Digital Curation Costs

A Risk Management Approach Supported by the Business Model Canvas

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Abstract: Data management has been emerging as a specific concern, which when applied through the full lifecycle of the data also has been named data curation. However, when it comes to the estimation of costs for digital curation the references are rare. To address that problem we propose a method a pragmatic method based on the body of knowledge of risk assessment and the established concept of Business Model Canvas. The details of the method are presented, as also references to a tool to support it, and the demonstration is provided by its application to a real case (a national Web Archive).

1 INTRODUCTION

Data is being increasingly perceived by organizations as an asset and not only as simply a resource required to support processes. Therefore, data management has been emerging as a specific concern, which when applied through the full lifecycle of the data also has been named data curation. Within a data lifecycle, comprising from its initial creation to final deletion, we also can find processes to add value to that data, reassess it (as for example, for compliance concerns), reuse it, etc., we also realize an emerging concern with data preservation.

The concepts of digital curation, and within it of digital preservation, also have been used in the domain of scientific data, where it is perceive that it “involves maintaining, preserving and adding value to digital research data throughout its lifecycle. The active management of research data reduces threats to their long-term research value and mitigates the risk of digital obsolescence.” (DCC, 2014)

The main purpose of data preservation is to ensure that data is reliably retrievable for use anytime it is required. For the management and engineering of data preservation several references have been developed, namely the OAIS - Open Archival Information System reference model (CCSDS, 2012), which defines the concept of a repository to support the digital preservation of digital assets.

However, when it comes to the estimation of costs for digital curation in general, and preservation in particular, the references are rare. This is the problem we therefore are addressing here.

Existing work already proposed an approach to the analysis of digital preservation as a risk management problem (Barateiro, 2010). Following that, we decided to explore the potential of the Risk Management (RM) concepts to advance in the techniques to estimate costs of digital curation. In fact, from this RM perspective we propose that costs are what we have to give up for controls, which in turn are the measures that we have to put in practice to minimise loss or to maximise gain. In that sense, a control is anything we are considering applying to either minimise negative impacts or to take advantage of opportunities to produce value and thus bring gains. However, we must also agree that, in most of the usual digital curation scenarios, it is usually very difficult to estimate the absolute value of an asset. For that reason, for now we ignored the measurement of value, and focused only in the identification of controls as the source of costs.

However, we also are aware that RM is a complex area of expertise, requiring a complex and usually expensive infrastructure of people and other resources in order to be effective.

In order to address the expressed vision and also the exposed limitations, our proposed makes use of two tools: a risk registry and a BMC - Business Model Canvas (Osterwalder, 2009).
A BMC requires organisations to conceive their business model of nine blocks structured in a visual canvas, which allows for easy understanding of their business. This can help to understand both what can positively affect the value propositions of the business (opportunities) and what can negatively affect those same value propositions (risks).

The idea behind our proposal is therefore to understand an OAIS repository as a business in itself (either autonomously, or as a service provided in the scope of an organisation), and identify and understand the risks and their impact on each of the nine building blocks of its BMC. We demonstrate how the BMC technique can be used to find risks and then controls for those risks. This in turn makes it possible to estimate the related costs as part of the overall costs of curation.

In conclusion, our contributions here proposed for the digital curation problem are:

- A pragmatic method for risk assessment, based on the main references from the risk management domain;
- A generic BMC for the business of an OAIS repository: This BMC can serve as template for organizations where digital curation has an important role, which can make local instances of it;
- A generic risk registry for scenarios of OAIS repositories, created after analysing DRAMBORA (DCC/DPE, 2007) and comprising.

This generic BMC, with an associated generic registry of risk questions and common related controls, can be very relevant for the domain of digital curation and for cost evaluation within that.

For validation, this pragmatic method was applied to a real case study: a data archive in a national web archive.

This paper is structured as followed. Section 2 provides an overview of the risk management domain, and Section 3 describes the concept of Business Model Canvas. Section 4 details the method used to identify risks based on a BMC of an organization. Section 5 presents the generic BMC for digital preservation that can be instantiated to a specific organization. Then, Section 6 depicts a snippet of the risks and controls registry. Section 7 and presents a case study demonstrating the application of the method. The paper is then finalized by presenting the conclusions and future work.

