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## Persistent Archive Concepts

### Abstract

The preservation of data is a difficult task that requires management of technology evolution and authenticity, while ensuring that risk due to catastrophes is minimized. The mechanisms provided by data grids for interoperability across data management technologies provide part of the required infrastructure. The ability to apply archival processes for the generation of archival forms of digital entities is supported by virtual data grids. This paper specifies the minimal capabilities that should be provided by virtual data grids to enable the creation of persistent archives that hold data for lifetimes greater than that of the underlying software technologies.

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## 1. Persistent Archive Description

The Persistent Archive Research Group of the Global Grid Forum promotes the development of an architecture for the construction of persistent archives. We apply the term “persistent” to the concept of an archive to represent the management of the evolution of the software and hardware infrastructure over time. In this report, we describe the capabilities provided by data grids that can be used to automate both the management of the evolution process, and the application of archival processes by archivists. We use the term digital entity, to represent any sequence of bits that will be preserved. The archival form of a digital entity includes metadata that describes provenance information (source, submitting agency, original form) and authenticity information (digital signatures to verify integrity, audit trails to track operations by archivists). The preservation of digital entities requires the ability to preserve the context that defined the creation of the digital entity and the context that defined the archival form of the digital entity.

A persistent archive provides the mechanisms needed to manage technology evolution while maintaining consistency between the preserved digital entities and their context. During the lifetime of the persistent archive, each software and hardware component may be upgraded multiple times. The challenge is creating an architecture that maintains the authenticity of the archived documents while minimizing the effort needed to incorporate new technology. Fortunately, virtual data grids provide the infrastructure needed to manage technology evolution.

Persistent archives can be based on virtual data grids. They both need mechanisms to support access to heterogeneous types of storage systems and information repositories, while supporting the re-creation of derived data products. A derived data product is the result of the application of a process to a set of digital entities. The process can be an archival process, or the migration of a document to a new encoding format, or the wrapping of an application for execution on a new operating system, or the organization of digital entities into a collection. Hence the persistent archive research group is examining how persistent archives can be built from virtual data grids. Virtual data grids are distributed systems that tie together data management systems and compute resources. Virtual data grids are differentiated from data grids by the ability either to access derived data products or to re-create the derived data products from a process description. Virtual data grids support the application of processes to create derived data products. In the context of persistent archives, virtual data grids are capable of applying the archival processes needed to create archival forms.

A persistent archive maintains not only the data bits comprising digital entities, but also the context that defines the provenance, authenticity, and structure of the digital entities. The context, from the perspective of the data grid, is managed as attributes that are organized into an archival collection. We use the term archival form of a digital entity to represent the data bits, a definition of the structure of the digital entity, and the associated metadata attributes. For example, the Open Archival Information System (OAIS) specifies an Archival Information Package (AIP) for defining the context of a digital entity. The archival collection is the aggregation of the archival forms of the digital entities.

Data grids provide a logical name space into which digital entities can be registered. The logical name space is used to support global, persistent identifiers for each digital entity within the context of each archival collection. The digital entities are represented by their logical name, a physical file name, and, if desired, an object identifier that is unique across archival collections. Data grids map distributed state information onto the logical name space for each grid service. Examples are replica information for the location of each physical copy of a digital entity, descriptive metadata that is associated with each digital entity, authenticity attributes associated with each digital entity, a globally unique object identifier or handle, etc. Archival processes create the state information that is mapped onto the logical name space. Thus systems for the execution of archival processes can be built out of data grid and virtual data grid technologies. We will show how the particular capabilities of data grids can be used to support archival processes.

The digital entities that are managed by persistent archives can be quite complex. A digital entity can be a single document, or a compound document with multiple components. A digital entity can also be the archival collection that is assembled by grouping multiple documents along with their descriptive, provenance, and authenticity metadata. All of these forms of digital entities can be manipulated by archival processes.

A persistent archive manages archival collections of digital entities. The archival collection itself can be thought of as a derived data product that results from the application of archival processes to a group of constituent documents. The archival processes generate the descriptive, provenance, and authenticity metadata. The archival collection is used to manage the context for the digital entities that are stored in the archive. Discovery of an individual digital entity within an archival collection is accomplished by querying the descriptive metadata. A description of the processing steps used to create the archival collection can also be archived. Thus the archival collection is itself a derived data product. A request for access to the archival collection can result in a query against an instantiated version of the archival collection metadata, residing in a database. If the archival collection resides in an archival form within a storage repository, the request can cause the execution of the processing steps that are needed to import the metadata for the archival collection into a database to support subsequent queries. A persistent archive can be treated as a virtual data grid that manages access to derived archival collections, and manages the re-creation of the archival collections if they are not already instantiated. Persistent archives also manage the migration of data from old storage systems to new storage systems and manage transformative migrations, in which the encoding standard used to describe a data entity is changed to a new standard. Management of the application of transformative migrations again is equivalent to management of derived data products in a virtual data grid

## 1.1 Archival Processes

Archivists rely on persistent archives to support archival processes, including appraisal, accessioning, arrangement, description, preservation, and access. To demonstrate the advantage of using virtual data grids, we examine how virtual data grid capabilities can be used to implement each of the standard archival processes. For each archival process, we list the corresponding processing steps, and the technologies that enable support for the processing steps. The characterization is done in terms of traditional archival processes applied for paper records.

### 1.1.1 Appraisal

Appraisal evaluates the relevance of material for ingestion into a persistent archive.

An archivist bases an appraisal decision on the uniqueness of the record collection being evaluated, its relationship to other institutional records, and its relationship to the activities, organization, functions, policies, and procedures of the institution. The data grid allows an archivist to get a quick overview of the other records of the institution that have already been accessioned into the archives. The metadata associated with those other collections would assist the archivist in assessing the relationship of the records being appraised to those other records. This metadata would also provide information that would help the archivist understand the relevance/importance/value of the records being appraised for documenting the activities, functions, etc. of the institution that created them

### 1.1.2 Accessioning

Accessioning manages the controlled import of data.

Controlled data import – Data grids provide a logical name space that supports the registration of digital entities into collection/sub-collection hierarchies. The logical name space is decoupled from the underlying storage systems, making it possible to reference digital entities without moving them. It is possible to represent a digital entity by a handle (such as a collection URL), register the handles into the logical name space, and organize the handles independently of the physical digital entities. Data grids put digital entities under management control, such that

automated processing can be done across an entire collection. Data grids provide mechanisms that can be used to validate data models, extract metadata, and authenticate the identification of the submitter. Validation is also used to verify that the digital entity or collection ingested into the archive is unchanged from the entity or collection provided by the submitter. Data grid capabilities that are used to manage the ingestion of digital entities into the archive under process control are typically implemented as remote proxies that can be executed at the storage repository that holds the digital entity. These mechanisms are also used within the description process.

#### 1.1.3 Arrangement

Arrangement provides mechanisms for the organization and definition of the context for the documents.

Context management – Data grids use collections to manage the context associated with digital entities. The context includes provenance information describing the processes under which the digital entities were created, descriptive metadata to support queries to identify an individual data entity, and knowledge relationships that can be used to determine whether associated attribute values are consistent with implied knowledge about the collection, or represent anomalies and artifacts. An example of a knowledge relationship is the range of permissible values for a given attribute, or a list of permissible values for an attribute. If the range of values in the received data do not match the assertions provided by the submitter, the archivist needs to note the discrepancy as a property of the collection. The context management also is used to control the level of granularity associated with the organization of the digital entities into collections/sub-collections. Containers, the digital equivalent of a cardboard box, are used to physically aggregate data entities. Containers are important for minimizing the number of files that are needed to store the digital entities, and are used to minimize the number of separate media used to hold large numbers of digital entities. Data grids also provide support for logical organization of digital entities into collection hierarchies.

#### 1.1.4 Description

Description processes use a logical name space for associating attributes that characterize the encoding format, the source of the data, and discovery information.

Global name space – The ability to identify derived data products is based on persistent logical identifiers that provide naming independence from the local storage system file names. For persistent archives this includes the ability to provide persistent logical identifiers for the data entities stored within the data collections. The logical name space may be organized into a collection/sub-collection hierarchy with each sub-collection supporting unique metadata. Each sub-collection is described by an extensible set of attributes that can be defined independently of other sub-collections.

Derived product characterization – Both the derived data products (transformative migrations of digital entities to new encoding formats) and the processes used to generate the derived data products can be characterized in virtual data grids. For persistent archives, the derived data product can be a data collection or the transformative migration of a digital entity. Infrastructure independent representations are used to describe both the derived data product and the processes used to re-create the derived data product. Infrastructure independent representations are typically created by transforming from a proprietary encoding format to a published encoding standard such as the Rich Text Format for documents, eXtensible Markup Language (XML) for metadata, the Hierarchical Data Format (HDF) for binary array data, and an XML Schema and Data Definition Language table structure for collections. Published encoding standards exist for images (tiff), and audio and moving pictures (MPEG).

