Original articles

The Stanford Digital Library metadata architecture*

Michelle Baldonado, Chen-Chuan K. Chang, Luis Gravano, Andreas Paepcke

Computer Science Department, Stanford University, Stanford, CA 94305-9400, USA, {michelle,kevin,gravano,paepcke}@db.stanford.edu

Received: 15 October 1996 / Accepted: 14 January 1997

Abstract. The overall goal of the Stanford Digital Library project is to provide an infrastructure that affords interoperability among heterogeneous, autonomous digital library services. These services include both search services and remotely usable information processing facilities. In this paper, we survey and categorize the metadata required for a diverse set of Stanford Digital Library services that we have built. We then propose an extensible metadata architecture that meets these requirements. Our metadata architecture fits into our established infrastructure and promotes interoperability among existing and de-facto metadata standards. Several pieces of this architecture are implemented; others are under construction. The architecture includes attribute model proxies, attribute model translation services, metadata information facilities for search services, and local metadata repositories. In presenting and discussing the pieces of the architecture, we show how they address our motivating requirements. Together, these components provide, exchange, and describe metadata for information objects and metadata for information services. We also consider how our architecture relates to prior, relevant work on these two types of metadata.

Key words: Metadata architecture – Interoperability – Attribute model – Metadata repository – Proxy architecture – Heterogeneity – Metadata survey

1 Introduction

As traditional libraries have evolved to meet the needs of their patrons, librarians have encountered and addressed a host of metadata-related issues. Today, sophisticated library cataloging principles and schemes help all of us in finding the information that we need in our local library. As work on digital libraries progresses, however, new metadata needs are arising. The increased ease with which a user can cross the boundaries from one “library” to another, the ability to organize online contents into complex structures, and the development of tools that let users transform those structures, all call for a rethinking of what metadata is and how it can be shared in digital libraries.

In the Stanford Digital Library project, we view long-term digital library systems as collections of widely distributed, autonomously maintained services. Of course, a digital library system must include services that allow users to search over collections of information objects. Examples of searchable collections include traditional library collections, digital images, e-mail archives, video, on-line books, and scientific article citation catalogs (containing only metadata about the articles, not the articles themselves). While searching services are valuable, they are not the only kind of service in the digital library of the future. Remotely usable information processing facilities are also important digital library services. These services provide support for activities such as document summarization, indexing, collaborative annotation, format conversion, bibliography maintenance, and copyright clearance.

Our project has focused on developing an infrastructure in which these disparate services can communicate and interoperate with one another. Specifically, the goal of our digital library testbed is to provide an infrastructure that affords interoperability among these heterogeneous, autonomous components, much like a hardware bus enables interaction among disparate hardware elements. Our assumption is that inventing a new standard is unlikely to solve the interoperability problem. Instead, we propose that InfoBus components
The overall goal of the Stanford Digital Library project is to provide an infrastructure that affords interoperability among heterogeneous, autonomous digital library services. These services include both search services and remotely usable information processing facilities. In this paper, we survey and categorize the metadata required for a diverse set of Stanford Digital Library services that we have built. We then propose an extensible metadata architecture that meets these requirements. Our metadata architecture fits into our established infrastructure and promotes interoperability among existing and de-facto metadata standards. Several pieces of this architecture are implemented; others are under construction. The architecture includes attribute model proxies, attribute model translation services metadata information facilities for search services, and local metadata repositories. In presenting and discussing the pieces of the architecture, we show how they address our motivating requirements. Together, these components provide, exchange, and describe metadata for information objects and metadata for information services. We also consider how our architecture relates to prior, relevant work on these two types of metadata.
use proxies to access and communicate with each other. Proxies (also called “wrappers”) allow heterogeneous services to give the illusion that they respond to a standard set of methods. We call our proxy-based infrastructure the InfoBus [1].

This paper provides a framework for understanding the classes of metadata and range of metadata needs that are necessary for our InfoBus services. We outline and ground this framework in Sect. 2 by surveying our InfoBus services and analyzing the categories of metadata that they require. In particular, we give concrete examples of four very different InfoBus services. First, we show that our automated resource-discovery service needs metadata about what collections exist and what each collection contains. Second, we observe that our service for formulating queries appropriate for multiple sources relies upon metadata about how information objects are described within each source. Third, we explain why our service for translating queries requires protocol-related metadata about the selected search services. Finally, we analyze how our service for making sense of query results can utilize metadata about information objects and their underlying representations in order to compare them and to portray their surrounding context.

Our decision to design and implement a metadata architecture has grown out of this understanding of metadata needs. We have found that ad-hoc approaches to these metadata issues do not scale and cause problems for interoperability. Related work on metadata issues (discussed in Sect. 4) is relevant for specific metadata issues that we have encountered, but does not address the problem of integrating and sharing different types of metadata information in the ways that we require. Hence, we have designed our own metadata architecture. It rests on top of our established proxy-based framework and can thus be situated amidst existing and de-facto standards for metadata. Several pieces of this metadata architecture are implemented; others are under construction. We present the architecture in detail in Sect. 3 and show how its features map onto our concrete metadata requirements. Readers interested in the design rationale for this architecture should refer to a separate paper on this topic [2].

