



14th Annual Federal CASIC Workshops
Washington, DC, March 16 - 18, 2010

WP-1 Survey Uses of Metadata

*Efficiently delivering (micro)data on the web
using DDI-XML*



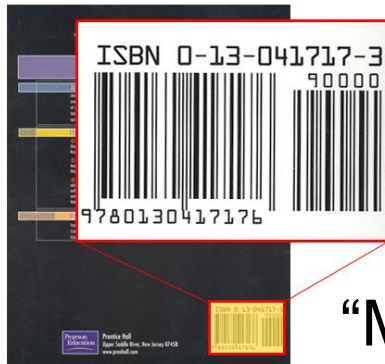
Pascal Heus, Open Data Foundation
<http://www.opendatafoundation.org>
info@odaf.org

Metadata you use everyday...

“Human Readable” Metadata



Nutrition Facts		Valeur nutritive	
Per 1 bowl (300 g) / Pour 1 bol (300 g)			
Amount		% Daily Value	
Teneur		% valeur quotidienne	
Calories / Calories	440		
Fat / Lipides	19 g	29 %	
Saturated / Saturés	4 g		
+ Trans / Trans	0.2 g	21 %	
Cholesterol / Cholestérol	35 mg		
Sodium / Sodium	860 mg	36 %	
Carbohydrate / Glucides	53 g	18 %	
Fibre / Fibres	4 g	16 %	
Sugars / Sucres	6 g		
Protein / Protéines	15 g		
Vitamin A / Vitamine A		45 %	
Vitamin C / Vitamine C		4 %	
Calcium / Calcium		20 %	
Iron / Fer		20 %	



“Machine-actionable” Metadata

CASIC
 2010 Federal CASIC Workshops
 Computer Assisted Survey Information Collection

Metadata you use everyday...

CASIC Section

YAHOO!

msn

AOL

iGoogle

Weather Forecast

Compact | Classic | Full

1°C
Mostly Cloudy

Location: Washington, DC
Mostly Cloudy

Location	Today	Tomorrow	Tuesday
Washington, DC Mostly Cloudy	5° / 0°	10° / 4°	7° / 0°

Top Stories from AP

- Obama aide promotes job plan, warns automakers - 1 hour ago
- Sources: Gov't working on Citigroup rescue plan - 37 minutes ago
- Police: Wife shot and killed at New Jersey church - 40 minutes ago
- Official: Richardson to be commerce secretary - 4 hours ago
- AP IMPACT: Govt pays millions for unapproved drugs - 55 minutes ago
- Astronauts tinker with urine-to-water machine - 2 hours ago
- Wall Street braces for another pivotal week - 1 hour ago
- 'Twilight' takes \$70.6M bite out of box office - 3 hours ago
- Manning shines, Giants hold off Cardinals 37-29 - 52 minutes ago
- TO snags 7 catches as Cowboys defeat 49ers 35-22 - 56 minutes ago

Scoreboard

Yesterday | Today

NFL All games

Sunday, November 23, 2008

Team	Score	Status
Washington	20	Final
Seattle	17	

Symbol	Price	Change	% Change
AAPL	82.58	+2.09	+2.60%
AFFX	2.16	-0.22	-9.24%
ARIA	1.27	-0.11	-7.97%
AMZN	37.87	+2.84	+8.11%
EBAY	12.01	+0.84	+7.52%
GOOG	262.43	+2.87	+1.11%

Currency Converter

Convert 1 U.S. Dollar (USD)

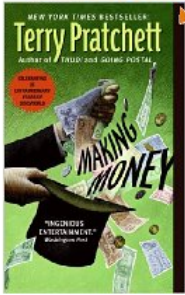
into Japanese Yen (JPY)

Convert

Currency	U.S. \$	Yen	Euro	U.K. £
1 U.S. \$ =	1	95.05	0.7936	0.1543
1 Yen =	0.0105	1	0.0083	0.0158
1 Euro =	1.2601	119.7725	1	0.6557
1 U.K. £ =	1.4891	141.5389	1.1817	1

Quotes from Yahoo

Click to **LOOK INSIDE!**



Making Money (Discworld Novels) (Mass Market Paperback)
by Terry Pratchett (Author)
★★★★☆ (101 customer reviews)

List Price: \$7.99
Price: **\$7.99** & eligible for **FREE Super Saver Shipping** on orders over \$25.
[Details](#)
[Special Offers Available](#)

In Stock.
Ships from and sold by **Amazon.com**. Gift-wrap available.