#### 1.1.5 Preservation

Preservation provides mechanisms to instantiate a collection, mechanisms to interact with multiple types of storage repositories and support disaster recovery, mechanisms to maintain the ability to display the records, and mechanisms for asserting authenticity.

Instantiation – A virtual data grid provides the ability to execute a process description. An example is the Chimera system that defines an abstract representation for the steps in the process, and then instantiates the processes as applications running on grid resources. For a persistent archive, this is the ability to instantiate a data collection from its infrastructure independent representation. The state information that results from the processes managed by Chimera represents archival information that should be preserved to assert authenticity. The state information is equivalent to provenance information about the execution of archival processes. This provenance information is part of the authenticity metadata.

Storage repository abstraction – The ability to migrate digital entities between different types of storage systems is provided by data grids through a storage repository abstraction that defines the set of operations that can be performed on a storage system. The heterogeneous storage repositories can also represent different versions of storage systems and databases as they evolve over time. When a new infrastructure component is added to a persistent archive, both the old version and new version will be accessed simultaneously while the data and information content are migrated onto the new technology. Through use of replication, the migration can be done transparently to the users. For persistent archives, this includes the ability to migrate a collection from old database technology onto new database technology.

Disaster recovery – Data grids manage replicas of digital entities, replicas of collection attributes, and replicas of collections. The replicas can be located at geographically remote sites, ensuring safety from local disasters.

Persistency – Virtual data grids provide a consistent environment, which guarantees that the administrative attributes used to identify derived data products always remain consistent with migrations performed on the data entities. The consistent state is extended into a persistent state through management of the information encoding standards needed to create platform independent representations. The ability to migrate from an old representation of an information encoding standard to a new representation leads to persistent management of derived data products. It is worth noting that a transformative migration can be characterized as the set of operations performed on the encoding syntax. The operations can be applied on the original digital entity at any point in the future. If a new encoding syntax standard emerges, the set of operations needed to map from the original encoding syntax to the new encoding syntax can be defined, without requiring any of the intermediate encoding representations. The operations needed to perform a transformative migration are characterized as a digital ontology.

Authenticity – Data grids provide the ability to track operations done on each digital entity. This capability can be used to track the provenance of digital entities, including the operations performed by archivists. Audit trails record the dates of all transactions and the names of the persons who performed the operations. Digital signatures and checksums are used to verify that between transformation events the digital entity has remained unchanged. The mechanisms used to accession records can be re-applied to validate the integrity of the digital entities between transformative migrations. Data grids also support versioning of digital entities, making it possible to store explicitly the multiple versions of a record that may be received. The version attribute can be mapped onto the logical name space as both a time-based snapshot of a changing record, and as an explicitly named version.

#### 1.1.6 Access

Access provides the ability to discover relevant documents, transport them from storage to the user, and interact with storage systems for document retrieval.

Derived data product access – Virtual data grids provide direct access to the derived data product when it exists. This implies the ability to store information about the derived data products within a collection that can be queried. A similar capability, implemented as a finding aid, is used to characterize the multiple data collections and the contained data entities that are stored in a persistent archive. The finding aid can be used to decide which archived collection to instantiate if the collection is not already on-line.

Data transport – Data grids provide transport mechanisms for accessing data in a distributed environment that spans multiple administration domains. This includes support for moving data and metadata in bulk, while authenticating the user across administration domains. Data grids also provide multiple roles for characterizing the allowed operations on the stored data, independently of the underlying storage systems. Users can be assigned the capabilities of a curator, with the ability to create new sub-collections, or annotator with the ability to add comments about the digital entities, or submitter, with the ability to write data into a specified sub-collection, or public user, with the ability to read selected sub-collections. Annotations are an example of the execution of transactions on the original digital entities. The annotations are mapped onto the logical name space and are managed independently of the original digital entities.

Storage repository abstraction - Data grids provide the mechanisms needed to support distributed data access across heterogeneous data resources. Data grids implement servers that map from the protocols expected by each proprietary storage repository to the storage repository abstraction. This makes it possible to access digital entities through a standard interface, no matter where it is stored.

## 1.2 Persistent Archive Functionality Requirements

The requirements for a persistent archive can be expressed in general as "transparencies" that hide virtual data grid implementation details. Examples include digital entity name transparency, data location transparency, platform implementation transparency, encoding standard transparency, and authentication transparency for single sign-on systems. The capabilities of a persistent archive can be characterized as the set of "transparencies" needed to manage technology evolution. Implementations exist in data grids for at least five key functionalities or transparencies that simplify the complexity of accessing distributed heterogeneous systems:

- Name transparency – The ability to identify a desired digital entity without knowing its name can be accomplished by queries on descriptive attributes, organized as a collection. Persistent archives are inherently archives of collections of digital entities that map from unique attribute values to a logical persistent identifier.
- Location transparency – The ability to retrieve a digital entity without knowing where it is stored can be accomplished through use of a logical name space that maps from the logical persistent identifier to a physical storage location and physical file name. If the data grid owns the digital entities (stored under the data grid user ID), the administrative attributes for storage location and file name can be self-consistently updated each time the digital entity is moved.
- Platform implementation transparency – The ability to retrieve a digital entity from arbitrary types of storage systems can be accomplished through use of a data grid that provides a storage repository abstraction. The data grid maps from the protocols needed to talk to the storage systems to the operations defined by the storage repository abstraction. Every time a new type of storage system is added to the persistent archive, a new driver is added to the data grid to map from the new storage access protocol to the data grid data transport protocol. Similar platform transparency is needed for the information repository in which the persistent archive stores the collection context. An information repository abstraction is defined for the set of operations needed to manipulate a catalog in an information repository, or database.
- Encoding standard transparency – The ability to display a digital entity requires understanding the associated data model and encoding standard for information. If infrastructure independent standards are used for the data model and encoding standard (non-proprietary, published formats), a persistent archive can use transformative migrations to maintain the ability to display the digital entities. The transformative migrations will need to

be defined between the original encoding standard and the contemporary infrastructure independent data model standard.

- Authentication transparency – The ability to create a single sign-on environment for authenticating use of resources in multiple administrative domains. Grids provide an inter-realm authentication system, the Grid Security Infrastructure (GSI) that maps user identity across administrative domains. GSI also supports the Generic Security Service API to map from public key infrastructure to site dependent authentication environments such as Unix systems, Kerberos, and DCE. The combined environment makes it possible to maintain user identity while new authentication systems are integrated into the grid. The GSI approach assumes that operations by system administrators will not result in unauthorized access. The management of system administrator actions is a policy issue not addressed in this document.

The authorization of access is simplified through the use of collection-owned data. Digital entities stored within a data grid may be stored under a user-ID associated with the data grid. Access to the data is then restricted to access by data grid servers. Access control lists are used by the data grid to identify the set of operations a user may execute. By associating the access controls with the logical name, the access controls can be used to enforce authorization for all replicas of a digital entity, independently of the type of storage repository.

The data grid transparencies listed above provide mechanisms to manage distributed data. The choice of when to apply the mechanisms and the expression of the policies that guide the choices is not addressed in this document.

The infrastructure that supports the above transparencies exists in multiple data grid implementations. When one examines the data grid implementations, it is possible to identify over 150 different capabilities that have been implemented to facilitate the management of data and information in distributed environments. The challenge is defining the minimal set of capabilities that should be provided by a data grid for implementing a viable persistent archive. The fundamental capabilities can be categorized as:

- Logical name space
- Storage repository abstraction
- Information repository abstraction
- Distributed resilient scalable architecture
- Virtual data grid

A set of core capabilities and functions has been defined in Table 1. The list includes the essential capabilities that simplify the management of collections of digital entities while the underlying technology evolves. The use of each capability or function by one of the six archival processes is indicated. The columns are labeled by App (Appraisal), Acc (Accessioning), Arr (Arrangement), Des (Description), Pres (Preservation), and Ac (Access).

Each of the core data grid capabilities is characterized in Appendix B. The decision to mark a capability as required by an archival process was inclusive. All proposed uses of a capability by an archival process that were mentioned by reviewers through the Global Grid Forum review process were included.

Table 1 indicates one of the problems in defining a core set of capabilities and functions, in that many of them are used by most of the archival processes. Thus the logical name space is used when referencing archived digital entities by all of the archival processes. This implies there may be a better decomposition of archival tasks that is more strongly aligned with the application of a logical name space versus the mechanisms used to manipulate digital entities. For this paper, we choose to retain the traditional characterization of archival processes.