2 Our metadata requirements

In this section, we present the InfoBus services that have motivated and shaped our metadata architecture. The discussion of each service illustrates a number of concrete requirements for the architecture.

The services described in this section are interconnected in that they all address the problem of interacting with heterogeneous searchable collections. This problem is multi-faceted because it can involve a range of activities, including locating and selecting among relevant collections, retrieving information from these collections, interpreting the information retrieved from them, managing and organizing the retrieved information at a local level, and sharing this information with others [3, 4].

A simplified example scenario gives an overview of how metadata-related issues emerge. Imagine a user, Pat, who is interested in the topic of data mining. Pat’s first task is to determine what searchable collections are relevant to this topic. Pat turns for help to a resource-discovery service (Sect. 2.1) that relies upon metadata-information about each collection to answer the question. With a set of heterogeneous collections selected, Pat is ready to begin searching. The user interface service that Pat is using allows for queries to be entered in a rich Boolean front-end language. The query constructor (Sect. 2.2) provided by the user interface uses knowledge of the attributes supported by each search service in order to present Pat with a set of attributes that could be of value in the query. Once Pat has entered a query, it is up to a query translation service (Sect. 2.3) to translate this front-end query into its native equivalent for each selected collection. The query translator requires metadata-information about the capabilities of each collection to accomplish this task. After the native queries have been issued, Pat receives back a set of results from the selected, heterogeneous collections. The result analysis component of the user interface then unifies these heterogeneous results and, under user guidance, constructs integrated overviews of them (Sect. 2.4). Pat can now make sense of these initial results and decide what to do next.

2.1 Automated resource discovery

End users have a large variety of searchable collections available to them. Accessing all these collections for each query is not practical. First, there may be too many such collections, with varying response times. Second, some collections charge for their access. Furthermore, presumably only a few collections contain useful items for a given query. Therefore, a crucial component of a Digital Library is a tool that assists users in discovering the useful resources for their queries.

Finding the best collections for a query is the goal of GLOSS [5, 6], a resource-discovery service within our Digital Library testbed. A user submits a query to GLOSS, and GLOSS returns a rank of the available collections. This rank is based on estimates of the expected number of hits for the query at each collection (Fig. 1). Then, the user submits the query to the top collections, as determined by GLOSS. This way, the user avoids accessing the majority of the available collections, focusing the search on the most promising ones. GLOSS uses content summaries of all target collections to compute its estimated ranks, which brings up the problem of scalability. GLOSS needs to be able to handle content summaries of a large number of searchable collections. To keep these summaries small, GLOSS only stores partial information.

The GLOSS content summary of a collection consists of the words that appear in the collection, together with the number of items where each word occurs, as the following example illustrates. An unusual characteristic of the GLOSS metadata is that it is aggregate information.
about the whole collections, rather than information about the individual items in the collections.

Example 1. Consider the following user query $q$:

**Title Contains mining**

Suppose that GLOSS has three collections available, $c_1$, $c_2$, and $c_3$. To rank these collections for $q$, GLOSS knows how many items match $q$ at each collection. For example, GLOSS knows that $c_1$ has a total of 100 items that contain the word “mining” in their title, $c_2$ has 10 such items, and $c_3$ none. GLOSS will suggest $c_1$ as the best source for the query (100 matching items), and $c_2$ as the second best source (10 matching items). Source $c_3$ will not appear in the GLOSS rank.

GLOSS does not keep information on how words co-occur in the items. Hence, it needs to make assumptions on the distribution of query words in the collections whenever a query contains more than one word. These assumptions may not hold in reality, leading to wrong result-size estimates. However, the GLOSS information tends to be orders of magnitude smaller than the corresponding collections, facilitating scalability. Furthermore, experimental results with real-user queries showed that GLOSS ranks searchable collections correctly most of the time [5].

To suggest collections for a query, GLOSS extracts content summaries from each collection. These content summaries, like in the example above, include the vocabulary of each collection, together with frequency counts that are associated with them. The current implementation of GLOSS (available at http://gloss.stanford.edu/) gets the content summaries in ad hoc ways. For example, GLOSS extracts all the bibliographic entries from the CS-TR databases and processes these entries locally to produce the right content summaries. (CS-TR is an emerging digital library of computer science technical reports. See http://www.ncstl.org/) To get the summary of a collection of HTML documents, GLOSS could fetch all the documents in the collection by following links, and then extract the necessary information locally. However, this approach is expensive in terms of the number of accesses to the collection and the amount of information retrieved. Also, it would not work for collections of non-HTML documents that do not export their entire contents. Therefore, GLOSS needs the collections to collaborate and export their content summaries upon request. In summary, GLOSS requires the following of our metadata architecture:

- We need a way to learn about the available collections.
- We need a way to extract the content summary associated with each collection.

### 2.2 Query formulation

Different searchable collections typically export different attributes for searching. In query formulation, an important role of the user interface is thus to make the user aware of what attributes are available for searching.

