

# open archives m

## Tutorial 1 OAI and OAI-PMH for absolute beginners a non-technical introduction

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archives forum Overview of the morning

- Overview and Introductions
- Part I
  - History and overview
- Short break (10.30 am)
- Quiz
- Part II
  - Main Ideas of the OAI-PMH
- Part III
  - Implementation issues



forum Acknowledgements

- These slides have a long history!
- Many of them have been kindly donated by (taken from!)
  - Herbert Van de Sompel
  - Carl Lagoze
  - Michael Nelson
  - Simeon Warner
  - Andy Powell
  - Pete Cliff
  - **Uwe Muller**
  - (and others probably!)



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## open archives **Tutorial 1 OAI and OAI-PMH for absolute** beginners An introduction to the Open Archives Initiative and the Protocol for Metadata Harvesting Part I: History and basic concepts



## forum The Open Archives Approach

- Facilitates access to heterogenous webaccessible material
- A low-barrier interoperability solution
- Based on repositories supporting Metadata sharing Publishing
  - Archiving
- Arose out of the e-print community
  - 2 main features

**Open Archives Initiative** 

OAI Protocol for Metadata Harvesting (OAI-PMH)



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## forum The Open Archives Initiative

### Mission

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"The Open Archives Initiative develops and promotes interoperability standards that aim to facilitate the efficient dissemination of content."

- Executive for management, Steering and Technical Committees
- Funding

Digital Library Federation (DLF) National Science Foundation (NSF) Coalition for Networked Information (CNI)

Participation of a world-wide community, especially Europe and North America





- A mechanism for harvesting
- Data providers make metadata available for harvesting
- Service Providers harvest metadata
- Metadata can be centrally collected or "aggregated"
- That's all it is: a way to bring metadata together in one place!





### Task List Page

- Task 1 Seven key definitions
- Local Link

file:///D:/Moni/OAFTutorial/page1.htm#section3

### Web link

http://www.oaforum.org/tutorial/english/page1.htm#section3



### A History Lesson - Roots of OAI

Early activity: scholarly research (eprints archive) XXX (arXiv) – high energy physics CogPrints - psychology NCSTRL – computer science technical reports RePEc - economics

- Web interfaces for people No machine interfaces
- Different interfaces for different archives
- End Users forced to learn diverse interfaces
  - Little or no autonomous metadata sharing



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"…the joint impact of these and future initiatives can be substantially higher when interoperability between them [e-print archives] can be established…"

[Ginsparg, Luce, Van de Sompel, UPS Call, July 1999]





### Two problems:

- End users were/are faced with multiple search interfaces making resource discovery harder.
- No machine based way of sharing the metadata





- US Digital Library Experience suggests cross searching doesn't scale - N > 100 = bad!
- Collection description knowing which target to use
- Query language and search attribute variation
- Rank merging problem
- Different size and type of target can skew results
- Performance limited to slowest target
- Difficult to build a browse interface
- SOLUTION: get all the metadata records in one place





Harvest records out of archives into one place
 Universal Preprint Service Prototype
 So:

- $\succ$  N = 1 most of the time...
- One query language, set of search attributes and ranking algorithm
- An awareness of the data makes browse structures easier to build
- UPS was quickly changed to OAI the Open Archives Initiative



## Data and Service Providers

### Data Provider

Creators and keepers of the metadata and repositories of resources

Handle deposit and publishing

### Service Provider

Harvesters of metadata for the purpose of providing a service such as a search interface, peer-review system, etc.

### One 'service' can play both roles



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## The Dawn of a Protocol

To facilitate metadata harvesting there needs to be agreement on:

- Transport protocol HTTP or FTP or …
- Metadata format Dublin Core or MARC or …
- Metadata Quality Assurance mandatory element set, naming and subject conventions, etc.
- Intellectual Property and Usage Rights who can do what with what?