Want it delivered Tuesday, November 25? Order it in the next 21 hours and 9 minutes, and choose **One-Day Shipping** at checkout. [See details](#)

37 new from \$3.48 **10 used** from \$3.49



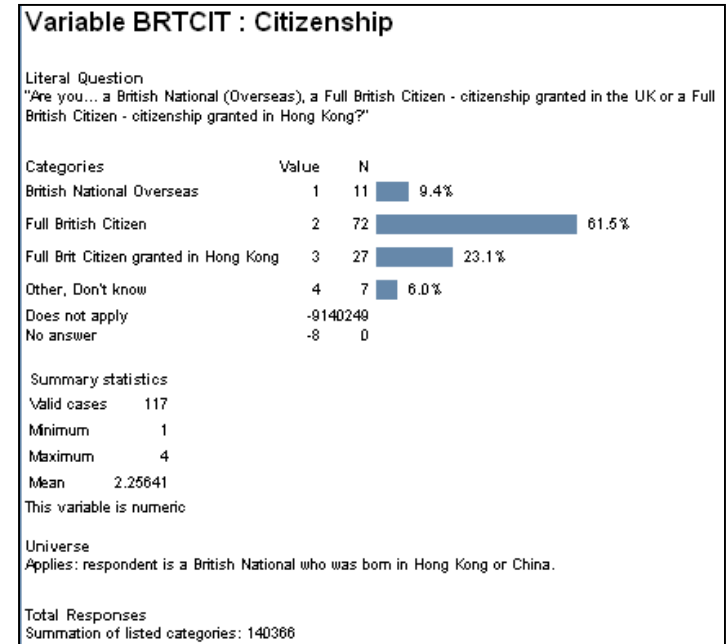
2011

What are metadata?

Common definition: Data about Data

1	1	4	5	13
1	1	4	5	7
1	1	4	5	4
1	1	4	5	21
1	1	4	2	7
1	1	3	4	4
1	1	4	5	6
1	1	1	5	4
1	1	2	5	1
3	1	1	3	1
3	1	9	3	16
3	1	9	2	4
3	1	9	9	19
3	3	2	9	4
3	1	9	3	99

Unlabeled stuff



Labeled stuff

Metadata for microdata

- Need more than data dictionary and a couple of documents....
- Survey level
 - Data dictionary (variable labels, names, formats,...)
 - Questionnaires: questions, instructions, flow, universe
 - Dataset structure: files, structure/relationships,
 - Survey and processes: concepts, description, sampling, stakeholders, access conditions, time and spatial coverage, data collection & processing,...
 - Documentation: reports, manuals, guides, methodologies, administration, multimedia, maps, ...
- Across surveys
 - Groups: series, longitudinal, panel,...
 - Comparability: by design, after the fact
 - Harmonization
 - Common metadata: concepts, classifications, universes, geography, universe

Questionnaire Example

CASIS

Module/Concepts

Universe

Instruction

EDUCATION MODULE

If interview takes place between two school years, use alternative wording found in Appendix 1.

For persons **age 5 or over** ask Qs. 15 and 16

For children **age 5 through 17 years**, continue on, asking Qs. 17-22

Questions

Classifications
(some reusable)

14. Line no.	15. HAS (name) EVER ATTENDED SCHOOL?	16. WHAT IS THE HIGHEST LEVEL OF SCHOOL (name) ATTENDED? WHAT IS THE HIGHEST GRADE (name) COMPLETED AT THIS LEVEL? LEVEL: 1 PRIMARY 2 SECONDARY 3 HIGHER 4 NON-STANDARD CURRICULUM 9 DK GRADE: 99 DK <i>If less than 1 grade, enter 00.</i>	17. Is (name) CURRENTLY ATTENDING SCHOOL?	18. DURING THE CURRENT SCHOOL YEAR, DID (name) ATTEND SCHOOL AT ANY TIME?	19. SINCE LAST (day of the week), HOW MANY DAYS DID (name) ATTEND SCHOOL?	20. WHICH LEVEL AND GRADE IS/WAS (name) ATTENDING? LEVEL: 1 PRESCHOOL 2 PRIMARY 3 SECONDARY 4 NON-STANDARD CURRICULUM 9 DK GRADE: 99 DK	21. DID (name) ATTEND SCHOOL LAST YEAR?	22. WHICH LEVEL AND GRADE DID (name) ATTEND LAST YEAR? LEVEL: 1 PRESCHOOL 2 PRIMARY 3 SECONDARY 4 NON-STANDARD CURRICULUM 9 DK GRADE: 99 DK
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LINE	Y	NO	LEVEL	GRADE	YES	NO	YES	NO	DAYS	LEVEL	GRADE	Y	N	DK	LEVEL	GRADE
01	1	2 ⇒ NEXT LINE	1 2 3 4 9	___	1	2	1	2	___	1 2 3 4 9	___	1	2	9	1 2 3 4 9	___
02	1	2 ⇒ NEXT LINE	1 2 3 4 9	___	1	2	1	2	___	1 2 3 4 9	___	1	2	9	1 2 3 4 9	___
03	1	2 ⇒ NEXT LINE	1 2 3 4 9	___	1	2	1	2	___	1 2 3 4 9	___	1	2	9	1 2 3 4 9	___
04	1	2 ⇒ NEXT LINE	1 2 3 4 9	___	1	2	1	2	___	1 2 3 4 9	___	1	2	9	1 2 3 4 9	___
05	1	2 ⇒ NEXT LINE	1 2 3 4 9	___	1	2	1	2	___	1 2 3 4 9	___	1	2	9	1 2 3 4 9	___
06	1	2 ⇒ NEXT LINE	1 2 3 4 9	___	1	2	1	2	___	1 2 3 4 9	___	1	2	9	1 2 3 4 9	___
07	1	2 ⇒ NEXT LINE	1 2 3 4 9	___	1	2	1	2	___	1 2 3 4 9	___	1	2	9	1 2 3 4 9	___