<b>Core Capabilities and Functions</b>	<b>App</b>	<b>Acc</b>	<b>Arr</b>	<b>Des</b>	<b>Pres</b>	<b>Ac</b>
Storage repository abstraction		x	x		x	x
Storage interface to at least one repository		x	x	x	x	x
Standard data access mechanism		x	x	x	x	x
Standard data movement protocol support		x	x	x	x	x
Containers for data		x	x		x	x
Logical name space	x	x	x	x	x	x
Registration of files in logical name space	x	x	x	x	x	
Retrieval by logical name		x	x		x	x
Logical name space structural independence from file name	x	x	x	x	x	x
Persistent handle		x	x	x	x	x
Information repository abstraction	x	x	x	x	x	x
Collection owned data	x	x	x	x	x	x
Collection hierarchy for organizing logical name space	x	x	x	x		
Standard metadata attributes (controlled vocabulary)	x	x	x	x	x	x
Attribute creation and deletion- Ability to modify attributes	x	x	x	x	x	
Scalable metadata insertion		x	x	x	x	
Access control lists for logical name space	x	x	x	x	x	x
Attributes for mapping from logical file name to physical file		x	x		x	x
Encoding format specification attributes	x	x		x	x	x
Data referenced by catalog query						x
Containers for metadata		x	x	x	x	x
Distributed resilient scalable architecture	x	x	x	x	x	x
Specification of system availability		x			x	x
Standard error messages		x	x	x	x	x
Status checking		x	x	x	x	x
Authentication mechanism	x	x	x	x	x	x
Specification of reliability against permanent data loss	x	x	x	x	x	
Specification of mechanism to validate integrity of data		x	x	x	x	x
Specification of mechanism to assure integrity of data	x	x	x	x	x	x
Virtual Data Grid		x	x	x	x	x
Knowledge repositories for managing collection properties	x	x	x	x	x	x
Application of transformative migration for encoding format		x	x	x	x	x
Application of archival processes		x	x	x	x	x

Table 1. Core data grid capabilities and functions for implementing a persistent archive

Possibly the unique capability that must be present in a persistent archive is the ability to preserve authenticity. This implies an environment in which only authorized actions can take place. Every operation within the persistent archive should be tracked, and the corresponding metadata updated to guarantee consistency of the authenticity metadata. This can be most easily implemented by having the digital entities stored under the control of the data grid. This forces access to be done through the data grid, making it possible to track all operations that are done on the digital entities, from transformative migrations, to media migrations, to replication, to accesses. Data grids implement restricted access through the use of collection-based ownership of the registered digital entities. If actions are allowed that are not performed using the data grid infrastructure, then the consistency between the archival context and archival content will be lost.

We note that the choice of core capabilities is an opportunistic definition of the mechanisms that are now available through data grids. We recognize that many of the core capabilities can be implemented as procedural policies on current file system based storage repositories, without using data grid technology. For example, authenticity can be managed by defining a set of user IDs that are allowed to write to the archive. One can then require that the defined set of persons manually enter characterizations of all operations that they perform. In practice, this approach would be labor intensive. The list of core capabilities is intended to minimize the labor associated with organizing, managing, and evolving a persistent archive.



Virtual data grids provide the mechanisms to automate the application of archival processes, record the resulting state information as attributes maintained within the archival context, and maintain a consistent environment. The logical name space maintained by data grids makes it possible to apply archival processes in a distributed environment, either across heterogeneous resources distributed in space, or across heterogeneous resources that represent new versions of technology. The ability to incorporate new technology into a persistent archive is equivalent to the migration of a collection from an older version of technology to a newer version of technology.

A question is whether the levels of abstraction associated with virtual data grids are consistent with operations in persistent archives. One can think of a data grid as the set of abstractions that manage differences across storage repositories, information repositories, knowledge repositories, and execution systems. Data grids also provide abstraction mechanisms for interacting with the objects that are manipulated within the grid, including digital entities (logical namespace), processes (service characterizations or application specifications), and interaction environments (portals). The data grid approach can be defined as a set of services, and the associated APIs and protocols used to implement the services. The data grid is augmented with portals that are used to assemble integrated work environments to support specific applications or disciplines. An example is an archivist workbench, which provides separate functions for each of the archival processes. A major question is whether a persistent archive is better implemented as a virtual data grid, incorporating the required functionality directly into the grid, or as a portal, with the required authenticity and management control implemented as an application interface. The answer depends upon the ability to assert authenticity while managing technology evolution. The expectation is that the development of the ability to manage technology evolution within a portal is equivalent to the creation of data grid infrastructure. Hence we believe data grids provide a more fundamental approach.

### 1.3 Persistent Archive versus Persistent Storage

There is a distinction between Persistent Archives and Persistent Storage. Persistent storage systems provide archival media that have a very long shelf life, such as heavy-ion beam encoded disk, film, etc. A standard encoding is chosen, such as ASCII that is assumed readable at an arbitrary date in the future. The technology to extract meaning from the archived material is based on the ability to parse ASCII. Persistent archives recognize that there is a cost benefit that can be obtained by migrating to new technology, including minimization of floor space through higher density media, lower cost storage media, elimination of obsolete equipment, and improved access.

Both systems need universal identifiers, the ability to manage descriptive, authenticity, and preservation metadata for the archived material, policy management systems to control the archival workflow, and audit trails of transactional activity and user history. Grid technology provides the mechanisms that make it possible to migrate to new versions of technology, and to new archival services. The distributed state information that is managed by grid technology can be employed to support more extended applications for in-depth re-purposing beyond general catalog functions.

## 2. Data Grid Implementations

For a persistent archive implementation to be based upon existing data grids, we must demonstrate that the corresponding capabilities are actually present within current data grid environments. To better understand the current status of data grids, we present an analysis of the capabilities that are already provided by production systems. A survey was conducted in calendar year 2002 to identify the capabilities that are supported by most data grid implementations. We note that the data grids that were examined were used to support distributed data collections, digital libraries, and persistent archive projects. The Global Grid

Forum continues to promote the development of standards for the implementation of data grids.

In the survey, a comparison was made between the Storage Resource Broker (SRB) data grid from the San Diego Supercomputer Center, the European DataGrid replication environment (based upon GDMP, a project in common between the European DataGrid and the Particle Physics Data Grid, and augmented with an additional product of the European DataGrid for storing and retrieving meta-data in relational databases called Spitfire and other components), the Scientific Data Management (SDM) data grid from Pacific Northwest Laboratory, the Globus toolkit, the Sequential Access using Metadata (SAM) data grid from Fermi National Accelerator Laboratory, the Magda data management system from Brookhaven National Laboratory, and the JASMine data grid from Jefferson National Laboratory. These systems have evolved as the result of input by user communities for the management of data across heterogeneous, distributed storage resources.

The EGP, SAM, Magda, and JASMine data grids support high energy physics data. The SDM system provides a digital library interface to archived data for PNL and manages data from multiple scientific disciplines. The Globus toolkit provides services that can be composed to create a data grid. The SRB data handling system is used in projects for multiple US federal agencies, including the NASA Information Power Grid (digital library front end to archival storage), the DOE Particle Physics Data Grid (collection-based data management), the National Library of Medicine Visible Embryo project (distributed data collection), the National Archives and Records Administration (persistent archive prototype), the NSF National Partnership for Advanced Computational Infrastructure (distributed data collections for astronomy, earth systems science, and neuroscience), the Joint Center for Structural Genomics (data grid), the National Science Digital Library (persistent archive), and the National Institute of Health Biomedical Informatics Research Network (data grid).

The systems we examine therefore include not only data grids, but also distributed data collections, digital libraries and persistent archives. Since the core component of each system is a data grid, we can expect common capabilities to exist across the multiple implementations. The systems that provided the largest number of features tended to have the most diverse set of user requirements.

The comparison is an attempt at understanding what data grid architectures provide to meet existing application requirements. The capabilities are organized into functional categories, such that a given capability is listed only once. The categories have been chosen based on the need to manage a logical name space, the management of attributes in the logical name space, the storage abstraction for accessing remote storage systems, the types of data manipulation, and the data grid architecture. Since the listed data grids have been in use for multiple years, the features that have been developed represent a comprehensive cross-section of the features in actual use by production systems. The terms used in the comparison are explained in the Glossary in section 7. The detailed results of the comparison are shown in Appendix A.

## 2.1 Common Data Grid Capabilities:

What is most striking is that common data grid capabilities are emerging across all of the data grids. Each data grid implements a logical name space that supports the construction of a uniform naming convention across multiple storage systems. The logical name space is managed independently of the physical file names used at a particular site, and a mapping is maintained between the logical file name and the physical file name. Each data grid has added attributes to the name space to support location transparency, file manipulation, and file organization. Most of the grids provide support for hierarchical logical folders within the namespace, and support for ownership of the files by a community or collection ID.