### Agreement led to (fanfare): the Santa Fe Convention





## orum The Santa Fe Convention

First incarnation of the Open Archives Initiative Protocol for Metadata Harvesting (OAI-PMH)

### Drew upon:

The UPS Prototype RePEc/SODA - the Service/Data provider model the Dienst Protocol Work of the Santa Fe group

### To "optimise the discovery of e-prints"





Introduced Dublin Core element set

### Drew upon:

Santa Fe Convention Digital Library Federation meetings Work at Cornell Feedback from alpha-testers

### A new focus to facilitate the discovery of "document-like objects"



## The OAI-PMH 1.0 - Summary

- Low barrier interoperability specification
- Based around metadata harvesting model
- Focus on "document-like objects"
- HTTP based
- GET / POST requests
- XML responses
- Uses unqualified Dublin Core
- Not a search protocol!
- > Experimental



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A revision of the 1.0 specification taking account of changes to the emerging XML Schema specification





Major revision - not compatible with 1.x

Drew upon:
 OAI-PMH 1.x
 Feedback from OAI Implementers List
 OAI tech deliberation
 Feedback from alpha-testers

"the recurrent exchange of metadata about resources between systems"



## The OAI-PMH 2.0 - Summary

- Still a low barrier interoperability specification
- Based around metadata harvesting model
- Metadata about resources
- HTTP based
- GET / POST requests
- XML responses
- Uses unqualified Dublin Core
- Not a search protocol!
- Stable OAI has committed to making subsequent revisions of the protocol backwards compatible



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< <b>f</b> orun	$\mathcal{P}$		
nature	experimental	experimental	stable
verbs	Dienst	OAI-PMH	OAI-PMH
requests	HTTP GET/POST	HTTP GET/POST	HTTP GET/POST
responses	XML	XML	XML
transport	HTTP	нттр	HTTP
metadata	OAMS	unqualified Dublin Core	unqualified Dublin Core
about	eprints	document like objects	resources
model	metadata harvesting	metadata harvesting	metadata harvesting

















## The Benefits of OAI-PMH

- Simple
- Web (and so firewall) friendly
- Access-control, compression, error codes, etc. based on HTTP
- Many toolkits can hide the protocol from developers
- Multiple SPs can harvest from multiple DPs ensuring a wider spread of metadata
- A base layer to build other services on
  - Complements search protocols like Z39.50



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- Early movers developing separately
- Need for interoperability
- Santa Fe Meeting led to OAI
- OAI promotes interoperability via:
- OAI-PMH
  - Low cost
  - Harvest model
  - Data Providers / Service Providers
  - Simple, easy and built on existing technology An open standard



## forum Open Archives Forum Tutorial

- Task Page
- Task 2 Sources of further information
- Local link
  - file:///D:/Moni/OAFTutorial/page2.htm#section9
- Web link
  - http://www.oaforum.org/tutorial/english/page2.htm#section9



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## open archives **Tutorial 1 OAI and OAI-PMH for absolute** beginners An introduction to the Open Archives Initiative and the Protocol for Metadata Harvesting Part II: Main Ideas of OAI-PMH





## **Open Archives Forum Tutorial**

- Task Page
- Task 3 Quiz
- Local link
- Web link

http://www.oaforum.org/tutorial/english/page1.htm#section5



## **The Open Archives Initiative (OAI)**

### Main ideas

- world-wide consolidation of scholarly archives
- **x** free access on the archives (at least: metadata)
- consistent interfaces for archives and service provider
- Iow barrier protocol / effortless implementation
- based on existing standards (e.g. HTTP, XML, DC)
- Basic functioning of protocol





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## **OAI: General Assumptions**

### two groups of 'participants'

- Data Providers (Open Archives, Repositories)
  - × free access of metadata
  - x not necessarily: free access to full texts / resources
  - x easy to implement, low barriers