Value level
Instruction (skip)

Now for each woman age 15-49 years, write her name and line number at the top of each page in the Women's Questionnaire.
For each child under age 5, write his/her name and line number AND the line number of his/her mother or caretaker at the top of each page in the Children's Questionnaire.
You should now have a separate questionnaire for each eligible woman and child in the household.

Instruction

Common metadata example

Official country names used by the ISO 3166/MA	Numeric	Alpha-3	Alpha-2
Afghanistan	004	AFG	AF
Åland Islands	248	ALA	AX
Albania	008	ALB	AL
Algeria	012	DZA	DZ
American Samoa	016	ASM	AS
Andorra	020	AND	AD
Angola	024	AGO	AO
Anguilla	660	AIA	AI
Antarctica	010	ATA	AQ
Antigua and Barbuda	028	ATG	AG
Argentina	032	ARG	AR
Armenia	051	ARM	AM
Aruba	533	ABW	AW
Australia			
Austria			
Azerbaijan			
Bahamas			
Bahrain			



Neoplasms (C00-D48)	
C00-C97	Malignant neoplasms
C00-C75	Malignant neoplasms, stated or presumed to be primary, of specified sites, except of lymphoid, haematopoietic and related tissue
C00-C14	Lip, oral cavity and pharynx
C15-C26	Digestive organs
C30-C39	Respiratory and intrathoracic organs
C40-C41	Bone and articular cartilage
C43-C44	Skin
C45-C49	Mesothelial and soft tissue
C50	Breast
C51-C58	Female genital organs
C60-C63	Male genital organs
C64-C68	Urinary tract
C69-C72	Eye, brain and other parts of central nervous system
C73-C75	Thyroid and other endocrine glands
C76-C80	Malignant neoplasms of ill-defined, secondary and unspecified sites
C81-C96	Malignant neoplasms, stated or presumed to be primary, of lymphoid, haematopoietic and related tissue
C97	Malignant neoplasms of independent (primary) multiple sites
D00-D09	In situ neoplasms
D10-D36	Benign neoplasms
D37-D48	Neoplasms of uncertain or unknown behaviour [see note before D37]

Data with no or limited metadata

- Has little usefulness (low quality)
- Cannot be discovered
- Cannot be used effectively and responsibly
- Cannot be processed
- Is difficult to publish
- Cannot be cited
- Cannot be linked to other data or documents
- Increases burden on data provider
- ...
- Incomplete metadata can even be more risky
 - users will “guess” which leads to disparate / contentious “valid” results
- This applies to the institutional, national and global levels
 - Metadata is not only for public use...



