combination.
  - No. of short HTTP requests = 1+n+n x m
    n=no. of identifiers, m=no. of metadata formats
- ListRecords for each metadata format required.
  - No. of long HTTP requests = m
    m=no. of metadata formats

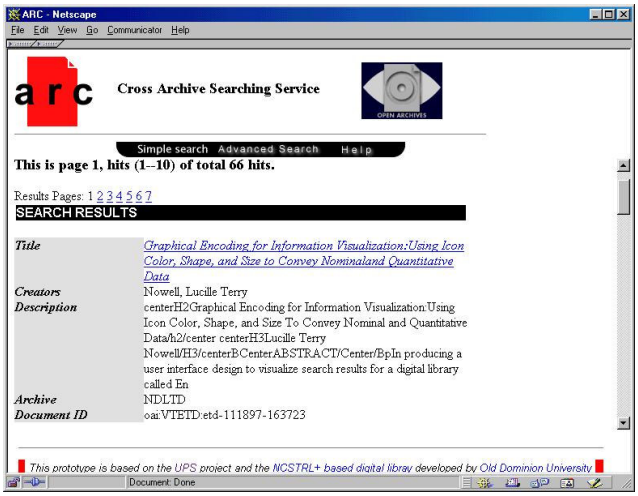
Policies

- Use schedule for harvesting regularly.
- Store date when last harvested (before you start).
- Use a two day overlap (or one day if your archive uses proper UTC datestamps).
  - New items may be added for the current day.
  - Timezones create up to a day of lag if you ignore them.
  - If the source uses correct UTC datestamps and second granularity then only 1 second of overlap is needed!
- Each time a record is encountered, erase previous instances.

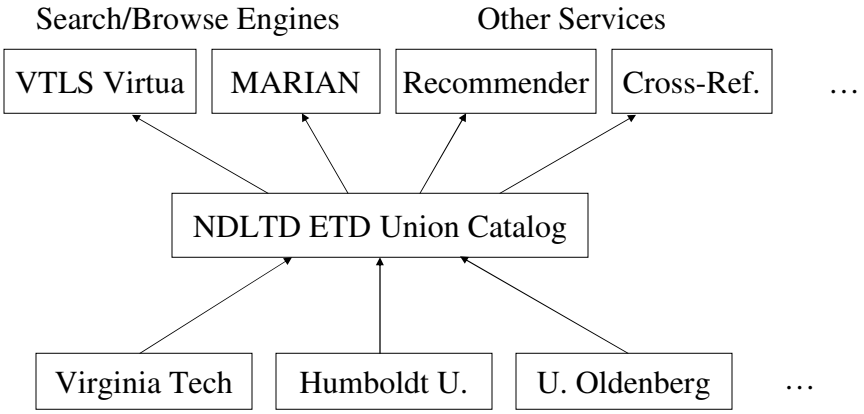
Intermediate Systems

- Both a data provider and service provider.
- All harvested data must have the datestamps updated to the date on which the harvesting was done.
- Identifiers retain their original values.
- Note: Consistency in the source archive propagates, but so does inconsistency!

Case Study: ARC



Case Study: NDLTD



References

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