### Service Providers

- x use OAI interfaces of the Data Providers
- x harvest and store metadata (no live requests!)
- x may select certain subsets from Data Providers (set hierarchy, date stamp)
- x may enrich metadata
- x offer (value-added) service on the basis of the metadata





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### **OAI-PMH: Structure Model**





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## **OAI-PMH: Protocol Overview**

- x protocol based on HTTP
- request arguments as GET or POST parameters
- × six request types
- x e.g. http://archive.org?
  verb=ListRecords&from=2002-11-01
- responses are encoded in XML syntax
- supports any metadata format (at least: Dublin Core)
- x logical set hierarchy (definition: data providers)
- x date stamps (last change of metadata set)
- × error messages
- × flow control



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## forum Protocol Details: Definitions

### Harvester

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client application issuing OAI-PMH requests

### Repository

network accessible server, able to process OAI-PMH requests correctly

#### Resource

object the metadata is "about", nature of resources is not defined in the OAI-PMH

#### Item

- component of an repository from which metadata about a resource can be disseminated
- × has an unique identifier

#### Record

× metadata in a specific metadata format

### Identifier

× unique key for an item in a repository

### Set

× optional construct for grouping items in a repository






Protocol Details: Records

metadata of a resource in a specific format

three parts

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- 1. header (mandatory)
  - × identifier (1)
  - × datestamp (1)
- 2. metadata (mandatory)
  - × XML encoded metadata with root tag, namespace
  - x repositories must support Dublin Core
  - May support other formats
- 3. about (optional)
  - rights statements
  - x provenance statements

## rum Protocol Details: Metadata Schema

- OAI-PMH supports dissemination of multiple metadata formats from a repository
- properties of metadata formats

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- x id string to specify the format (metadataPrefix)
- metadata schema URL (XML schema to test validity)
- XML namespace URI (global identifier for metadata format)
- repositories must be able to disseminate unqualified Dublin Core
- arbitrary metadata formats can be defined and transported via the OAI-PMH
  - returned metadata must comply with XML namespace specification

## **Protocol Details: Metadata Schema (2)**

minimum standard: unqualified Dublin Core

- http://dublincore.org/
- > Dublin Core Metadata Element Set contains 15 elements
- elements are optional
- × elements may be repeated

The Dublin Core Metadata Element Set:

Title	Contributor	Source
Creator	Date	Language
Subject	Туре	Relation
Description	Format	Coverage
Publisher	Identifier	Rights



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#### six different request types

- 1. Identify
- 2. ListMetadataFormats
- 3. ListSets
- 4. ListIdentifiers
- 5. ListRecords
- 6. GetRecord
- harvester has not to use all types
  - repository must implement all types
  - required and optional arguments
  - depend on request types



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#### Example: http://edoc.hu-berlin.de/OAI-2.0?

verb=ListIdentifiers&from=2002-01-06&until=2002-01-08& metadataPrefix=oai\_dc&set=doctypes:dissertations

<pre>?xml version="1.0" encoding="UTF-8"?&gt; OAI-PMH xmIns="http://www.openarchives.org/OAI/2.0/" xmIns:xsi="http://www.w3.org/2001/XMLSchema-instance" xsi:schemaLocation="http://www.openarchives.org/OAI/2.0/ http://www.openarchives.org/OAI/2.0/OAI-PMH.xsd"&gt;</pre>
<listidentifiers></listidentifiers>
<pre><header>     <identifier>oai:HUBerlin.de:3000819</identifier>     <idatestamp>2002-01-08     <setspec>doctypes</setspec>     <setspec>doctypes:dissertations</setspec>     <setspec>dnb</setspec>     <setspec>dnb:dnb33</setspec>     </idatestamp></header></pre>
<pre><header>     <identifier>oai:HUBerlin.de:3000831</identifier>     <datestamp>2002-01-07</datestamp>     <setspec>doctypes</setspec>     <setspec>doctypes:dissertations</setspec>     <setspec>dnb</setspec>     <setspec>dnb</setspec>     <setspec>dnb27</setspec></header></pre>
/UAI-PIMH>