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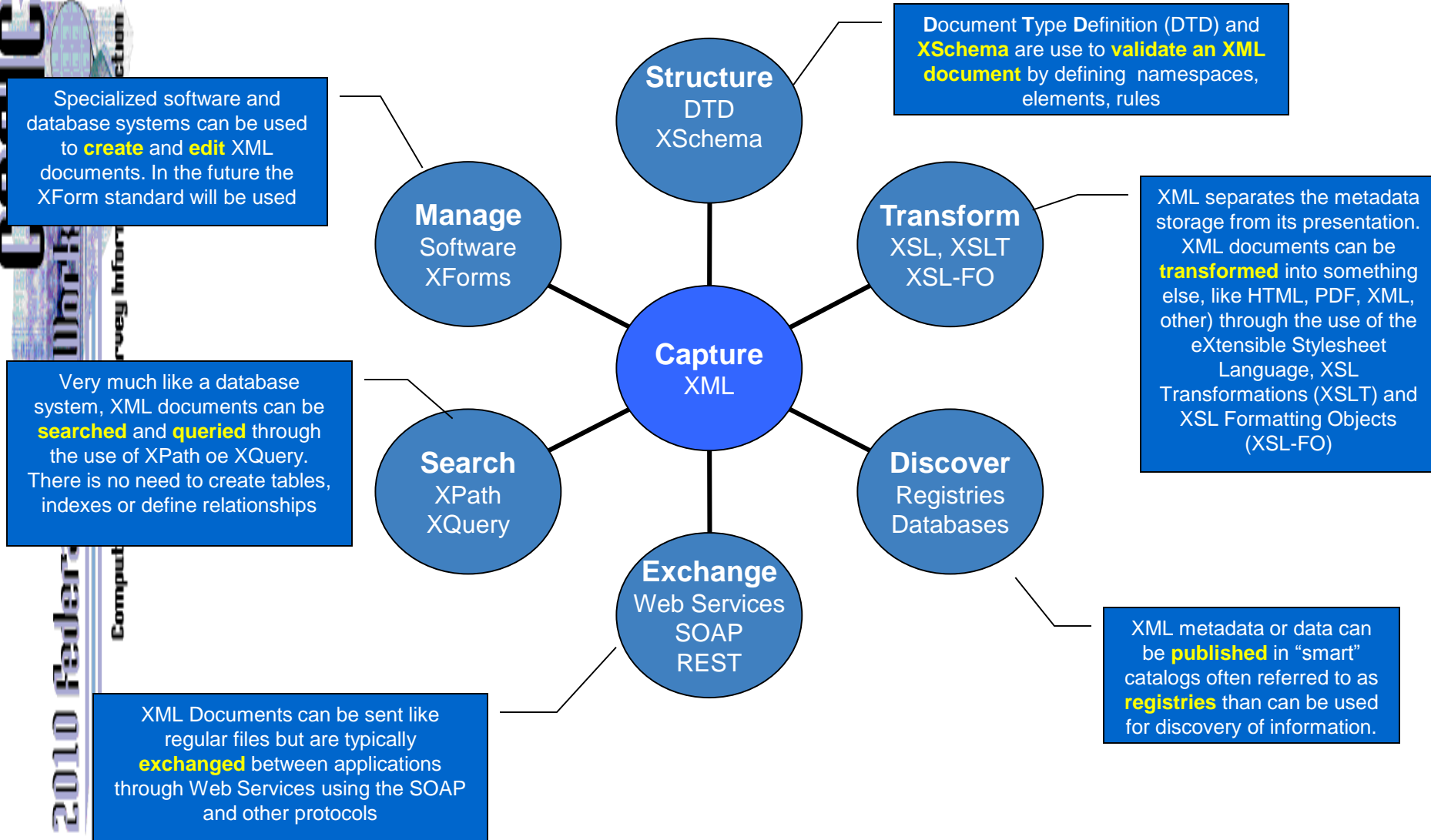
The eXtensible Markup Language The Data Documentation Initiative

*Leveraging on industry standard technology
to support microdata management and research processes*

What is XML?

- Today's Universal language on the web
- Purpose is to facilitate sharing of structured information across information systems in a generic fashion
- XML stands for eXtensible Markup Language
 - eXtensibe → can be customized
 - Markup → tags, marks, attach attributes to things
 - Language → syntax (grammatical rules)
- HTML (**H**yper**T**ext **M**arkup **L**anguage) is a markup language but not extensible! It is also concerned about presentation, not content.
- XML is a text format (not a binary black box)
- XML is a also a collection of technologies (built on the XML language)
- It is platform independent and is understood by modern programming languages (C++, Java, .NET, pHp, perl, etc.)
- It is both machine and human readable

XML: an information management technology suite



The need for “standards”

- When sharing/exchanging/publishing information, we need to agree on a common set of similar elements and attributes to describe objects or concepts
 - Book, car, press releases, stock market, weather, etc.
 - Surveys, variables, questions, time series, classification, etc.
- In XML, this is a “specification” (DTD or Schema) that describes the information model
 - In some case this may be an official “standard” (i.e. ISO)
- Many different specifications exists for the different domains
- Typically maintained by consortium of organizations