The logical name space attributes typically include the replica storage location, the local file

name, and user-defined attributes. Mechanisms are provided to automate the generation of attributes such as file size and creation time. The attributes are created synchronously when the file is registered into the logical name space, but many of the grids also support asynchronous registration of attributes.

Most of the grids support synchronous replica creation, and provide data access through parallel I/O. The grids check transmission status and support data transport restart at the application level. Writes to the system are done synchronously, with standard error messages returned to the user. At the moment, the error messages are different across each of the data grids. The grids have statically tuned the network parameters (window size and buffer size) for transmission over wide area networks. Most of the grids provide interfaces to the GridFTP transport protocol.

The most common access APIs to the data grids are a C++ I/O library, a command line interface and a Java interface. The grids are implemented as distributed client server architectures. Most of the grids support federation of the servers, enabling third party transfer. All of the grids provide access to storage systems located at remote sites including at least one archival storage system that can write data onto removable media such as tape. The grids either use a single catalog server to manage the logical name space attributes, or a hierarchical catalog, or a peer-to-peer federation of catalogs. All of the data grids provide some form of latency management, including caching of files on disk, streaming of data, and replication of files.

### 3. Example Persistent Archive

An example persistent archive has been constructed using the San Diego Supercomputer Center Storage Resource Broker data grid (SRB). The persistent archive provides support for not only the long-term preservation environment, but also for the automation of archival processes that are needed to create archival forms and for transformative migrations. The persistent archive is the set of mechanisms that are needed to ensure authenticity while managing technology evolution. An environment is provided that supports the application of archival processes as well as the storage of the resulting archival forms, while maintaining consistency between the archival context and the archive content. The persistent archive components based upon the SRB include:

- Logical name space implemented in a Metadata Catalog (MCAT). The logical names are chosen by the archivist. An archivist typically sets the logical names to the names within the original record collection through a registration process. A mapping is maintained from the logical name to the physical file location. The logical names are location independent, and are organized in a collection hierarchy, allowing the specification of different descriptive metadata for each sub-collection. Shadow links are supported for the registration of digital entities into the data grid without data movement. Digital entities may include files, URLs, SQL command strings, directories, and database tables. Distributed state information is mapped onto the logical name space as attributes.
- Storage repository abstraction implemented in the SRB. The set of operations that are supported include Unix file system operations (create, open, close, unlink, read, write, seek, sync, stat, fstat, mkdir, rmdir, chmod, opendir, closedir, and readdir), latency management operations (aggregation of data, I/O commands, and metadata), and metadata manipulation (extraction, registration) through use of remote proxies. Containers are used to physically aggregate digital entities before storage into archives. Both digital entities and containers can be replicated. The storage repository abstraction is used to manage data within Unix file systems, archives, object-relational databases, object ring buffers, storage resource managers, FTP sites, GridFTP sites, and Windows file systems. The Unix file system operations have proven to be a superset of the operations required to manipulate data within archives. Additional operations are provided to manipulate metadata within a database.

- Information repository abstraction implemented in the MCAT. Mechanisms are supported for schema extension through addition of new attributes, table restructuring, and metadata import and export through XML files. Soft links are supported for logical reorganization of digital entities within a collection hierarchy. Metadata attributes are maintained for provenance attributes (Dublin core), administrative metadata (file location), descriptive metadata (user-defined attributes), and authenticity metadata (audit trails, digital signatures). The information repository abstraction is used to manage metadata in both proprietary and non-proprietary databases including DB2, Oracle, Sybase, Informix, MySQL, and Postgresql.
- Distributed resilient architecture implemented through a federated client server architecture. Servers are installed in front of each storage repository and in front of the information repository. Access to the system results in the creation of a service instance that manages further interactions for the request. The service instance retrieves all required state information from the MCAT catalog that is needed to complete the request, and interacts with remote servers as needed to access the data. The system has been designed to minimize the number of message sent over wide area networks to improve performance and increase reliability. Data retrieval requests are automatically retried on a replica when a storage repository does not respond. All error messages generated by the network, storage repository, and information repository are returned to the user. Consistency constraints on distributed state information are explicitly integrated into the software through use of write locks and synchronization flags. This makes it possible to create a new version for a file that has been aggregated into a container and replicated into an archive, lock out competing activities to avoid over-writes, and then synchronize all replicas to the new state. An example of a new version is the result of a transformative migration to a new encoding format. When additional records for a record series are received, they can be appended to the container holding the records that have already been accessioned.
- Changes to digital entities within a container are made by marking the original digital entity as deleted, and appending the new form of the digital entity to the end of the container. Alternatively, the new digital entity can be maintained as a version. This operation is used in the archival process of accession, when the ingested material is examined for compliance with an accession schedule and specified encoding format. This process is also used during the staged generation of archival forms, when processing a digital entity through multiple steps, and is used in migration to new encoding formats. The addition of digital entities to an archival collection can also be done through soft links within the logical name space, making it possible to link digital entities into an existing collection, while simultaneously organizing the new digital entities in a separate sub-collection. All system metadata is automatically generated and updated by the SRB on each request.
- Virtual data grid implemented through use of remote proxies and external process management systems. The SRB provides a mechanism to process data remotely, before it is sent over a network. The Ohio State University DataCutter technology is used to filter data. External process management systems can control the generation of derived data products through application of remote proxies or the DataCutter filters. Interactions with databases can be expressed through SQL command strings that are registered into the logical name space. The SRB is able to apply simple transformative migrations such as unit conversion and reformatting of query results into HTML or XML. More complex transformations require the use of a process management system.

#### 4. Summary

A proposed set of core capabilities can be defined for minimizing the labor required to implement, manage, and evolve a persistent archive. The capabilities are present within implementations of current data grids. Many of the capabilities are general properties that have been implemented across almost all existing data grids. A characterization of each capability has been defined.

This characterization can be used as the set of requirements for defining a persistent archive architecture.

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More information about the example persistent archive based on the San Diego Supercomputer Center Storage Resource Broker can be found at <http://www.npaci.edu/DICE/SRB> and <http://www.sdsc.edu/NARA>.

## 7. Glossary

The terms used to describe data grid technology in the tables and appendices are defined in this section.

### 7.1 Data grid terms for a logical name space

A logical name space is a naming convention for labeling digital entities. The logical name space is used to create global, persistent identifiers that are independent of the storage location. Within the logical name space, information consists of semantic tags that are applied to digital entities.

Metadata consists of the semantic tags and the associated tagged data, and is typically managed as attributes in a database. Metadata is called data about data.

Collections organize the metadata attributes that are managed for each digital entity that is registered into the logical name space

Registration corresponds to adding an entry to the logical name space, creating a logical name and storing a pointer to the file name used on the storage system.

The logical name space can be organized as a collection hierarchy, making it possible to associate different metadata attributes with different sets of digital entities within the collection. This is particularly useful for accession, arrangement, and description.

Logical folders within a collection hierarchy represent sub-collections, and are equivalent to directories in a file system, but are used to manage different sets of metadata attributes.

Soft links represent the cross registration of a single physical data object into multiple folders or sub-collections in the logical name space

Shadow links represent pointers to objects owned by individuals. They are used to register individual owned data into the logical name space, without requiring creation of a copy of the object on storage systems managed by the logical name space.

Replicas are copies of a file registered into the logical name space that may be stored on either the same storage system or on different storage systems.

Collection-owned data is the storage of digital entities under a Unix user ID that corresponds to the collection. Access to the data is then restricted to a server running under the collection ID.

User access is accomplished by authentication to the data grid, checking of access controls for authorization, and then retrieval of the digital entity by the data grid from storage through the collection ID for transmission to the user.

## 7.2 Data grid terms for a storage repository abstraction

A storage repository is a storage system that holds digital entities. Examples are file systems, archives, object-relational databases, object-oriented databases, object ring buffers, FTP sites, etc.

A storage repository abstraction is the set of operations that can be performed on a storage repository for the manipulation of data.

A container is an aggregation of multiple digital entities into a single file, while retaining the ability to access and manipulate each digital entity within the container.

Load balancing within a logical name space consists of distributing digital objects across multiple storage systems

Storage completion at the end of a single write corresponds to synchronous data writes into storage.

Third party transfer is the ability of two remote servers to move data directly between themselves, without having to move the data back to the initiating client

Metadata about the I/O access pattern is used to characterize interactions with a digital entity, recording the types of partial file reads, writes, and seeks.