DLITE is a user interface service that has been developed for our Digital Library testbed [7, 8, 9]. It allows librarians or end users to specify workcenters for the various information-related tasks in which they frequently engage. A DLITE workcenter gathers together components and tools that a user might need to complete a task. The current DLITE workcenter for searching includes a query constructor that relies upon a minimal, canonical attribute model. This attribute model is unstructured and contains just the canonical attributes Author, Title, and Subject. By “unstructured,” we mean that the attribute model is a flat name space. We will introduce more complex attribute models in Sect. 2.4. Figure 2 shows how the DLITE query constructor appears to the user. The user fills in as many of the fields as are desired, then hits the “Create Query” button. An object representing the query then appears in the circular area below the constructor. The user can take this query object and drop it on any of the represented search services (Dialog 275 and AltaVista in this example) for evaluation.

We can allow users to formulate queries that refer to these canonical attributes because we have tables that map canonical attributes (often approximately) onto their native collection attribute equivalents. However, this current approach does not scale well since it requires one table entry for each possible equivalence mapping. A more general approach would introduce independent attribute translators. With independent attribute translators in place, the query translation service could first find out what attributes are supported natively by a search service. If the necessary attributes are not supported, then either the query translation service or the search service itself could try to locate an attribute translator to do the mapping (attribute translators are likely to be built for a wide variety of mappings, but are
not guaranteed to exist for all possible mappings). Additionally, the translation process could be decomposed into several intermediate translation steps, each of which could be carried out by a separate translator. Either the query translation service or an individual translator could take the initiative to compute this translation decomposition. This strategy reduces the number of equivalence mappings that must be recorded.

These query formulation needs correspond directly to requirements on our metadata architecture.

- We need to include attribute models as first-class objects so that we can communicate with them and perform necessary transformations.
- We need facilities for finding out efficiently what attribute models and individual attributes are natively supported by each search service.
- We need attribute model translators that are capable of translating from canonical attributes and canonical attribute values into native attributes and native attribute values.

By designing a metadata architecture that takes into account these requirements, we also have the building blocks for designing more sophisticated query constructors. It is unlikely that any one canonical attribute model would be sufficient for all levels of users, tasks, and collections. A metadata architecture that treats attribute models as first-class objects so that we can communicate with them and perform necessary transformations is needed.

2.3 Automated query translation

There are a wealth of search engines behind the collections in digital libraries, each with a different document model and query language. There have been various approaches to address this problem. The most typical way is to provide a front-end that supports the least common denominator of the underlying services to hide the heterogeneity [10, 11]. In contrast, our approach is to allow a user to compose Boolean queries in one rich front-end language [12, 13]. For each user query and target source, we transform the user query into a subsuming query that can be supported by the source but that may return extra documents. The results are then processed by a filter query to yield the correct final result. In summary, given a user query, the query translator generates a native query that returns a minimal number of extra documents and also a filter query to apply in post-processing. The following example illustrates our approach.

Example 2. Suppose that a user is interested in documents discussing data mining and data warehousing. Say the user's query is originally formulated as follows:

\[ \text{Title Contains warehousing AND data (W) mining} \]

This query selects documents with the three given words in the Title field; furthermore, the \( W \) proximity operator specifies that the word “data” must immediately precede the word “mining.”

Now assume the user wishes to query the INSPEC database offered by the Stanford University Folio system. First, the translator must map the front-end Title field onto the corresponding INSPEC field (as described in Sect. 2.2). Next, it must map the query operators. Unfortunately, this source does not understand the \( W \) operator. In this case, our approach will be to approximate the predicate “data (W) mining” by the closest predicate supported by Folio, “data AND mining.” This predicate requires that the two words appear in matching documents, but in any position. Thus, the native query that is sent to Folio-INSPEC is:

\[ \text{Find Title warehousing AND data AND mining} \]

Notice that now this query is expressed in the syntax understood by Folio. The native query will return a preliminary result set that is a super-set of what the user expects. Therefore, an additional post-filtering step is required at the front-end to eliminate all documents that do not have the words “data” and “mining” occurring next to each other. For this example, the required filter query is:
Title Contains data (W) mining

As illustrated in the above example, the major component of query translation is query capability mapping in which user queries are rewritten to be expressible with respect to the target services’ capabilities. The query capability mapping process is therefore driven by the metadata that describe the query capabilities of the search services. In Example 2, the query translator needs metadata related to service functionality to answer the following questions: Is Title a searchable attribute? Can one search Title with the Contains operator? A service may only support the Equals operator for some attributes. Is the proximity operator W supported? If not, are there any semantically related operators to substitute? For instance, DEC’s AltaVista supports the operator NEAR, which restricts search terms to be no more than 10 words apart, and is therefore a better substitute than AND. Moreover, the query translator also needs to check if the query words (i.e., warehousing, data, and mining) are stopwords: common words that are not indexed in the target system. If this is the case, the query may get no hits at all and the user may be advised of this fact.