Metadata specifications for SBE

- A single specification is not enough
 - We need a set of complementary metadata structures
 - That can map to each other to (maintain linkages)
 - Will be around for a long time (global adoption, strong community support)
 - Based on technology standards (XML)
- Suggested set
 - **Data Documentation Initiative (DDI)** – survey / administrative microdata
 - **Statistical Data and Metadata Exchange standard (SDMX)** – aggregated data / time series
 - ISO/IEC 11179 – concept management and semantic modeling
 - ISO 19115 – Geographical metadata
 - METS – packaging/archiving of digital objects
 - PREMIS – Archival lifecycle metadata
 - XBRL – business reporting
 - Dublin Core – citation metadata
 - Etc.



The Data Documentation Initiative

- The Data Documentation Initiative is an XML specification to capture structured metadata about “microdata” (broad sense)
- First generation DDI 1.0...2.1 (2000-2008)
 - Focus on single archived instance
- Second generation DDI 3.0 (2008)
 - Focus on life cycle
 - Go beyond the single survey concept
 - Multi-purpose
- Governance: DDI Alliance
 - Membership based organizations (35 members)
 - Data archives, producers, research data centers, academic
 - <http://www.ddialliance.org>

DDI Timeline / Status

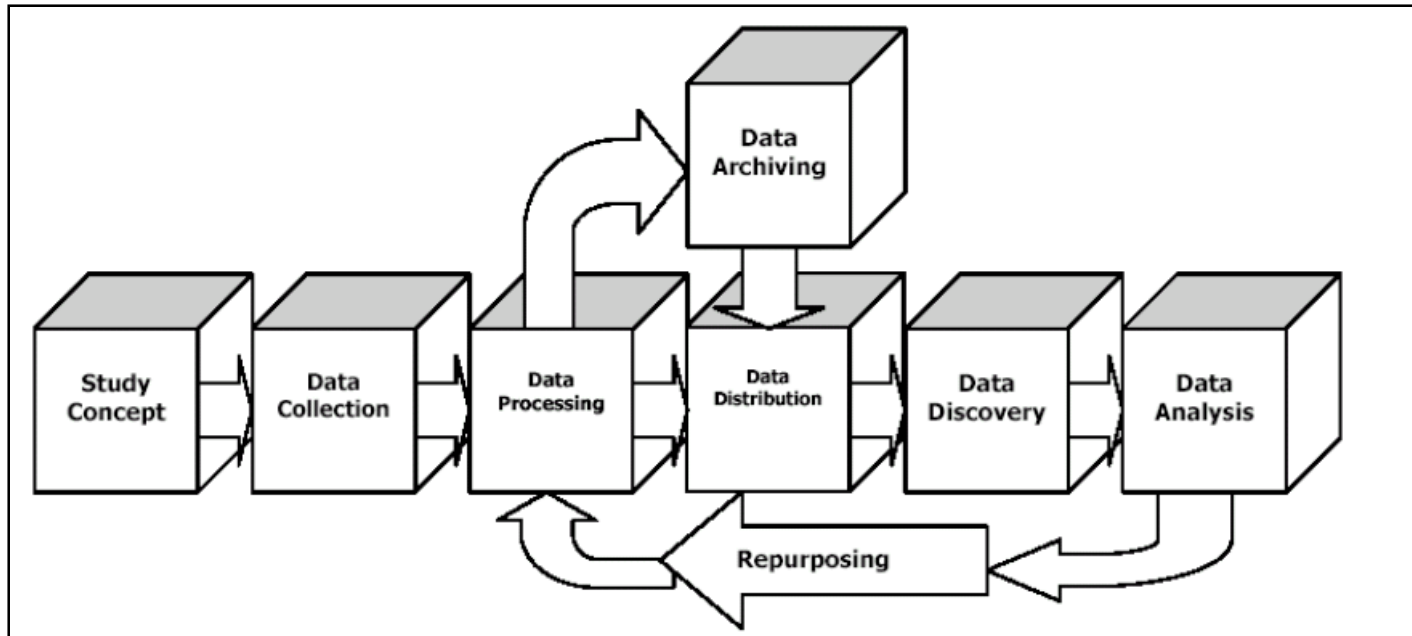
- Pre-DDI 1.0
 - 70's / 80's OSIRIS Codebook
 - 1993: IASSIST Codebook Action Group
 - 1996 SGML DTD
 - 1997 DDI XML
 - 1999 Draft DDI DTD
- **2000 – DDI 1.0**
 - Simple survey
 - Archival data formats
 - Microdata only
- **2003 – DDI 2.0**
 - Aggregate data (based on matrix structure)
 - Added geographic material to aid geographic search systems and GIS users
- **2003 – Establishment of DDI Alliance**
- **2004 – Acceptance of a new DDI paradigm**
 - Lifecycle model
 - Shift from the codebook centric / variable centric model to capturing the lifecycle of data
 - Agreement on expanded areas of coverage