Synchronous updates correspond to finishing both the data manipulations and associated metadata updates before the request is completed.

Asynchronous updates correspond to completion of a request within the data handling system,

after the return was given to a command.

Storage Resource Managers control the load on a Hierarchical Resource Manager or disk file system. They rearrange the submitted work load to optimize retrieval from tape, stage data from the HRM to a disk cache, and manage the number of allowed simultaneous I/O requests.

### 7.3 Data grid terms for an information repository abstraction

An information repository is a software system that is used to manage combinations of semantic tags (attribute names) and the associated attribute data values. Examples are relational databases, XML databases, Lightweight Directory Access Protocol servers, etc.

An information repository abstraction is the set of operations that can be performed on an information repository for the manipulation of a catalog or collection.

Template based metadata extraction applies a set of parsing rules to a document to identify relevant attributes, extracts the attributes, and loads the attribute values into the logical collection.

Bulk metadata load is the ability to import attribute values for multiple objects registered within the logical name space from a single input file.

Curation control corresponds to the administration tasks associated with creating and managing a logical collection

### 7.4 Data grid terms for a distributed resilient scalable architecture

Federated server architecture refers to the ability of distributed servers to talk among themselves without having to communicate through the initiating client.

GSI authentication is the use of the Grid Security Infrastructure to authenticate users to the logical name space, and to authenticate servers to other servers within the federated server architecture

Dynamic network tuning consists of adjusting the network transport protocol parameters for each data transmission to change the number of messages in flight before acknowledgements are required (window size) and the size of the system buffer that holds the copy of the messages until the acknowledgement is received.

SDLIP is the Simple Digital Library Interoperability Protocol. It is used to transmit information for the digital library community

### 7.5 Data grid terms for a virtual data grid

The automation of the execution of processes is managed in virtual data grids. References to the result of a process can result in the application of the process, or direct access to the result.

Knowledge corresponds to relationships between attributes, or to relationships that characterize properties of a collection as a whole. Relationships can be cast as inference rules that can be applied to digital entities. An example is the set of structural relationships used to parse metadata from a digital entity in metadata extraction.

The application of processes at remote storage systems is accomplished through systems such as the DataCutter, a data filtering service developed by Joel Saltz at the Ohio State University, which is executed directly on a remote storage system.

Transformative migrations correspond to the processing of a digital entity to change its encoding format. The processing steps required to implement the transformative migration can themselves be characterized and archived, and then applied later.

Digital ontologies organize the set of semantic, structural, spatial, temporal, procedural, and functional relationships that are present within a digital entity. The digital ontology specifies the order in which the relationships need to be applied in order to correctly display or manipulate the digital entity.

Derived data products are created by execution of processes under the control of a virtual data grid. For persistent archives, derived data products can be data collections or transformative migrations of digital entities to new encoding formats. A data collection can be thought of as a derived data product that results from the application of archival processes to a group of constituent documents.

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**Appendix A. Data Grid Capability Summary:**

A consensus on the approach towards building data grids can be gathered by examining which features are implemented by at least five of the seven surveyed data grids. Across the eleven categories of capabilities covered by the comparison, the following capabilities are the common features and represent a standard approach. The number of grids that provided a given feature is listed in parentheses, with the default value being all of the grids.

<b>Logical name space</b>	
	Logical name space independence from physical name space
	Hierarchical logical folders (5)
	Management of attributes used for each capability (registration, deletion)
	Deletion of entities from logical name space
	Soft links between objects in logical folders (6)
	Support for collection owned data (5)
	Registration of files into logical name space
<b>Logical name space attributes</b>	
	Replica storage location, local file name
	Group access control lists (5)
	Bulk asynchronous load of attributes (5)
	User defined attributes (5)
<b>Attribute manipulation</b>	
	Automated size, time stamp
	Synchronous attribute update
	Asynchronous annotation (6)
<b>Data Manipulation</b>	
	Synchronous replica creation (6)
<b>Data Access</b>	
	Parallel I/O support (6)
	Transmission status checking (6)
	Transmission restart at application level
	Synchronous storage write
	Standard error messages
	Thread safe client (5)
	Static network tuning (5)
	GridFTP support (5)
<b>Access APIs</b>	
	C++ I/O library API (5)
	Command line interface
	Java interface (6)
	Web service interface (5)
<b>Architecture</b>	
	Distributed client server
	Federated server (6)
	Distributed storage system access
	Third party transfer (5)
	GSI authentication (5)
<b>Latency Management</b>	
	Streaming (6)
	Caching
	Replication (6)
	Staging (5)
<b>System Support</b>	
	Storage Resource Manager interface (5)
	Archive interface to at least one system
	Single catalog server (6)
	Performance for import/export of files greater than 20 files per sec (5)
	Management of file transfer errors (5)

## **Appendix B. Definition of Core Capabilities for Persistent Archives**

### **1. Storage repository abstraction**

Core capability definition:

The set of operations that can be used to manipulate data within a storage repository.

Functionality provided by the capability

A storage repository holds digital entities. By mapping from the storage repository abstraction to the protocols required by a particular storage repository, it is possible to manage data in any type of storage system, including file systems, hierarchical storage managers, databases. To add a new type of storage system to the data grid, a new driver is written to map from the storage repository abstraction to the new access protocols.

Example grid implementation

A standard set of operations for management of distributed data may include Unix file system operations (create, open, close, unlink, read, write, seek, sync, stat, fstat, mkdir, rmdir, chmod, opendir, closedir, and readdir), latency management operations (aggregation of data, I/O commands, and metadata), and metadata manipulation (extraction, registration).

### **2. Storage interface to at least one repository**

Core capability definition

Every persistent archive will contain at least one storage system for holding digital entities.

Functionality provided by the capability

The storage repository is intended to provide long term residency for data, the bits that comprise the digital entity. The information and knowledge content within the data may be annotated and encapsulated in Open Archival Information System (OAIS) packages. While this content may also reside in the storage repository, support for discovery based on the information content would be supported by an information repository.

Example grid implementation

Traditional long term residency systems for data are based on use of tape, managed by a hierarchical storage manager. However the capital cost of disk systems is starting to approach that of tape systems, with similar storage capacities. By using data grids to manage the digital entities, the user authentication, and the user authorization, the labor costs of disk systems can also be reduced to that of tape.

### **3. Standard data access mechanism**

Core capability definition

The user interface used to access digital entities residing in a storage repository.

Functionality provided by the capability

A standard data access mechanism provides a uniform interface to digital entities residing in the storage repositories. The choice of standard access mechanism can be made separately from the choice of storage repository. The data access mechanism can be kept the same across multiple versions of storage repositories over time.

Example grid implementation

The choice for standard data access mechanism can be a web services interface based on the Open Grid Services Architecture, or a web browser interface. The standard data access mechanism specifies the user Application Programming Interface (API) that will be preserved over time.

#### **4. Standard data movement protocol support**

##### Core capability definition

The data transfer protocol that is used between the API and the storage repository abstraction.

##### Functionality provided by the capability

A standard data transport protocol minimizes the amount of effort needed to implement a data grid. The transport mechanism should provide parallel I/O support for bulk data transport, reliable and guaranteed delivery of data, and interoperate with a standard authentication protocol.

##### Example grid implementation

An emerging standard is the GridFTP protocol for data movement. Other protocols are in extensive use, including the SRB data transport and http. It is possible to build protocol conversion mechanisms to map between multiple data transport protocols.

#### **5. Containers for data**

##### Core capability definition

An aggregation mechanism to keep multiple digital entities in a single file.

##### Functionality provided by the capability

Containers make it possible to guarantee that multiple digital entities are stored on the same media. Containers also provide a needed management function for hierarchical resource managers, by minimizing the number of names that must be maintained in the HRM. Containers provide a latency management function, making it possible to move many digital entities as a single file.

##### Example grid implementation

The Storage Resource Broker data grid uses containers to aggregate data before storage on Hierarchical Resource Managers. References to a digital entity within a container causes the container to be cached on disk, off-loading I/O commands from the HRM. A containerization service is being developed as part of the Globus tool kit.

#### **6. Logical name space**

##### Core capability definition

Naming convention for labeling digital entities.

##### Functionality provided by the capability

The logical name space is used to create global, persistent identifiers that are independent of the storage location. This makes it possible to reference digital entities that reside on multiple storage systems using a common set of names.

##### Example grid implementation

Replica catalogs provide a mapping from the physical file name to a global identifier. The name space can be organized independently of the directory structures on the storage systems. Global names are created that can be used as persistent identifiers.

#### **7. Registration of files in logical name space**

##### Core capability definition

Mechanism to add digital entities to the name space.