In general, our algorithms for query capability mapping require metadata about the underlying search engines to perform a complete translation. Currently, we encode the required metadata (capability and schema definition) within the query translator. Consequently, the current implementation may not scale well. In addition, the query translator’s metadata knowledge may not be up-to-date if the underlying services change. Therefore, to address these problems, it would be ideal to have services maintain and provide their own metadata in our architecture. In summary, the query translator needs the following metadata from search services:

- We need the schema definition: the set of searchable and/or retrievable attributes and the supported search methods (i.e., legal combinations of operators) for searchable attributes.
- We need to know the supported operators in addition to Boolean operators (e.g., the type of proximity operators supported).
- We need to be aware of the stopwords used.
- We need to know the vocabulary of the collection, i.e., the set of words indexed by the service. This is used, for instance, to enumerate words that match the stem of a particular word when stemming [14, 15] must be emulated because it is not a supported capability.
- We need to know the details of other features, e.g., for truncation, the supported truncation patterns.

2.4 Result analysis

The introduction of canonical attribute models into the metadata architecture is valuable not only for query formulation, but also for result analysis. Viewing heterogeneous results through the lens of a canonical attribute model allows users to obtain a unified overview of those results.

Making result analysis easier for the user is one goal of SenseMaker, another user interface service developed for our Digital Library testbed [9, 16]. SenseMaker allows users to experiment iteratively with different views of their results. Within a view, complexity is reduced in two ways. Similar results may be bundled together, and identical results may be merged together. Since many bundling and identity criteria are possible, users can try out different combinations in order to gain multiple perspectives on the set of results. Users also determine what attribute values should be displayed in each view.

Figure 3 shows a partial tabular view of results obtained by sending the keyword query java development to two technical article citation collections and two World Wide Web collections. In this view, the displayed canonical attributes are Shared Site, Title, and Abstract. The bundling criteria specify that results with URL values referring to the same Internet site should be bundled together (results with undefined URL values are put into their own bundle). Other possible bundling criteria include bundling together results with the same Author value, bundling together results with the same or similar Title values, and bundling together results from the same collection, among other criteria. For the view portrayed here, the identity criterion specifies that results with identical Title values should be treated as duplicates. Other possible identity criteria include merging results with identical URL values, merging results with identical URL values and identical Title values, and so on.

In SenseMaker, the user’s choices of display attributes, bundling criterion, and identity criterion all de-
pend upon the characteristics of the chosen collections. If a user chooses a World Wide Web collection (e.g., AltaVista), then the list of possible display attributes would include URL, the list of bundling criteria would include bundling by Internet site, and the list of identity criteria would include identity by comparing URL values. If the user does not choose a World Wide Web collection, these choices will not be presented. SenseMaker is able to tailor these choices by checking with the individual collections to find out what attributes they support natively, determining how to map each of these native attributes onto the chosen canonical attribute model, and then using knowledge about what attributes are present to pare down the chosen canonical attribute model to just those attributes that are relevant. Note that the current mapping from native attributes onto the chosen attribute model is performed entirely within SenseMaker.

SenseMaker further tailors the presented choices by utilizing a **structured** canonical attribute model. A structured canonical attribute model makes relations among attributes explicit. The SenseMaker structured canonical attribute model encodes generalization and composition relationships. For example, the model records that a Reporter is a kind of Creator, and that a Publication Date is made up of a Publication Day, Publication Month, and Publication Year. This relationship information allows SenseMaker to present the user with choices that are at the right level of granularity for the given set of results. If a user chooses only newspaper databases, then bundling by Reporter is offered as a possibility. If a user chooses both a newspaper database and a book database, then bundling by Creator subsumes bundling by Reporter—thus allowing books and newspaper articles by the same person to be bundled together.

Our experience with SenseMaker confirms the need for the requirements discussed in the section on query formulation (Sect. 2). For the SenseMaker approach to scale, we need to include attribute models and attribute translators in our architecture, and we need to develop protocols for communicating with these entities. Furthermore, the SenseMaker design adds two additional requirements:

- We need to include structured attribute models as first-class objects and to establish methods for extracting the structure information from these models.
- We need attribute model translators that are capable of translating from native attributes and native attribute values into canonical attributes and canonical attribute values.

### 3 The InfoBus metadata architecture

Motivated by the concrete metadata needs described in Sect. 2, we have designed an integrated metadata architecture. In this section, we begin by giving an overview of how our InfoBus works. Then we describe our metadata architecture and show how it fits into the InfoBus.

#### 3.1 InfoBus overview

Details of the Stanford InfoBus design are described in [1]. We give here only enough detail to provide context for our metadata architecture.

Our InfoBus consists of distributed objects that communicate with each other through remote method calls. In particular, we use the CORBA specifications [17], with Xerox PARC’s ILU as the object system implementation [18].

Existing external services with different interfaces are made accessible by service proxies. These are objects that provide a standard set of methods on “one side,” but can also communicate with the services they represent. For example, a proxy that represents Knight-Ridder’s Dialog Information Service responds to the same methods as proxies that represent World Wide Web services (such as AltaVista or Lycos). Proxies shield InfoBus clients from the differences in access medium and protocol.