- Logical partitioning of repositories
- Optional archives do not have to define sets
- No recommendations
- Also support selective harvesting
- Useful sets are defined by the community where they are used:
  - × publication types (thesis, article, ...)
  - x document types (text, audio, image, ...)
  - content sets, according to DNB (medicine, biology, ...)





date of last modification of a metadata set

- mandatory characteristic of every item
- enables selective harvesting



## **Protocol Details: Flow control**

## Example





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# Task 4 Using Repository Explorer

#### http://oai.dlib.vt.edu/cgi-bin/Explorer/oai2.0/testoai

#### Fasks

Scroll down the alphabetical list to find the arXiv repository

Click on the Identify link in the Verbs box

Click on the list Metadata Formats link

Copy oai\_dc into the MetadataPrefix box in the parameters section

Click on ListRecords

Copy the identifier from the header section of the first result, scroll to the bottom of the page and paste the identifier into the identifier box of the parameters section

Select raw XML in the display section and click GetRecord in the verbs section





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## **Tutorial OAI and OAI-PMH for Beginners** An introduction to the Open Archives Initiative and the Protocol for Metadata Harvesting

**Part III: Implementation Issues** 





## 1.) Data Provider or Service Provider

- 2. Metadata Records
- 3. Tools and services
- 4. Examples





## rum General: First Questions

#### **Data Provider**

Which data do I want to deliver? Which service providers do I want to provide with data?

#### **Service Provider**

Which Service do I want to provide?From which data providers do I get the metadata?In which way the metadata have to be processed?

#### **Data Provider & Service Provider**

Which aspects do we have to agree upon?



## **General: Metadata Formats / Sets**

- required: unqualified Dublin Core
- special subjects / communities: other metadata specifications may be required
  - x describe resources in a specialised way
  - definition of an XML schema (publicly available for validation)
- define set hierarchy
  - sensible partitioning for selective harvesting
  - x agreement between data providers and between data and service providers



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## **General: Organisational Structure**

#### aggregated data providers

- if harvested by a service provider, "sub data providers" should not be harvested by same SP (duplication ...)
- subject gateways
  - selective harvesting if corresponding sets have been defined and implemented



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## **Data Provider: Prerequisites**

#### metadata on resources ("items")

- should be stored in (SQL) database
- x possible in case of need: file system ...
- x unique identifier for each item
- web server, accessible via the internet
  - × e.g. apache, IIS
- programming interface / API
  - × e.g. Perl, PHP, Java-Servlet
  - web server extension
  - access to database (or filesystem)
  - x not needed: session management



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## Data Provider: Prerequisites (2)

- archive identifier / base URL
- unique identifier for items
- metadata format (at least: unqualified Dublin Core)
- datestamps for metadata (created / last modified)
- logical set hierarchy (may have)
  - x agreement within (subject) communities
- flow control / implementation of resumption token (optional, 'larger' archives should have that)



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## Service Provider: Prerequisites

- internet connected server
- > database system (relational or XML)
- programming environment
  - x can issue HTTP requests to web servers
  - x can issue database requests
  - × XML parser



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- 1. Data Provider or Service Provider
- 2.) Metadata Records
- 3. Tools and services
- 4. Examples





- OAI-PMH uses XML Schemas
- Schemas described what is allowed in an XML document
- Schemas have a 'name' (namespace)
- Schemas have a physical location (commonly on the web)
- Example



http://www.openarchives.org/OAI/2.0/oai\_dc/

http://www.openarchives.org/OAI/2.0/oai\_dc.xsd







- Any XML with an XML Schema = OK for OAI!
- OAI-PMH mandates 'oai\_dc' schema
- OAI-PMH documentation includes schema for RFC1807 metadata MARC21 metadata (Library of Congress) oai\_marc metadata