Functionality provided by the capability

A logical name space can be used to register arbitrary digital entities. The most common digital entity used in preservation is a file. Registration corresponds to adding an entry to the logical name space, creating a logical name and storing a pointer to the physical file and its location.

Example grid implementation

Logical name spaces in data grids have been used to register files, URLs, SQL command strings, processing templates for metadata extraction, executables, etc. It is possible to register a link within the logical name space (soft link), which provides a way to re-purpose data without having to replicate the digital entity.

## **8. Retrieval by logical name**

Core capability definition

Mechanism to retrieve a digital entity by mapping from the logical name to the physical location where the digital entity resides.

Functionality provided by the capability

Retrieval can include the physical transport of the digital entity to the client application that made the request. Retrieval can also include the invocation of a display or presentation application. Retrieval can also include the invocation of the digital entity in the case of a URL, or the execution of the digital entity in the case of a SQL command string.

Example grid implementation

Data grids invoke different retrieval mechanisms depending upon the type of user interface or API. Web browsers tend to invoke display applications on retrieval, while C library calls usually process the digital entity using Unix file operations. The digital entity can be partially returned, in the case of partial file reads, or may be returned in its entirety.

## **9. Logical name space independence from physical name space**

Core capability definition

The organization of the logical name space has no dependence upon the organization of the physical name space.

Functionality provided by the capability

The logical name space can be organized as a directory hierarchy or a hierarchical collection. Pointers are used to identify the location of the digital entity within a storage system. The pointers can point to an arbitrary physical directory. For replicas of digital entities, the location of each replica in a storage system can be specified independently of all other replicas.

Example grid implementation

The ability to decouple the logical name space completely from physical names for digital entities makes it possible to manage a wide variety of digital entities. Logical name space independence is particularly important when registering URLs as replicas of each other. Each URL points to a different site, but is recorded as being equivalent. Replica catalogs also require logical name space independence when registering files as replicas of each other, when the files reside in different types of file systems (Windows NT versus Linux).

## **10. Persistent handle**

Core capability definition

Infrastructure independent naming convention for a digital entity. The naming convention can be semantic free as well as location independent.

#### Functionality provided by the capability

Digital entity names can be persistent if their semantic meaning is decoupled from the physical location representing their storage location. Depending upon the management policies, the logical semantic tag can be kept invariant as the digital entity is migrated across multiple storage systems. Within the context of the collection for which the logical name is created, the naming convention can represent a globally unique identifier. A persistent handle can be implemented as a logical name. The choice of the syntax for the logical name is arbitrary. It can be defined via a handle system relative to an organization, or can be defined relative to a collection, or can be a user-defined name.

#### Example grid implementation

The implementation of persistent handles requires the ability to manage the consistency of the logical name space. While the persistent handle is held invariant over time, the archival state information mapped to the handle needs to remain consistent. Every operation on digital entities within the logical name space needs to be mirrored by appropriate changes to the location attributes associated with the logical name. Updates of the preservation context in distributed environments can be automated if the digital entities are owned by the collection in which the location attributes are maintained. Then it is possible to guarantee consistency of the persistent handles. The physical file name that represents a digital entity can be kept consistent with the persistent handle. Data grids have been implemented in which digital entities are owned by the collection (consistent environments), and in which digital entities are owned by individuals (consistency dependent upon user policies for updating the replica catalog references).

### **11. Information repository abstraction**

#### Core capability definition

The set of operations that can be used to manipulate a catalog within an information repository such as a database.

#### Functionality provided by the capability

Technology evolution applies equally well to information repositories as it does to storage repositories. An abstraction for catalog manipulation operations is needed to make it possible to migrate the persistent archive metadata to new database technology.

#### Example grid implementation

Typical operations that are performed on information repositories include schema extension, bulk metadata loading, automated SQL generation, bulk metadata extraction and formatting. For a virtual data grid, in which the archived collection context is dynamically created by parsing the digital entities for information content, the information repository abstraction needs to include the ability to dynamically create a database instance.

### **12. Collection owned data**

#### Core capability definition

Ownership of digital entities within storage repositories by the organizing collection.

#### Functionality provided by the capability

To maintain authenticity, all manipulations of digital entities within a persistent archive need to be audited. Tracking mechanisms can be built into the policy management specifications for a persistent archive, or they can be integrated into the data management system such that any change to the location or format of a digital entity is automatically recorded in the collection metadata. To minimize manual labor requirements, automation of metadata tracking is required. This can be accomplished by having the collection own the digital entities, requiring the involvement of the collection software before any operation can be performed on the digital entities.

#### Example grid implementation

Support for collection owned data is becoming a standard capability within data grids. Of the seven grids surveyed, five grids supported collection owned data. An implication is the need for the management of authorization mechanisms to restrict access. In the typical scenario, a user authenticates herself to the data grid. The data grid authenticates itself to the remote storage system, and checks its own access control lists to determine whether the user can manipulate the digital entity. Data grids decouple the management of the users and their access restrictions from the storage repositories. This simplifies administration of storage repositories that hold digital entities for the persistent archive.

### **13. Collection hierarchy for organizing logical name space**

#### Core capability definition

Use of collection/sub-collection hierarchies for organizing the logical name space attributes used to control digital entities

#### Functionality provided by the capability

Logical name spaces inherently require the specification of attributes to manage information about the physical location of each digital entity. Additional attributes are used to manage soft links and sub-collection specific metadata. Since each sub-collection can have a different set of attributes, a collection/sub-collection hierarchy is used to organize the logical name space. A more general structure for organization of the logical name space would be a graph, in which relationships are used on each link to define a context for organizing metadata attributes. Such organization mechanisms will be required in the future when knowledge relationships are managed for persistent archives, in addition to the informational semantic tags.

#### Example grid implementation

Management of a collection hierarchy can be facilitated by the use of schema indirection. The attributes assigned to a collection can be specified by use of two arrays, one to record the attribute name, and one to record the attribute value. The use of a collection hierarchy can also be expressed as the use of schema indirection for organizing attributes. Data grids have been implemented that use explicitly defined tables for digital entity attributes, and that use schema indirection to manage the attributes. Explicitly defined tables are preferred for collections that manage millions of files.

### **14. Standard metadata attributes (controlled vocabulary)**

#### Core capability definition

Use of standard metadata semantic names for describing collection specific attributes

#### Functionality provided by the capability

When a collection hierarchy is used to organize attributes for each collection, it is very easy to create semantic terms for the information content that are unique to the sub-collection. By using standard metadata attributes, the utility of the information content can be extended to terms that are in common across multiple collections.

#### Example grid implementation

Data grid collection hierarchies have been organized by inheriting metadata attributes from standard metadata schema, by inheriting metadata from the parent collection, and by assigning unique metadata. When such hierarchies are queried at the top level, it is not uncommon to find hundreds to thousands of metadata attributes across all sub-collections. The use of standard metadata attributes is essential to avoid semantic name explosion. An example is the use of Dublin Core. The two most widely used formats for describing archival collections are Encoded Archival Description (EAD) (<http://www.loc.gov/ead/>) and MARC (Machine-Readable Cataloging) (<http://lcweb.loc.gov/marc/index.html>) record attributes to specify provenance. An emerging



standard is METS (Metadata Encoding Transmission Standard). The associated attribute values also may have embedded semantics. Use of controlled vocabularies is needed to provide a consistent interpretation to both the semantic meaning of an attribute name and the semantic meaning of the attribute value.

## **15. Attribute creation and deletion**

### Core capability definition

Both attribute names and attribute value assignments can be created and deleted relative to the logical name space.

### Functionality provided by the capability

Schema extension is needed to allow descriptive metadata and administrative metadata to evolve over time. The state information that is generated by archival processes can evolve as new types of authenticity metadata become available, such as digital signatures, access controls, and as new types of preservation environments become available. From the perspective of researchers, the choice of the appropriate context to use for discovery typically depends upon the user community. The semantic names used for discovery will change as the user community evolves. The infrastructure for managing technology evolution must also manage the evolution of the naming conventions for the archival collection. The evolution of naming conventions is usually associated with re-purposing of archival content by researchers.

### Example grid implementation

Data grids support attribute creation through multiple mechanisms: synchronously when digital entities are registered, asynchronously after digital entities have been registered, and through bulk metadata registration. Attribute values are loaded from externally defined XML files, or through application of templates that apply parsing rules to annotate and extract semantic content. Attribute deletion is done either by setting a flag, or by actual deletion of the attribute from the collection.

## **16. Scalable metadata insertion**

### Core capability definition

Mechanisms to automate creation and loading of metadata attribute names and associated values.