Figure 4 illustrates the InfoBus infrastructure. It shows some of the different services that co-exist on the InfoBus, including InfoBus-specific services, user interface services, information processing services, and information sources. Examples of InfoBus-specific services include GLOSS, the resource discovery service discussed in Sect. 2.1, and the query translation service discussed in Sect. 2.3. User interface services that we have developed include DLITE (Sect. 2.2) and SenseMaker (Sect. 2.4). The InfoBus proxy strategy allows us also to include external interfaces (such as a Z39.50 interface) on the InfoBus. Likewise, the InfoBus can use proxies to accommodate information processing services (such as a document summarization service) and personal information sources (such as an e-mail archive). This paper
focuses primarily on the metadata needs of our InfoBus-specific services and user interface services. However, we have deliberately made our architecture extensible so that we can address the metadata needs of other non-search-related services at a later point.

Whenever possible, we try to present InfoBus components as collections of objects called Item. These are objects with various standard methods and arbitrary numbers of property-name/property-value pairs that may represent any real world object, ranging from a piece of text to a citation to a person. The property values are individually retrievable.

Search service proxies present themselves as instances of the class ConstrainableCollection. These represent sets of Items and respond to the method ConstrainCollection(), which returns a subset of the contained Items. For example, given a Knight-Ridder Dialog proxy DP and an Altavista proxy AP, both calls DP.ConstrainCollection(query) and AP.ConstrainCollection(query) return collections of Items that represent results.

Search service proxies may provide access to nested levels of subcollections that may be searched individually or together. Figure 5 shows an example.

In general, the structure of a proxy reflects the structure of the external service to which it provides access. When submitting a query to a ConstrainableCollection, any desired target subcollections are specified as well.

3.2 InfoBus metadata facilities

Figure 6 presents our metadata architecture and shows how it fits into the InfoBus infrastructure. New components include attribute model proxies, attribute model translation services, a metadata information facility for each search service proxy, and a metadata repository.

An attribute model proxy represents a real world attribute model, just as a search service proxy represents a real world search service. For example, we might have one attribute model proxy for the USMARC set of bibliographic attributes (referred to as “fields” in the USMARC community) [19], another for the Dublin Core set of attributes [20], and so on. An attribute model proxy allows us to encapsulate information that is specific to an attribute model and independent of a search service proxy.

An attribute model translation service serves to mediate among the different metadata conventions that are represented by the attribute model proxies. These translation services, available via remote method calls, know how to translate (often approximately) attributes (and their values) from one attribute model into attributes from a second attribute model.

The metadata information facility that we attach to each search service proxy is responsible for exporting metadata about the proxy as a whole, as well as for exporting metadata about the collections to which it provides access. Collection metadata includes descriptions of the collection, declarations as to what attribute models are supported, information about the collection’s query facilities, and the statistical information necessary for

![Diagram](image-url)
meta-searchers to predict the collection’s relevance for a particular query.

Finally, the metadata repository is a local database that caches information from the other metadata facilities in order to produce a one-stop-shopping location for locally valuable metadata. We allow for the metadata repository to pull metadata from the various facilities, as well as for the facilities to push their metadata to the repository directly.

In the following sections, we describe each of these facilities in more detail. Several are implemented in our current prototype testbed; others are still under construction. Overall, our goal in implementing this architecture is to allow our InfoBus services to progress from ad-hoc metadata interactions to well-specified, general, and scalable metadata interactions.

3.2.1 Attribute model proxies

Attribute model proxies are our way of making attribute models first-class objects in our computational environment. They allow us to store and search over attribute-specific information. On a per-attribute basis, attribute model proxies maintain attribute documentation and declare attribute value types. Furthermore, attribute model proxies record what relationships hold among the included attributes. This latter feature allows us to represent attribute models that are more complex than flat name spaces.

In the InfoBus ontology, an attribute model proxy is a ConstrainableCollection that contains AttributeItem instances. The fact that the attribute model proxy is a ConstrainableCollection means that it is accessible via the same interface as all other search service proxies. In other words, the attribute model proxy has a ConstrainCollection() method that responds to a query by returning the appropriate subset of the included AttributeItems.

Each of the AttributeItems that make up an attribute model proxy contains information that is relevant for a particular attribute, independent of the capabilities possessed by any particular search service proxy. Specifically, an AttributeItem’s properties include the following:

- attrModelName: String
- attrName: String
- attrValueType: String
- attrDocumentation: String

The attrModelName and attrName are both strings that serve to identify the AttributeItem uniquely. The attrModelName is repeated in all items to make them self-contained. This is important when the items are passed around the system to components other than the attribute model proxy. For example, meta-information recorded for a particular book might include values for attributes from many attribute models, including USMARC [19], Dublin Core [20], Z39.50 Bib1 [21], and one of the Stanford structured attribute models.

The attrValueType dictates the data type for the AttributeItem’s values. We use the interface specification language that is part of our CORBA implementation to specify these types. It is up to each search service proxy to ensure that the values it returns conform to these type specifications. If the external service that the proxy represents natively returns a different type, then the proxy is expected to transform the value into the specified type before returning it.