- 2005
 - Presentation of schema structure
 - Focus on points of metadata creation and reuse
- 2006
 - Presentation of first complete 3.0 model
 - Internal and public review
- 2007
 - Vote to move to Candidate Version (CR)
 - Establishment of a set of use cases to test application and implementation
 - October 3.0 CR2
- 2008
 - February 3.0 CR3
 - March 3.0 CR3 update
 - April 3.0 CR3 final
 - April 28th 3.0 Approved by DDI Alliance**
 - May 21st DDI 3.0 Officially announced
 - Initial presentations at IASSIST 2008
- 2009
 - DDI 3.1 and beyond

DDI 1.0 – 2.1 – Archival Metadata

- Focus on preservation of a survey
- Often see survey as collection of data files accompanied by documentation
 - Code book-centric
 - Report, questionnaire, methodologies, scripts, etc.
- Covers elements such as study, files, variables, questions, data cubes, geography, other materials
- Result in a static event: the archived survey
- Maintained by a single agency
- Is typically documentation after the facts
- Success story and widely adopted around the globe
- Tools available today
- Powerful but has limitations / constraints

DDI 3.0 and the Survey Life Cycle



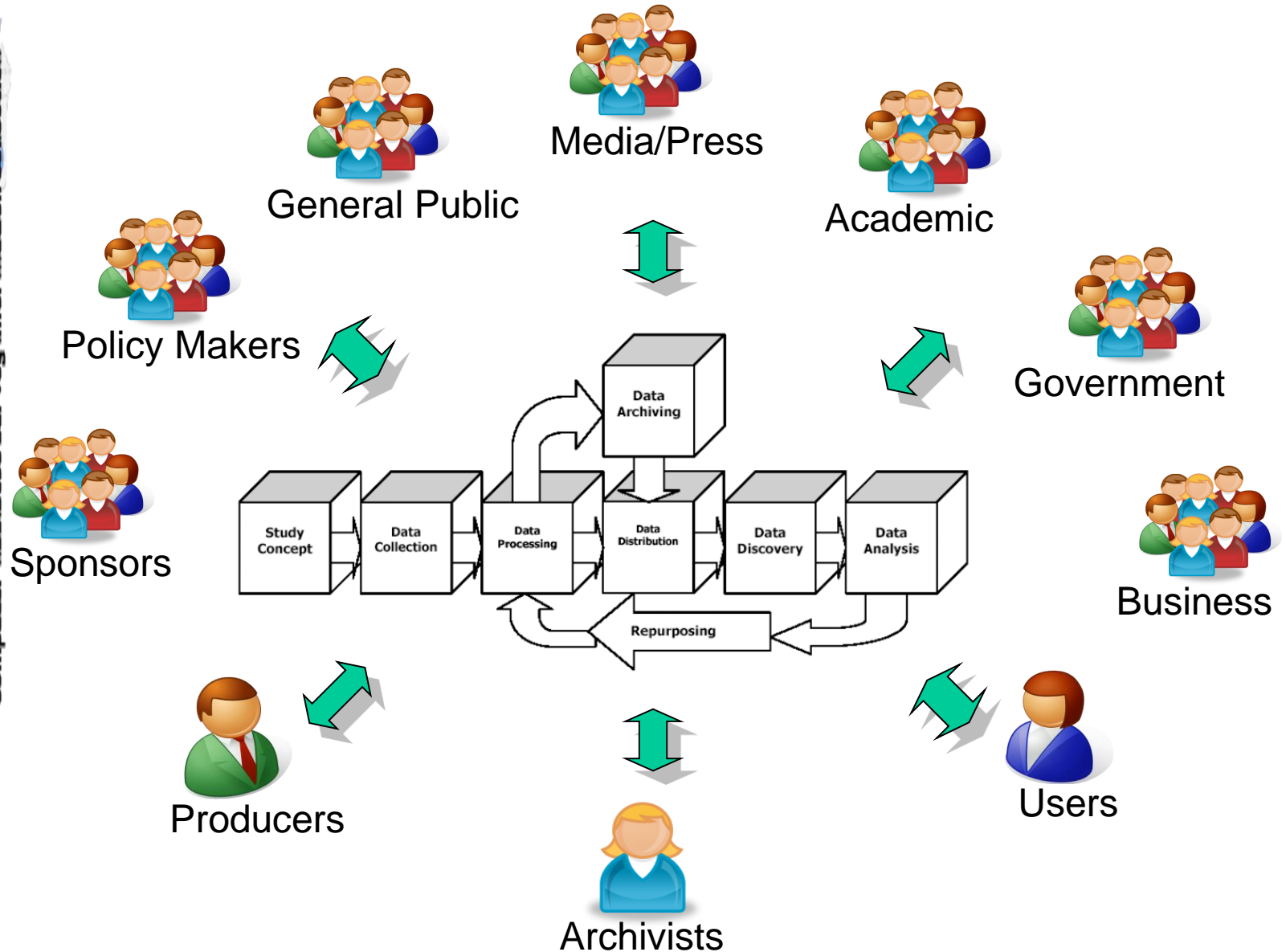
- A survey is not a static process: It dynamically evolved across time and involves many agencies/individuals
- DDI 2.x is about archiving, DDI 3.0 across the entire “life cycle”
- 3.0 focus on metadata reuse (minimizes redundancies/discrepancies, support comparison)
- Also supports multilingual, grouping, geography, and others
- 3.0 is extensible