### Functionality provided by the capability

Scalability is achieved through the automation of metadata manipulation processes. The processes include metadata extraction from the digital entities, the aggregation of the metadata into XML files, and the bulk loading of attributes into metadata catalogs. Scalability is enhanced by the implementation of each of these processes as parallel I/O streams.

### Example grid implementation

Scalable metadata insertion is typically achieved by working with database technology that supports concurrent transactions that can handle multiple simultaneous insertion streams. This requires technology to generate and manage the parallel I/O streams, either through creation of thread-safe clients, or by the spawning of multiple processes that simultaneously generate the I/O streams.

## **17. Access control lists for logical name space to control who can see, add, and change metadata**

### Core capability definition

Mechanisms for managing user authorization for access to persistent archive holdings

#### Functionality provided by the capability

For persistent archives that implement collection ownership of data held in storage repositories, a mechanism is needed to decide which digital entities can be accessed by each user. This requires an authentication mechanism to identify users, and an authorization mechanism to define access controls. Each collection and each digital entity may need separate access controls. In addition, separate access roles are needed for the archivist to manage metadata and accretions (additions to a set of accessioned records) to a collection after they have gone through the accessioning process and for the public for access to the material.

#### Example grid implementation

Data grids address authorization through the use of access control lists on groups of users and on individual users. The authorization mechanism can be implemented as metadata that is managed about users and user groups. The metadata can be implemented directly within the collection as a collection-specific table, or can be implemented in a separate authorization server that is used to control access to multiple collections. The choice of access roles can include: archivist, owner, writer, annotator, and reader.

The Role-Based Access Control (RBAC Standard) by NIST is a reasonable approach for Grid security. Since the complexity of maintaining privileges scales non-linearly and can be labor intensive, simple data grid mechanisms are needed to manage security policy and enhance administrative efficiency, flexibility, scalability, and accuracy. The RBAC standard provides support for many-to-many relationships among individual users and privileges; support for a session that maps between a user and an activated subset of assigned roles; user/role relations that can be defined independently of role/privilege relations; privileges that are system/application dependent; and accommodation for traditional but robust group-based access control.

### **18. Attributes for mapping from logical file name to physical file names**

#### Core capability definition

The logical name space manages attributes for mapping from the logical name for a digital entity to the physical name under which a digital entity is stored.

#### Functionality provided by the capability

The logical name space mapping to a physical name space can be one-to-one, with a single digital entity corresponding to the logical name. The mapping can be one-to-many, with multiple replicas associated with a single logical name. The mapping can be one-to-many with semantically equivalent, but syntactically different digital entities associated with the logical name. The mapping can be associative, with digital entities physically aggregated into a container and the container stored in a repository. The attributes in each case can contain not only the location of the digital entity and its name on the remote storage system, but also the name of the protocol required to talk to that storage system, the type of the digital entity, and Unix system semantics for information about the size, ownership, creation date, update date, etc.

#### Example grid implementation

The set of attributes associated with each digital entity can be unique in data grid implementations. Note that the attributes associated with a replica must be unique to that replica, since it resides at a different storage location or under a different path name on the same storage system. Similarly, it is possible to let the create and update times for each replica be unique, making it possible to track consistency across replicas. By allowing the data type of the digital entity to vary across replicas it is possible to manage syntactically different versions of the same logical digital entity.

### **19. Encoding format specification attributes**

#### Core capability definition

Specification of the data type or data model associated with each digital entity, or the digital ontology that organizes the relationships present within a digital entity.

Functionality provided by the capability

Since a persistent archive must allow the evolution of the encoding format of each digital entity, an attribute that is managed by the persistent archive should be the data type or data model. When transformative migrations are performed on the digital entity, semantically equivalent replicas are made, that are differentiated by the syntax associated with the new encoding format. The ability to specify the encoding format needs to apply to replicas of digital entities. Alternatively, a digital ontology can be used to characterize the digital entity, with transformative migrations on the encoding format for relationships applied to the digital ontology. The set of operations that can be performed on the defined relationships will also need to be characterized, and emulated by future presentation applications.

Example grid implementation

Encoding format specification is used for both static transformative migrations and dynamic transformative migrations. The conversion from an old encoding format to a new encoding format can be thought of as a static transformation that is performed once. The conversion from an encoding format to an associated display can be thought of as a dynamic transformation that is invoked every time the digital entity is viewed. Graphical user interfaces to data grids typically access the data type associated with a digital entity to decide which display application should be invoked when the digital entity is retrieved and thus perform dynamic transformative migrations.

## **20. Data referenced by catalog query**

Core capability definition

Mechanisms for attribute-based digital entity discovery

Functionality provided by the capability

Given the very large number of digital entities that are being archived, it is not possible to a priori know the logical names of all digital entities within a collection. A context is described for the digital entities by specifying semantic terms and associated attribute values. Discovery of a particular digital entity is then accomplished by querying on the attribute values. This requires that the user recognize the semantics inherent in the attribute names.

Example grid implementation

The mechanisms used to do discovery in data grids range from explicit creation of SQL commands, to specification of attribute names and values and automated generation of the required SQL. The latter approach requires the ability to characterize the table structure of the data grid metadata catalog, identify the foreign keys that are used between the tables, and generate the required joins. The result of the query generates logical names, which can then be queried to discover the associated physical replicas. Alternatively, the metadata catalog query can result in direct access to the "nearest" copy of the associated physical file.

## **21. Containers for metadata**

Core capability definition

Mechanisms for manipulating metadata attributes that are aggregated into a single file

Functionality provided by the capability

In data grids, metadata containers are primarily used for latency management. The metadata containers are used to transport metadata from a remote site for the accession process, to package metadata for bulk loading into a metadata repository during the description process, and to package query results for the access process.

#### Example grid implementation

The use of XML annotated files makes it possible to assemble metadata attributes for either bulk metadata ingestion or bulk metadata export. By structuring the XML annotated file through application of either an XML DTD or XML Schema, a characterization of the collection can be created. When metadata is extracted from a digital entity by application of an extraction template at the storage system, the attribute values are aggregated before transmission over the network. When databases are registered as objects within the logical name space, SQL command strings can be generated that extract metadata from the database. Again the metadata is aggregated into an XML file before it is moved over the network.

## **22. Distributed resilient scalable architecture**

#### Core capability definition

Mechanisms to support fault tolerance and high access performance across distributed repositories

#### Functionality provided by the capability

The ability to scale requires automation of data management capabilities. Through use of a logical name space, storage repository abstractions, and information repository abstractions, it is possible to drive all data manipulation operations directly from an application. By designing the correct applications, any type of processing of a collection can be automated from metadata extraction, to encoding format transformation, to replication, etc. Resilience is accomplished through either replication for fault tolerance, replication for data assurance, or re-generation through application of the deriving process. Both the resilience and automation mechanisms need to operate in a distributed environment, primarily because migration onto new technologies requires the ability to simultaneously access both the old and new forms of the technology.

#### Example grid implementation

Most data grids are implemented as federated client server architectures. Servers are installed at each storage system where data will be held. The servers map from the protocol of the local storage system to the storage repository abstraction. The servers can exchange data directly between themselves through third party transfer, making it possible to issue commands for replication that only involve the source and destination sites. Replication is used as the primary resiliency mechanism, with data accesses automatically failing over to a replica location if the desired copy was not available. Distribution is handled by federation of the servers, such that servers can communicate between each other independently of the driving client.

## **23. Specification of system availability**

#### Core capability definition

Mechanisms to specify the permanency of the digital holdings, the access limitations, and the access availability

#### Functionality provided by the capability

An approach to data assurance is to move data from storage systems in which the guaranteed residency period is shorter than the desired period, to storage systems that can meet the assurance requirements. By putting the burden on reliability on the underlying storage systems, it is possible to force the storage systems to manage replicas for data assurance. This is typically done in hierarchical storage managers, which keep multiple copies of data on tape.

#### Example grid implementation

Most data grids rely on assurance specifications through the data grid metadata catalog, typically by adding attributes to characterize the type of storage repository as permanent tape storage, permanent disk cache under the control of the collection, temporary disk cache under the control of a system administrator, ephemeral disk cache that is subject to policy based purging. Copies

of data are kept to assure permanence, with the copies geographically distributed to protect against disasters.

#### **24. Standard error messages**

Core capability definition

Mechanism to report error messages generated by all components of the persistent archive, from storage systems, to networking, to presentation errors.

Functionality provided by the capability

There are over one thousand error messages that can be generated across storage, network, and information repository environments. The organization of error messages into classes or severity is done to minimize the necessity of learning the meaning of each error message. Severity classes can include unrecoverable (must try another resource), recoverable (try again against the current resource), and advisory (non-fatal problem).