For example, let us assume a simple, flat attribute model that includes Title, Individual Author, and Corporate Author. A proxy for this model is a ConstrainableCollection containing the following AttributeItem instances:

SimpleModel: {
  inst1: {
    attrModelName -> 'Simple-Model'
    attrName -> 'Title'
    attrValueType -> 'String'
    attrDocumentation -> 'This is a title for an entire volume of work.'
  }
  inst2: {
    attrModelName -> 'Simple-Model'
    attrName -> 'Individual Author'
    attrValueType -> 'SEQUENCE of String'
    attrDocumentation -> 'First-name/last-name...'
  }
  inst3: {
    attrModelName -> 'Simple-Model'
    attrName -> 'Corporate Author'
    attrValueType -> 'Record(String: companyName, Integer: sicCode)'
    attrDocumentation -> 'Name as stated in corporation records...'
  }
}

Since SimpleModel is a ConstrainableCollection, any InfoBus component is free to search over instances of it. If SM is an instance of SimpleModel, then executing the statement authorAttrs = SM. Constrain("attrName Contains Author") will result in setting authorAttrs to a list of inst2 and inst3. Finding out details about the two kinds of Author attributes is then as simple as examining the properties of inst2 and inst3.

In this example, SimpleModel is a flat attribute model: all of the attributes are independent of each other. However, we saw in Sect. 2.4 that some user interface services require structured attribute models. Figure 7 depicts a structured attribute model that encodes is-a relationships among its attributes. In our architecture, the attribute model proxy for this attribute model would be a ConstrainableCollection containing AttributeItems subclassed to include is-a() methods. (Other relationships between the attributes in an attribute model, like has-a, can be treated analogously.)

A search service proxy that supports this attribute model could use its relationship information when processing queries. For example, a search service proxy...
might determine that items match the query Creator contains Ullman in the value of the Creator attribute or if they contain “Ullman” in the value of descendant attributes (i.e., in the value of Reporter or Author).

Thus, we see that attribute model proxies play an important role in our metadata architecture. Attribute model proxies allow InfoBus components to search over attribute models, to obtain documentation and value type information for specific attributes within an attribute model, and to obtain information about the relationships that hold among an attribute model’s attributes. This is the functionality that SenseMaker needs (Sect. 2.4) in order to determine display attributes, bundling criteria, and identity criteria that are at the appropriate level of granularity. The attribute model proxies are also key to building the translation services that we describe next.

### 3.2.2 Attribute model translation services

In heterogeneous environments, many different attribute models co-exist together. Therefore, we need to have strategies for resolving the inevitable mismatches that will arise when InfoBus components that support different attribute models attempt to communicate with each other. For example, consider a bibliographic database proxy and a client of that proxy. The bibliographic database proxy might support only the Dublin Core attribute model, while the client might support only the USMARC bibliographic data attribute model. In order for this client and this proxy to communicate with each other, they must be able to translate from USMARC attributes to Dublin Core attributes and vice versa. In other words, they require intermediate attribute model translation services. Of course, in some cases, translation may not even be possible at all: consider translating from an attribute model designed for chemistry databases into an attribute model designed for ancient Greek texts.

Even when translation is appropriate, the translation from one attribute model to another is often difficult and lossy. For example, the Dublin Core describes authorship using the single attribute Author. However, USMARC distinguishes among several different types of authors, including Corporate Author (recorded in the 100 attribute) vs. Individual Author (recorded in the 110 attribute). When translating an AttributeItem from Dublin Core to USMARC, a decision must be made whether to translate the Dublin Core Author attribute value into a USMARC 100 attribute value or a USMARC 110 attribute value. This may be hard-coded, or the translation may be performed heuristically and may take into account the other attribute values of the Item being translated.

Translation services do more than map source attributes onto target attributes. They must also convert each attribute value from the data type specified for the source attribute into the data type specified for the target attribute. This conversion can be quite complex. For example, one attribute model might call for authors to be represented as lists of records, where each record contains fields for first name, last name, and author address. Another model might call for just a comma-separated string of authors in last-name plus initials format. When translating among these values, some information may again be lost if, for example, the address is simply discarded.

Attribute model translation services are thus an integral component in our metadata architecture. They may be accessed by a variety of other InfoBus components, including search service proxies. For example, a search service proxy might choose to use attribute model translators to be attractive to more clients, because they can then advertise that they deal in multiple attribute models. On the other hand, clients might use attribute model translators in order to ensure their ability to communicate with a wide variety of search services. In addition to query translators (Sect. 2.3), the attribute model translation services are needed during query formulation (Sect. 2.2) to map the canonical attributes in the user interface to the actual attributes supported by the collections. Also, SenseMaker (Sect 2.4) uses the attribute model translators to convert the items returned from the collections into items that use the canonical attribute model.

The methods on standard model translation services are:

- getNameMapping (toAttrModel, fromAttrModel, fromAttributeName): SEQUENCE of String
  /* Given a fromAttrModel attribute name, returns the corresponding toAttrModel attribute names */
- getValueMapping (toAttrModel, fromAttrModel, fromAttributeName, fromAttributeValue): Any
  /* A given a fromAttrModel attribute name and value, plus the toAttrModel attribute to which these should be mapped, returns the corresponding toAttrModel value */
- getToAttrModel (fromAttrModel, fromAttributeName, fromAttributeValue): SEQUENCE of String
  /* Returns the list of toAttrModels that this translator accepts */
- getFromAttrModels (fromAttrModel, fromAttributeName, fromAttributeValue): SEQUENCE of String
  /* Returns the list of fromAttrModels that this translator accepts */
- getDocumentation (fromAttrModel, fromAttributeName, fromAttributeValue): String
  /* Returns human-readable documentation for this translator */

For heuristic translators, we can subclass and add an additional parameter called item to the first two methods. These heuristic translators optionally allow passing an item pointer, so that the translator can use knowledge about all of the item’s attribute values to drive its translation algorithm. Our current implementation includes translators that perform non-heuristic mappings.
between two attribute models, and translations to and from a structured, hierarchical model. The implementation includes heuristic translators from USMARC to BibTeX, and Refer to BibTeX models.