2 RISK MANAGEMENT

The main references on Risk Management from the International Organisation for Standardisation (ISO) are:

- ISO Guide 73: Vocabulary for risk management (ISO, 2009);
- ISO 31000: Risk management principles and guidelines (ISO/FDIS, 2009a);
- ISO 31004: Risk management—Guidance for the implementation of ISO 31000 (ISO/TR, 2013);

According to those sources, organisations should define internal RM processes taking as a starting point the generic method proposed in ISO 31000 (ISO/FDIS, 2009a) (illustrated in Figure 1). For the assessment activities of those processes, IEC 31010 (ISO/FDIS, 2009b) provides a catalogue of potentially relevant techniques.

From ISO 31004 we learn that:

“...The effect that this uncertainty has on the organisation’s objectives is risk. (…) The understanding that risk can have positive or negative consequences is a central and vital concept to be understood by management. Risk can expose the organisation to either an opportunity, a threat or both. (…) Controls are measures implemented by organisations to modify risk that enable the achievement of objectives. Controls can modify risk by changing any source of uncertainty (e.g. by making it more or less likely that something will occur) or by changing the range of possible consequences and where they may occur.” (ISO/TR, 2013).

So, even if we are not following a specific RM method as part of the governance framework of a repository, we cannot avoid having to deal with the identification of risks and controls. However, as a complete RM methodology can be complex and expensive to implement, we are here proposing a simplified method that can be used at least for a preliminary phase of costs estimation. If, after the application of this method, the stakeholders of a repository feel the RM principles are valuable for the governance of their case, and it is worthy to consider a proper and full RM method, then at least these preliminary results can be reused for that purpose.
3 BUSINESS MODEL CANVAS

The Business Model Canvas “allow a group of people to fill it in through brainstorming sessions and thus create a relevant understanding of their business model”. (Osterwalder, 2009)

For that it makes use of nine building blocks, illustrated in the Figure 2 (Osterwalder, 2009).

In a valuable canvas each block must have at least one shared assumption about the business. A group can even develop more than one BMC in order to represent alternative understandings or just different views of the same business.

After its initial proposal in (Osterwalder, 2004), other authors developed or adopted the canvas approach for other purposes, such as for example the Lean canvas (LeanStack, 2014). In the meantime it has been suggested that doing a BMC exercise is already in some sense performing a risk assessment (Parrisius, 2013) (McAfee, 2013). Other authors have gone even further and proposed the hypothesis that the BMC concept can even be extended to support a pragmatic risk analysis (Schliemann, 2013). The motivation behind it is to understand both what can positively affect the value propositions of the business (opportunities) and what can negatively affect those same value propositions (risks).

The idea is to identify and understand the risks and their impact (positive and negative) on each of the nine building blocks of the BMC, as well as the risk appetite of the stakeholders upon which a business depends, such as regulators and investors. There is a large body of knowledge from the risk management community on how to assess and measure risk through analytical tools, but this new technique fills the need to introduce risk assessment at a higher level, scoping it visually in consideration for each of the building blocks of the BMC.

When applying this technique to identify the risks and their impact there should be a series of risk-related questions for each of the nine building blocks of BMC. Simple examples of these questions are proposed in the original business model risk canvas, but for real use these should be scoped for the business in question.

4 A METHOD TO IDENTIFY RISKS BASED ON A BMC

It was inspired by the previous sources on RM and BMC that we decided to explore the hypothesis of developing and demonstrate a method to estimate costs of digital curation. We believe such a method can be useful in two possible scenarios:

- “Current” scenarios, where the costs of controls already exist in the repository as a means to reduce the impact of a consequence of a risk, change the likelihood of an event, or reduce the exposure to a vulnerability;
- “Future” scenarios, where the costs of controls do not yet exist, but where repository managers are able to consider alternative scenarios of repository governance.

The foundations of this method draw from relevant sources, such as the ISO 31000 and the BMC. The core stages of the method are:

1. Define the Context: Define the requirements of the main elements of the organisation (mission, etc.); the assets (data and services), and the external stakeholders and, based on that, define the BMC for the scenario.
2. Execute a Pragmatic Risk Assessment: Use a risk repository, or consult experts, in order to identify relevant risks associated with the BMC.
3. Recognise Actual Risk Treatment (to apply in an analysis of a “Current” scenario):
Consolidate the risks identified (mainly, to detect repetitions and overlaps). This is the best step to also identify potential positive impacts (if that also is a purpose).