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#### Example: http://edoc.hu-berlin.de/OAI-2.0?

verb=GetRecord&identifier=oai:HUBerlin:3000819& metadataPrefix=oai\_dc







- Mandatory 'Lowest Common Denominator'
- Simple unqualified DC schema
- A Container schema is also required OAI specific

### Locations:

Container schema hosted @ OAI Web site Imports a generic DCMES schema DCMES schema @ DCMI Web site





## **Other metadata formats**

oai\_dc is a simple format providing baseline interoperability

 It may not be suitable:
 Not enough (or the required) elements!
 Not very precise - it is an "unqualified" MES (not covered in this talk... Sorry!)
 Not the metadata format you need ie. not: IMS/IEEE LOM - eLearning metadata
 ODRL - Open Digital Rights Language





# oai\_dc... is not the MES I'm looking for

- Implement a different format eg. IMS/IEEE LOM
- Already agreed names, XML schema and namespaces
- Easier than creating your own schema
- Create test records and validate
- Modify repository (source code and/or configuration files) to support new format e.g. listMetadataRecords response
- Fest and validate new repository output





# Fun Extending a format

- Decide a name and some namespaces
- Develop XML schema for the container and the new elements
- Create test records and validate
- Modify repository (source code and/or configuration files) to support new format
- Test and validate new repository output





- OAI-PMH allows for any MES so long as...
- …it is encoded in XML with an XML Schema
- All repositories *must* support oai\_dc for...
- …minimum level of interoperability
- If oai\_dc is not enough extend it!
- If oai\_dc is not 'the one' use something else as well!





- 1. Data Provider or Service Provider
- 2. Metadata Records
- 3. Tools and services
- 4. Examples





- Choice depends on
  - Technical skills available
  - Type of repository or service
- Evaluations and comparisons
  - Guide to institutional repository Software
  - http://www.soros.org/openaccess/software/
  - DAEDALUS: Initial experiences with EPrints and DSpace at the University of Glasgow
  - http://www.ariadne.ac.uk/issue37/nixon/ (Ariadne)
  - DSpace vs. ETD-db: Choosing software to manage electronic theses and dissertations
  - http://www.ariadne.ac.uk/issue38/jones/





- Large choice see list at <u>http://www.openarchives.org/tools/</u>
- Most are open source
- Available for a variety of platforms
- Difference in emphasis
  - Metadata formats supported
  - Configurability
  - Use out of the box or programming library





#### Dspace

http://www.dspace.org/

CERN

http://cdsware.cern.ch/

- Eprints.org <u>http://software.eprints.org/</u>
  - ARC

http://sourceforge.net/projects/oaiarc/

Net::OAI::Harvester

http://search.cpan.org/~esummers/OAI-Harvester-0.94/lib/Net/OAI/Harvester.pm

Develop your own (if none of these meet your requirements)





## How to advertise your service and find data providers

## Repository Explorer

http://oai.dlib.vt.edu/cgi-bin/Explorer/oai2.0/testoai

## OAISTER

http://www.oaister.org/o/oaister/

## Southampton

http://archives.eprints.org/eprints.php





- 1. Data Provider or Service Provider
- 2. Metadata Records
- 3. Tools and services
- 4. Examples