Example grid implementation

Data grids currently use their own standards for error messages. The data grid forum is examining the development of event based reliability systems that will generate a consensus on error message types. Actual implementations of error messages within data grids either report every error message back to the user, or classify the errors into a small set of classes.

#### **25. Status checking**

Core capability definition

Mechanism to report on the status of a request

Functionality provided by the capability

Status checking can be managed by event monitoring systems when single requests are made. When bulk processing is attempted, such as in metadata extraction and the movement of thousands of files, database technology is used to track the status of each individual component of a request.

Example grid implementation

Many of the data grid status checking mechanisms are done synchronously through notification on completion of a task. Some systems support dynamic status checking, such as the transmission of markers in the data flow to support transmission restart, or the creation of process flows where each processing stage is described by a characterization of the processing step. Status then corresponds to identifying which processing step was last completed. Resiliency is implemented by restarting from the last complete stage of the processing pipeline.

#### **26. Authentication mechanism**

Core capability definition

Mechanism to identify both individuals as single persons, and individuals as members of groups

Functionality provided by the capability

To manage the multiple access roles required for collection building, authentication mechanisms are needed to identify both the person and the role. In particular, curatorial and creation roles must be restricted to the archivists to ensure permanency of the archival holdings. For proprietary data, identification as members of groups is usually sufficient to manage access. Group based identification is appropriate where anonymity of access is required.

#### Example grid implementation

Data grids differentiate between the authentication systems used between administration domains, and the authentication systems used within an administration domain. The Grid Security Infrastructure uses Public Key Infrastructure and certificates to identify individuals. The certificates are managed by certificate authorities that follow specified managerial practices for the assignment of certificates to individuals. Alternatively, encrypted passwords and challenge response mechanisms are used to identify not only individuals, but also servers within the federated client server architecture. Local authentication systems are either Unix based, Kerberos based, or DCE based. The Generic Security Service API is used to map between the different authentication environments. The operations that a user may execute are defined through the assignment of roles to individuals, with each role allowing a proscribed set of services.

### **27. Specification of reliability against permanent data loss**

#### Core capability definition

Mechanism to ensure survival of collection holdings across all types of failure mechanisms

#### Functionality provided by the capability

The assurance of reliability against permanent data loss has two components, protection of the original bits that comprise the digital entities, and protection of the mechanisms that identify the context used to organize the digital entities. Protection against data loss can be done through replication. Protection against information loss is much harder. The context can change over time through the addition of new material. The information content therefore requires both replication and snapshot mechanisms to ensure digital entities can be both identified and retrieved.

#### Example grid implementation

Hierarchical storage managers and databases have traditionally safeguarded both the digital holdings and the metadata describing where the holdings are stored. The digital holdings are replicated. The metadata is replicated. Snapshots are taken of the metadata state at periodic intervals, and transaction logging is used to record all changes to the metadata. The transaction logs are replicated and periodically applied to the snapshots to guarantee that the state of the metadata catalog can be recreated. Similar approaches are needed in persistent archives to ensure reliability of the collection.

### **28. Specification of mechanism to validate integrity of data and metadata**

#### Core capability definition

Mechanism to validate the authenticity of the digital holdings

#### Functionality provided by the capability

Authenticity requires showing that all operations that have been performed on a digital entity can be identified and characterized, that the metadata that is used to define the context for the digital entity is consistent with the operations that have been performed, and that the bits of the digital entity have not changed between transformative migrations. The consistency that can be maintained between the data and metadata is one of the primary advantages of the use of data grid technology with collection owned holdings.

Data grids provide mechanisms that can be used to validate data models, extract metadata, and authenticate the identification of the submitter on both the copy of the record before a transformative migration and the copy of that record after migration. Comparisons of this preservation information can be used to assert that the two records are equivalent. This capability is needed to further automate the process of maintaining the authenticity of the record over time. At the very least it is helpful to have controls in place that would not allow copies of records made

before a transformative migration to be deleted until the archivist had certified that the migration had successfully produced the ability to reproduce an authentic record.

#### Example grid implementation

Audit trails are used to record all accesses and operations that are performed on the digital holdings. Digital signatures and checksums are used to show that a digital entity has not been corrupted by disk, transmission, or recording errors. By checking the audit trails and comparing the recorded checksum with the current checksum, one can validate the integrity of the data. By examining the operations performed upon the digital entity, and the person who initiated the operation, one can show that only archivists have applied archival processes to the digital entities. A virtual data grid should provide the capability to verify/validate that syntactically different versions of the same record are equivalent to the point that they both transmit the same data and information content.

### **29. Specification of mechanism to assure integrity of data and metadata**

#### Core capability definition

Mechanism to uniquely characterize a digital entity

#### Functionality provided by the capability

Through the use of the OAIS technology for specifying archival information packages (AIPs), it is possible to aggregate metadata and data into a single file. By signing or check-summing the AIP, one can determine that the content has not changed over time. By comparing the metadata within the AIP to that organized into the data grid catalog and applying the audit trail transformations, one can show that the digital entity corresponds to all recorded operations, and thus still contains the expected information and knowledge content.

#### Example grid implementation

The assurance of integrity is primarily managed in data grids by restricting operations on the digital holdings to the persons fulfilling the archival roles. The specification of a signature or checksum is inadequate if the signature can be forged through an unauthorized operation. Data grids get around this problem by working with collection owned data, and by auditing all operations done on a digital entity.

### **30. Virtual Data Grid**

#### Core capability definition

Mechanism to create derived data products on demand

#### Functionality provided by the capability

The application of archival processes to digital entities can be characterized as a set of processing steps. The characterization can be stored as a process flow in the archive along with the digital entities, and organized in a logical name space sub-collection. A query against a collection for a digital entity can then be made against the collection attributes. If the query is not satisfied, a search can be done on the processing characterizations for the ability to generate the required derived data product. If the processing step is found, one then has to identify the required input files and input parameters. This requires knowledge about the relationships used to govern the archival process, and can be specified as part of the original query.

#### Example grid implementation

Virtual data grids use process characterizations based upon Directed Acyclic Graphs. These simple descriptions map output to input files for the multiple stages of a process pipeline. More sophisticated versions of process data flow are needed to incorporate knowledge about application of the processing steps; namely how to decide which digital entities are to be used as input to the processing stages. These process flow characterizations require the integration of

concept spaces on top of the information catalogs managed by the data grids. The concept spaces specify the relationships that govern the application of the processing steps.

### **31. Knowledge repositories for managing collection properties**

#### Core capability definition

Relationship management systems to describe the constraints used to form a collection of digital entities, or the properties of the resulting collection, or the organization of relationships within a digital ontology.

#### Functionality provided by the capability

The characterization, organization, and manipulation of relationships are managed by knowledge repositories. Given that multiple knowledge repositories can be created, a knowledge repository abstraction is needed to describe the set of operations that can be performed upon a concept space that is implemented within a knowledge repository.

#### Example grid implementation

The application of relationships that are organized in a knowledge repository requires the ability to generate logical inference rules or processing steps from the relationship description. Systems have been developed that generate logic rules for semantic relationships, spatial rules for manipulation of atlases, and procedural rules for applying processing steps. Each of these systems is typically implemented for a particular discipline. Generic mechanisms are needed for persistent archives. An example system is the mapping from the RDF relationship syntax to Common Logic rules that can then be evaluated across a collection.

### **32. Application of transformative migrations for encoding format**

#### Core capability definition

Mechanism to migrate the encoding format to a new encoding standard

#### Functionality provided by the capability

The evolution of the encoding format of digital entities must be addressed by persistent archives along with the evolution of the supporting software and hardware infrastructure. A transformation of an encoding format to a new standard can be characterized as a processing step that is performed under persistent archive policy management control. The transformation would typically be applied when the collection holdings are migrated to a new media standard, as the entire collection must be read and processed. The transformative migrations can be applied to digital entities, digital ontologies, and even to encoding standards used to describe collections.

#### Example grid implementation

Grids provide the ability to execute procedures at the storage system where the digital entity resides, and to stream the digital entity through a sequence of filters. The procedures can be named and organized within the logical name space, and stored in the data grid along with the digital entities. This makes it possible to execute transformative migrations on digital entities as part of a media migration process.

### **33. Application of archival processes**

#### Core capability definition

Mechanism to characterize and apply archival processes

#### Functionality provided by the capability

Many of the archival processes correspond to metadata extraction, collection formation, transformative migration, and data management. The abstractions needed to support these processes correspond to management of a logical name space, a storage repository abstraction



for the operations that can be done on digital entities, and an information repository abstraction for the operations that can be done on catalogs in databases.

#### Example grid implementation

Data grids implement the abstraction levels needed to support the application of archival processes. The challenge is correctly characterizing the archival processes, and validating that the characterizations perform the desired functions.