3.2.3 Search service proxy metadata information facilities

Each service proxy exports metadata information about itself and about the collection to which it provides access. Initially, clients can use this information to make judgments about how well the search service matches its needs. Later, clients can use the information to determine how best to access the collection maintained by the search service (i.e., what capabilities the search service supports).

We have decided to make the interface for accessing the metadata facility of search service proxies very simple in order to encourage proxy writers to provide this information. Search service proxy metadata is accessed via the call getMetadata(subCollectionName). For each subcollection supported by the proxy, this call returns two metadata objects. Alternatively, each proxy may opt to “push” these metadata objects to its clients. The first metadata object (Table 1) contains the general service information, and it is based heavily on the source metadata objects defined by STARTS [22]. The general service information includes human-readable information about the (sub)collection, as well as information that is used by our query translation facility. Examples for the latter are the type of truncation that is applied to query terms, and the list of stopwords. Our current translation engine is driven by local tables containing this kind of information about target sources.

The collectionName attribute is the name of the (sub)collection that the metadata object describes. In case of a subcollection, the parentCollectionName attribute is the name of the immediately enclosing collection. Finally, if the (sub)collection described is in turn a ConstrainableCollection with subcollections, the subCollectionNames attribute lists its subcollections. For example, consider the Dialog collection as depicted in Fig. 5. The metadata object for the Dialog collection lists “Dialog” as the collectionName, no parentCollectionName, and “News” and “Business” as the subCollectionNames. The metadata object for the Business subcollection has “Business” as its collectionName, “Dialog” as its parentCollectionName, and no subCollectionNames.

Another interesting attribute of our first metadata object is contentSummaryLinkage. (see Table 1). The value for this attribute is a URL that points to a content summary of the collection. Content summaries are potentially large, hence our decision to make them retrievable using ftp, for example, instead of using our protocol. The content summary follows the STARTS content summaries, and consists of the information that a resource-discovery service like GlOSS needs (Sect. 2.1). Content summaries are formatted as Harvest SOIFs (http://harvest.transarc.com/afs/transarc.com/public/trg/Harvest/user-manual/).

Example 3. Consider the following content summary for a collection:

```java
@Table
@SContentSummary
Version{10}: STARTS 1.0
Stemming[]: F
StopWords[]: F
CaseSensitive[]: F
Fields[]: T
NumDocs[3]: 892
Field[5]: Title
DocFreq[11023]: "algorithm" 53
  "analysis" 23
  ...
Field[6]: Author
DocFreq[1211]: "ullman" 11
  "knuth" 15
  ...
```
This summary indicates that the word “algorithm” appears in the Title of 53 items in the collection, and “ullman” as an Author of 11 items in the collection, for example.

The second metadata object returned by the `getMetadata()` method contains attribute access characteristics (see Table 2). This is attribute-specific information for each attribute that the proxy supports. Recall that attribute model proxies contain only information that is independent from any particular search services. Attribute access characteristics complement this information in that they add the service-specific details for each attribute.

For example, some search services allow only phrase searching over their Author attributes, while others allow keyword searching. Similarly, some search services may index their publication attributes, while others may not. The attribute access characteristics describe this information for each attribute supported by the proxy collection specified in the `getMetadata()` call. The query translation services (Sect. 2.3) need this information to submit the right queries to the collections.

Notice that this design does not allow clients to query search service proxies directly for their metadata. Search service proxies only export all their metadata in one structured “blob.” The reason for this is that the InfoBus includes many proxies, and more are being constructed as our testbed evolves. We therefore want proxies to be as lightweight as possible. Querying over collection-related metadata as exported by search service proxies is instead available through a special component, the metadata repository.

### 3.2.4 Metadata repository

The metadata repository is a central, though possibly replicated, database of the system’s metadata. The repository collects or subscribes to the metadata available from selected attribute model proxies, attribute model translation services, search service proxies, and other InfoBus services. The intent is for this repository to be a local resource for finding answers to metadata-related questions and for finding specialized metadata resources. The interface to the repository is again the same as a search service proxy interface. Subcollections within the repository include:

- A subcollection containing all `AttributeItems` from locally relevant attribute model proxies. This subcollection can be used, for example, to search for documentation on Dublin Core attributes.