DDI 3.0 Use Cases

- DDI 3 is composed of several schemas/modules
 - You only use what you need!
 - DDI 3.0 provides the common metadata language to maintain links and consistency across the entire life cycle
- Some examples
 - Study design/survey instrumentation
 - Questionnaire generation/data collection and processing
 - Data recoding, aggregation and other processing
 - Data dissemination/discovery
 - Archival ingestion/metadata value-add
 - Question /concept /variable banks
 - DDI for use within a research project
 - Capture of metadata regarding data use
 - Metadata mining for comparison, etc.
 - Generating instruction packages/presentations
 - Data sourced from registers
- The same specification is used across the lifecycle by different actors

DDI 3.0 perspective

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DDI 3 Relationship to Other Standards

SDMX (from microdata to indicators / time series)

- Completely mapping to and from DDI NCubes

Dublin Core (surveys and documents gets cited)

- Mapping of citation elements

- Option for DC namespace basic entry

ISO 19115 – Geography (microdata gets mapped)

- Search requirements

- Support for GIS users

METS

- Designed to support profile development

OAIS (alignment of archiving standards)

- Reference model for the archival lifecycle

ISO/IEC 11179 (metadata mining through concepts)

- Variable linking representation to concept and universe

- Optional data element construct in ConceptualComponent that allows for complete ISO/IEC 11179 structure as a maintained item



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What can DDI-XML do for you?

Why use XML?

- Industry standard
- Set of open technologies
 - Free, cross platform, embedded in IT tools, etc.
- Capture information in a non-proprietary format
- Can convert to traditional format
 - HTML, PDF, XLS, RTF, DOC, Text, etc.
 - *Not true the other way around!*
- Reduced development / implementation cost
- Allows for the reuse of tools
 - Collaborative efforts, no need to work in isolation
- Hybrid database systems understand XML
- Global adoption of standard
- Fit in public and private information networks
- ...



Why use DDI?

- Builds on XML
- Internationally recognized specification
- Mature specification supported by a large community
- With DDI3:
 - Provides common framework / language across the entire life cycle
 - Allows for multiple contributors
 - Maximizes reuse!
 - Unique and persistent identifiers
 - Support for many use cases
- Works hand in hand with other XML specification / standards (from respondent to policy maker)



Leveraging on DDI-XML

- Unlock the data
- With human readable metadata: document your data!
 - But this is only part of the story
- With machine actionable metadata: automate processes:
 - Production, Archive / Preservation, Discovery / Dissemination, Use / Analysis / Repurposing
- Facilitate harmonization / comparability
- Manage “Banks” (question, variables, concepts, classifications)
- Provide public information on protected datasets
- Maintain institutional or national standards
- Bridge legacy / proprietary systems through standard based publication /exchange (crucial in federated environment)
- Explore new possibilities
 - Understand data usage, manage disclosure processes
- Plug into industry standard web services architecture
- Bridge to rich web applications, social networks and the semantic web
 - Foster user provided metadata



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Where to start?