Use internal information, and (if necessary) also consult a risk repository or experts, to identify the controls to apply for the consolidated risks.

Estimate the costs for these controls (the ideal is to calculate these costs precisely, however, best estimates can also be useful).

4. Simulate Alternative Risk Treatments (an optional activity, to be executed as many times as needed, to explore possible alternative “Future” scenarios):

- Use internal information, eventually also can be consulted a risk repository or experts, and according to the business' strategic view and governance rules, conceive alternative scenarios for controls of the identified risks. This is the best step to explore opportunities to exploit positive impacts (if that also is a purpose).
- Estimate the costs for these controls (make the best estimate for the costs of this new scenario).

The process is illustrated in the Figure 3 (diagram expressed in BPMN, the Business Process Modelling Notation language).

5. A GENERIC BMC FOR DIGITAL ARCHIVES

A key reference for digital repositories as systems conceived to support digital preservation is the OAIS Open Archival Information System reference model (CCSDS, 2012).

We therefore used it as our main reference to develop the generic BMC for that domain. The purpose of this generic BMC is to serve as a reference template that can be instantiated to specific organizations running an archive as part of their business.

An OAIS is “an Archive, consisting of an organization, which may be part of a larger organization, of people and systems, that has accepted the responsibility to preserve information and make it available for a Designated Community. It meets a set of responsibilities that allows an OAIS Archive to be distinguished from other uses of the term ‘Archive’. The term ‘Open’ in OAIS is used to imply that this Recommendation and future related Recommendations and standards are developed in open forums, and it does not imply that access to the Archive is unrestricted.” (CCSDS, 2012) This same source proposes a reference architecture for this concepts, as shown in the Figure 4. The document was analysed and as a first step the Value Propositions were identified. The value propositions building block “describes the bundle of products and services that create value for a specific Customer Segment” (Osterwalder, 2009)

Looking at the OAIS functional entities (depicted in Figure 4) it can identified the customers of an

![Figure 3: BPMN diagram of the pragmatic method to estimate costs of curation focusing on risks and controls.](image-url)
archive as being the Producers and Consumers. There is also another type of customer named the designated community which is a potential consumer.

Figure 4: OAIS Functional Entities (CCSDS, 2012).

The points of contact between the archive and the customers are the functional entities Ingest and Access. In Access there are two types of interactions identified as queries and orders. These were identified for Ingest as “Long-term preservation of AIP”, which is the value that producers take out of the archive. For the consumers interactions it were identified two value propositions, one for the queries depicted as “Resource Discovery” in the BMC and one for orders which is identified as “Access to Preserved Information” in the BMC.

From these value propositions the channels were identified, the channels building block “describes how a company communicates with and reaches its customer segments to deliver a value proposition”. (Osterwalder, 2009) In order to deliver the three value propositions identified earlier there is the need to create the appropriate channels as such was identified one channel for each of the value propositions. In order to enable long-term preservation of AIPs for Producers there is the need to have an “Archiving Infrastructure” which supports the ingesting of an AIP and also the preserved objects described as “Preserved AIP” in the BMC. To allow resource discovery of holdings in the archive the “Archiving Infrastructure” is also needed to support the execution of queries and the “Descriptive Information” to allow consumers to find the relevant holdings. Finally, to allow the access to the preserved information the “Archiving Infrastructure” is needed to support the generation of a DIP from an AIP according to the Order Agreement. To finalize the rationale behind the creation of this generic BMC the key activities are identified. Key activities describe “the most important things a company must do to make its business model work”. (Osterwalder, 2009) If we look again to the functional entities of an OAIS (Figure 4) the key activities are the functional entities from OAIS. In order to allow for long-term preservation of AIPs, the archive must perform “SIP Ingestion and AIP generation” which is the Ingest Functional Entity, it must also perform “Preservation Planning”, “AIP Storage” which is the Archival Storage Functional Entity and must perform “Archive Administration” which is the Administration Functional Entity. To allow resource discovery the archive must perform “Data Management” which allows access to descriptive information necessary to identify relevant holdings in the archive. Finally, for the archive to allow access to preserved information it must perform “DIP Dissemination” which is the Access Functional Entity and must also have “Archive Administration”.