#### https://portfolio.oit.duke.edu/index.jsp





# forum University of Oregon

#### https://ir.uoregon.edu:8443/dspace/index.jsp

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Search ScholarBank: Go Advanced Search Home Browse Communities Collections Sign on to: Receive email updates My DSpace authorized users Edit Profile Help	DSpace at the University of Oregon > ScholarBank news 1 Dec 2003: The name of the UO institutional repository is now officially "ScholarBank". 16 Sept 2003: We have upgraded to DSpace 1.1.1. See <u>DSpace documentation</u> and <u>release</u> notes for details. More UO library news Search Enter some text in the box below to search ScholarBank.  Communities in ScholarBank Select a community to browse its collections. Department of Computer and Information Science Department of Planning, Public Policy, and Management Department of Psychology Department of Sociology UO Libraries	What is ScholarBank?           This site is an institutional repository for University of Oregon research in digital form, including preprints, technical reports, working papers, student terminal projects, and more. It's a tool for collecting, disseminating, and preserving the intellectual output of the UO community.           It's a small part of all of UO's research, though. Check the library's catalog and home page for other collections.           ScholarBank uses MIT's DSpace software.           For information on the institutional repository project at the UO Libraries, see the team's internal web site.
Feedback	htt	Last update: 6 June 2003 by JQJ ps://ir.uoregon.edu:8443/dspace/index.jsp
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## forum The LACITO Archive

#### http://lacito.vjf.cnrs.fr/archivage/index.html

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#### The LACITO Archive

An archive of natural speech in "rare" languages

Gives access to original recordings, with transcriptions and translations






## http://artworld.uea.ac.uk/



 A group of museums, art galleries and academic departments.
Provides digital images and associated resources for the enhancement of learning and teaching in world art studies.
Facilitates access for students and teachers to primary visual resource materials that are normally relatively inaccessible or widely scattered.







## during today's tutorial we hope that you have

- gained an overview of the history behind the OAI-PMH and an overview of its key features
- acquired an understanding of how the protocol works
- Iearned something about some of the main implementation issues
- gained familiarity with the OAForum tutorial and learned where to look for more information
- become comfortable with the terminology used
- started thinking about how you will be using OAI in your institution





## now...

feel free to tell us what you didn't understand

and ask general questions

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- Open Archives Initiative (OAI official Web site)
  - http://www.openarchives.org/
- Open Archives Forum (OA-Forum Web site) <u>http://www.oaforum.org/</u>
- OAI-PMH protocol specification
  - http://www.openarchives.org/OAI/openarchivesprotocol.html
- Implementation guidelines:

http://www.openarchives.org/OAI/2.0/guidelines.htm

OAI general mailing list

http://www.openarchives.org/mailman/listinfo/OAI-general/

OA-Forum expert reports and reviews of organisational and technical issues

Links from http://www.oaforum.org/documents/





- Repository explorer
  - http://oai.dlib.vt.edu/cgi-bin/Explorer/oai2.0/testoai
- Fools

http://www.openarchives.org/tools/

Implementers mailing list

http://www.openarchives.org/mailman/listinfo/OAIimplementers/

Dublin Core

http://dublincore.org/

The Eprints User's Handbook <u>http://software.eprints.org/handbook</u>





> ArXiv

http://arXiv.org/

RePec

http://www.repec.org/

Cogprints

http://cogprints.ecs.soton.ac.uk/

> NCSTRL:

http://www.ncstrl.org





- Citation Indexing
  - http://icite.sissa.it
- Printing on Demand Service <u>http://www.proprint-service.de</u>
- Value added Search Engine <u>http://www.myoai.com</u>
- > DINI
  - http://edoc.hu-berlin.de/oaisearch/
- Physnet
  - http://physnet.uni-oldenburg.de/oai/query.php
  - ARC
    - http://arc.cs.odu.edu/



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Task 1 Seven Key Definitions

http://www.oaforum.org/tutorial/english/page1.htm#section3 Task 2 Sources of Further Information

http://www.oaforum.org/tutorial/english/page2.htm#section9

Task 3 Quiz

http://www.oaforum.org/tutorial/english/page1.htm#section5

Task 4 Using Repository Explorer

http://oai.dlib.vt.edu/cgi-bin/Explorer/oai2.0/testoai

Task 5 Exploring some service interfaces: choose from https://portfolio.oit.duke.edu/index.jsp

https://ir.uoregon.edu:8443/dspace/index.jsp

http://artworld.uea.ac.uk/

Or any of the service providers or archives listed under Resources