Components of a metadata driven framework

- Metadata surround data with:
 - human readable information (knowledge)
 - machine actionable information (processing / automation)
- XML
 - Provides the common language
 - Combines with a set of powerful industry standard open technologies to process / manage the metadata
- Standards
 - Common agreed upon structures that allows for publication, exchange, processing, reuse of tools, etc.
 - → Which one to use: DDI, SDMX, ISO 11179, Dublin Core, etc.
- Other necessary components for success
 - Institutional, national and international practices / endorsement
 - Guidelines, best practices, training
 - Tools + integration into existing environments / adoption by vendors
 - Public metadata registries / web services
 - Change management

Suggested Readings

- "**Metadata**", Arofan Gregory (ODaF), Pascal Heus (ODaF), German Council for Social and Economic Data Working Paper no. 57/2009, March 2009, http://www.ratswd.de/download/workingpapers2009/57_09.pdf
- "**DDI and SDMX: Complementary, Not Competing, Standards**", A. Gregory, P. Heus, Open Data Foundation, July 2007
- "**Combining Metadata Standards: Approaches and benefits**", Arofan Gregory, Open Data Foundation, Work Session on Statistical Metadata (METIS) (Geneva, Switzerland, 10-12 March 2010), <http://www.unece.org/stats/documents/ece/ces/ge.40/2010/wp.3.e.pdf>
- "**The Common Metadata Framework**",
<http://www1.unece.org/stat/platform/display/metis/The+Common+Metadata+Framework>
 - Part A - Statistical Metadata in a Corporate Context
 - Part B - Metadata Concepts, Standards, Models and Registries
 - Part C - Metadata and the Statistical Business Process
 - Part D - Implementation
- "**Data Documentation Initiative: Toward a Standard for the Social Sciences**", Mary Vardigan (ICPSR), Pascal Heus (ODaF), Wendy Thomas (MPC), International Journal of Digital Curation, Vol 3, No 1, Aug 2008, <http://www.ijdc.net/index.php/ijdc/article/view/66>
- "**Data Access in a Cyber World: Making Use of Cyberinfrastructure**", Julia Lane (NSF), Tim Mulcahy (NORC), Pascal Heus (ODaF), Transactions on Data Privacy (TDP), Volume 1, Issue 1, 2008, <http://www.tdp.cat/issues/abs.a002a08.php>
- See also
 - <http://odaf.org/?lvl1=resources&lvl2=papers>
 - <http://www.ddialliance.org/resources/publications>
 - <http://www.sdmx.org>



Internet Resources

- DDI Alliance - <http://www.ddialliance.org>
- SDMX - <http://www.sdmx.org>
- METIS -
<http://www1.unece.org/stat/platform/display/metis/METIS-wiki>
 - UNECE METIS Work Session on Statistical Metadata (Geneva, 10-12 March 2010) -
<http://www.unece.org/stats/documents/2010.03.metis.htm>
- Metadata Technology - <http://www.metadatatechnology.com>
- Open Data Foundation - <http://www.opendatafoundation.org>
- IASSIST - <http://www.iassistdata.org/>
 - 2010 Conference - <http://ciser.cornell.edu/IASSIST/>



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[Data.gov](https://data.gov)



Use case: About data.gov

- The purpose of Data.gov is to **increase public access** to high value, **machine readable datasets** generated by the Executive Branch of the Federal Government.
- As a **priority** Open Government Initiative for President Obama's administration, Data.gov increases the ability of the public to **easily find**, **download**, and **use datasets** that are generated and held by the Federal Government. Data.gov **provides descriptions** of the Federal datasets (**metadata**), information about **how to access** the datasets, and tools that leverage government datasets. The data catalogs will continue to **grow as datasets are added**. Federal, Executive Branch data are included in the first version of Data.gov.



Use case: About data.gov

- **Public participation and collaboration** will be one of the keys to the success of Data.gov. Data.gov enables the public to participate in government by providing downloadable Federal datasets to build applications, conduct analyses, and perform research. Data.gov will continue to improve based on **feedback, comments, and recommendations** from the public and therefore we encourage individuals to **suggest datasets** they'd like to see, rate and comment on current datasets, and suggest ways to improve the site.

Use case: About data.gov

- A **primary goal** of Data.gov is to **improve access** to Federal data and expand creative use of those data beyond the walls of government by **encouraging innovative ideas** (e.g., web applications). Data.gov strives to make government **more transparent** and is committed to creating an **unprecedented level of openness** in Government. The openness derived from Data.gov will strengthen our Nation's democracy and promote efficiency and effectiveness in Government.
- → DDI, SDMX and related standards have been designed to answer such mandate.
 - particularly relevant in the highly federated US statistical system