Regarding the Key Partnerships, Cost Structure and Revenue Streams these could not be properly identified from OAIS and according to our vision these are context dependent. For example, an archive can have software providers as key partners if the
software is developed outside of the archive. However, there are archives that have in-site development. The cost structure also changes depending on the legislation of the archive and established accounting laws. The revenue streams are also context dependent, one archive might have its main source of revenue from public funding if it is a public organization, it might also provide training which makes for another revenue stream. As such, these building blocks are empty in the generic OAIS BMC and are filled in the instantiations using real cases. The generic BMC is presented in Figure 5.

Due to space restrictions, all the details of the generic BMC cannot be presented here; therefore, for the detailed descriptions and more information please visit http://4ctoolset.sysresearch.org/.

The BMC presented in Section 7 is an instantiation of the generic BMC based on OAIS presented in section 5. For some of the objects in the canvas there are specific case-dependent instantiations of the object between square brackets. For example, if there is an object with Producers [Researchers] this means that for that specific case the producers are researchers. There are also objects there were not present in the generic OAIS BMC and are specific for the case depicted in that BMC.

6 A REFERENCE RISKS AND CONTROLS REPOSITORY

One other artefact that was realized to be important to support the proposed method is a reference risk repository for the domain digital curation. A risk repository established concept in risk management, meaning any kind of system used to store and managed the knowledge required to support a risk assessment process.

For that purpose, generic risks and controls were identified after analysing the main reference in the domain for this purpose, the DRAMBORA - Digital Repository Audit Method Based on Risk Assessment (DCC/DPE, 2007). DRAMBORA results from an effort to conceive criteria, means and methodologies for risk assessment of digital repositories. A sample of the result of that analysis is presented in Table 1. The detailed registry of risks and controls can be found at http://4ctoolset.sysresearch.org/.

<table>
<thead>
<tr>
<th>Id</th>
<th>Generic Risks</th>
<th>Generic Controls</th>
</tr>
</thead>
<tbody>
<tr>
<td>R1</td>
<td>Business fails to preserve essential characteristics of digital assets</td>
<td>Define main characteristics of digital content for information preservation</td>
</tr>
<tr>
<td>R2</td>
<td>Business policies and procedures are inefficient</td>
<td>Document and make available business policies and procedures</td>
</tr>
<tr>
<td>R3</td>
<td>Enforced cessation of repository operations</td>
<td>Plan for continuation of preservation activities beyond repository's lifetime</td>
</tr>
<tr>
<td>R4</td>
<td>Activity allocates insufficient resources</td>
<td>Use mechanisms to measure activity efficiency in terms of allocated resources, procedures and policies</td>
</tr>
</tbody>
</table>
Table 1: Generic risks and controls identification (cont.).

<table>
<thead>
<tr>
<th>Id</th>
<th>Generic Risks</th>
<th>Generic Controls</th>
</tr>
</thead>
<tbody>
<tr>
<td>R5</td>
<td>Community requirements change substantially</td>
<td>Identify, monitor and review the understanding of the community requirements and of the repository objectives</td>
</tr>
<tr>
<td>R6</td>
<td>Community feedback not received</td>
<td>Use mechanisms (e.g. email, surveys) for soliciting feedback from repository users community</td>
</tr>
<tr>
<td>R7</td>
<td>Community feedback not acted upon</td>
<td>Define policies to acknowledge community's feedback</td>
</tr>
<tr>
<td>R8</td>
<td>Loss of key member(s) of staff</td>
<td>Appoint a sufficient number of appropriately qualified personnel</td>
</tr>
<tr>
<td>R9</td>
<td>Personnel suffer skill loss</td>
<td>Implement mechanisms to identify ongoing personnel training requirements</td>
</tr>
<tr>
<td>R10</td>
<td>Budgetary reduction</td>
<td>Define a financial preservation plan to assure self-sustainability of repository</td>
</tr>
<tr>
<td>R11</td>
<td>Software failure or incompatibility</td>
<td>Install software updates</td>
</tr>
<tr>
<td>R12</td>
<td>Hardware failure or incompatibility</td>
<td>Monitor hardware performance</td>
</tr>
<tr>
<td>R13</td>
<td>Obsolescence of hardware or software</td>
<td>Maintain hardware/software up to date to meet repository objectives</td>
</tr>
<tr>
<td>R14</td>
<td>Media degradation or obsolescence</td>
<td>Allocate resources to monitor media storage lifetime and assess potential value of emerging technologies</td>
</tr>
<tr>
<td>R15</td>
<td>Local destructive or disruptive environmental phenomenon</td>
<td>Implement physical security measures (e.g. video-record)</td>
</tr>
<tr>
<td>R16</td>
<td>Non availability of core utilities (e.g. electricity, gas)</td>
<td>Define internal means to nullify disruption of service, monitor and review contract agreements of provider's services</td>
</tr>
<tr>
<td>R17</td>
<td>Loss of other third-party services</td>
<td>Document and review service level contracts or service commitments with utility provider</td>
</tr>
<tr>
<td>R18</td>
<td>Loss of authenticity/integrity of information</td>
<td>Monitor, record and validate integrity of received content</td>
</tr>
</tbody>
</table>

7 CASE STUDY: A NATIONAL WEB ARCHIVE

This National Web Archive preserves the information published on the web of clear interest for the community for future access. It also provides research resources, for instance, in the fields of History, Sociology or Linguistics and preserves information from the past that is no longer available on the Internet. With the creation of a system that supports regular crawls of the national web, its long term storage and access, it is intended to provide the following services: Term search over the archived contents; URL search over the archived contents; New search engine over the national web; Historical collections of web contents for research purposes; Characterization reports of the national web; Backup system of the archived information; Archived data parallel processing system.

As a complement, the National Web Archive also strives to achieve the following goals: Train human resources in web archiving to enable the maintenance of the system in the future; Export know-how, experience and technology in web archiving to other countries; Contribute to increase the number of domains registered under the national domain; Publish scientific and technical papers that enable the sharing of the acquired. The instantiation of the BMC for this case study can be found at http://4ctoolset.sysresearch.org/.

The risks were identified through the analysis of the BMC for the case study and identified by their Id from Table 1. Regarding the controls for the risks identified, refer to Table 1. For a more detailed analysis of the risks and controls for both the case study visit the Holirisk tool in http://4ctoolset.sysresearch.org/ in the page of the BMC for this case study.

Revenue Streams - Risks related to the worth of a repository business and the value it offers to the community: R10.

Cost Structure - Risks regarding the cost to support the repository business: R8; R13; R16; R18.

Channels - Risks related to the communication and dissemination of the business provided by a repository: R6.

Customer Segments - Risk that relates with what the repository should deliver within the community vision: R5.

Customer Relationships - Risks associated with the community that makes use of the repository for their research work: R7.

Key Resources - Risks related to the resources of infrastructure and personnel which sustain the repository business: R15; R3; R8; R9; R11; R12.

Value Propositions - Risks regarding the vision and value of a repository: R1; R2.

Key Partnerships - Selected risks regarding the outsourcing services repository may depend on to deliver the preservation business: R13; R17.
Using Table 1 and the detailed risks and controls from http://4ctoolset.sysresearch.org/ as well as the list of consolidated risks we can identify potential controls for the identified risks.

8 CONCLUSIONS

This paper proposed a pragmatic method for identifying risks from a Business Model Canvas which is based in two different scenarios, (1) “Current” scenario, where the controls already exist in the repository as a means to reduce the impact of a consequence of a risk and; (2) “Future” scenario, where the controls do not yet exist, but where repository managers are able to consider alternative scenarios of repository governance.

The foundations of this method make use of relevant sources of literature, such as the ISO 31000 and the Business Model Canvas. The focus of this paper was to present the method as a pragmatic technique, and provide some example for a case study. This paper also provided two tools to accomplish the goals of the method proposed: (1) A generic BMC, which can be used as a template for organizations to instantiate to their specific context and (2) A risk registry for digital curation: a registry of risks derived, and also common related controls, relevant for the domain of digital curation.

The work on this paper was developed with the aim of being simple and easily applicable to every organization that has digital curation as part of its core competencies, and proved to be effective in identifying risk and controls relevant for an organization based on the analysis of a BMC.

As future work, this whole method can be implemented in a software system that deals with risk management. As of now there is already a risk management software named Holirisk (available from http://4ctoolset.sysresearch.org/) that will support the method described in this paper. Our assumption is that this method will be relevant for further organizations that want to gain knowledge of the risks they face without the burden of a “full” risk management approach.

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