<table>
<thead>
<tr>
<th>Access Characteristic</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><code>collectionName</code></td>
<td>Name of the (sub)collection being described</td>
</tr>
<tr>
<td><code>attrModelName</code></td>
<td>Model of the attribute</td>
</tr>
<tr>
<td><code>attrName</code></td>
<td>Name of the attribute</td>
</tr>
<tr>
<td><code>searchRetrieve</code></td>
<td>Whether the attribute is searchable, retrievable, or both</td>
</tr>
<tr>
<td><code>modifierCombinations</code></td>
<td>Legal combinations of modifiers (e.g., stemming, &gt;) for the attribute</td>
</tr>
</tbody>
</table>

### 3.2.5 Metadata facilities summary

In this section, we have seen that each metadata facility in our architecture serves to satisfy a number of the requirements imposed by our motivating set of InfoBus services. Thus, our metadata architecture is an integrated solution to the metadata needs of these independently developed and maintained services. We summarize here the matches between metadata facilities and requirements.

**Attribute model proxies**

- They make attribute models first-class objects so that we can communicate with them and perform necessary transformations (Sect. 2.2).
- They allow attribute models to be structured and they establish methods for extracting the structure information from these models (Sect. 2.4).

**Attribute model translation services**

- They translate canonical attributes and canonical attribute values into native attributes and native attribute values (Sect. 2.2).
They translate native attributes and native attribute values into canonical attributes and canonical attribute values (Sect. 2.4).

Search service proxy metadata information facilities

They export the content summary associated with each collection (Sect. 2.1).

They provide facilities for finding out efficiently what attribute models and individual attributes are natively supported by each search service (Sect. 2.2).

They declare if each attribute is searchable and/or retrievable, and what the supported search methods are for searchable attributes (i.e., legal combinations of operators) (Sect. 2.3).

They declare what operators are supported in addition to Boolean operators (e.g., the type of proximity operators supported) (Sect. 2.3).

They export the stopwords used (Sect. 2.3).

They export the vocabulary of the collection, i.e., the set of words indexed by the service, to emulate stemming when it is not natively supported (Sect. 2.3).

They declare the details of other features, e.g., for truncation, the supported truncation patterns (Sect. 2.3).

Metadata repositories

They provide the list of locally available collections (Sect. 2.1).

They provide facilities for finding out efficiently what attribute models and individual attributes are natively supported by each search service (Sect. 2.2).

4 Related work

In a distributed library environment, we can distinguish between metadata for information objects (e.g., documents) and metadata for information services (e.g., search services). The encoding of metadata for information objects can facilitate the unification of heterogeneous information objects, while the encoding of metadata for information services can facilitate communication among disparate services. Since interoperability is an important goal of our InfoBus, we have designed a metadata architecture that encompasses both types of metadata. In this section, we discuss related work on metadata for information objects and metadata for information services.

Many recent efforts have concentrated on the metadata for information objects. In this context, the term metadata refers to the description of information objects to support the major functions of digital libraries such as search, assessment, and acquisition of information. Work in this area generally falls into two categories: specification of metadata sets and architectures that integrate them.

Relevant work in the first category (specification of metadata sets) includes, for instance, the Bib-1 attribute set in Z39.50 and the Dublin Core. The Z39.50 Bib-1 attribute set [23, 21] registers a large set of bibliographic attributes. The focus of the Dublin Core [20] is primarily on developing a simple yet usable set of attributes to describe the essential features of networked documents (e.g., World Wide Web documents), which the report of the Dublin meeting terms “document-like objects.” The Dublin Core metadata set consists of 13 metadata elements, including familiar descriptive attributes such as Author, Title, and Subject.

These standard metadata sets fit nicely into our architecture. As we have described, we represent metadata sets by attribute models that serve as reference points for defined attributes. In addition, our attribute models can be more structured than just flat name spaces. Our attribute models go beyond these metadata sets because they can optionally include structure and because they are reified as searchable collections.

Given the existence of various metadata sets for information objects, and the fact that no single set covers all the possible aspects, there have also been significant efforts in developing architectures that support the integration and interoperability of various metadata sets. Work on this aspect of the metadata problem includes the Warwick Framework [24], and the Jet Propulsion Laboratory’s DARE metadata model [25].

The Warwick Framework proposes a container architecture as a mechanism for incorporating attribute values from different metadata sets in a single information object. Within each object are “metadata packages,” one for each distinct metadata set, e.g., Dublin Core or USMARC. The Warwick Framework also includes implementation suggestions for integrating it with HTML, MIME, SGML, and distributed object technology (e.g., CORBA).

The Warwick Framework is essentially an encoding scheme that incorporates various metadata packages with document data. Common to our work is the support of multiple metadata sets in describing documents. However, as we represent documents as a flat set of attribute-value pairs (similar to HTML), the encoding scheme of the Warwick Framework is more sophisticated because its structure supports recursion and indirection. Consequently, to fully express the Warwick Framework we would need to extend our document models. On the other hand, our work complements the Warwick Framework in that we do provide attribute models as registries for metadata attributes. The procedure for specifying and registering new metadata sets is still an open issue in the Warwick Framework.

The DARE metadata model was developed to support the interaction with metadata elements and to tie these elements to data themselves. It uses ODL (Object Definition Language) to define new metadata elements that are stored in a “data dictionary.” This notion of data dictionaries is similar to our attribute models. However, to facilitate interoperability, we also provide translation services that translate attributes among different models.

In addition to the work on metadata for information objects discussed above, there are also proposals that support metadata for search services. In this context, the efforts that are probably closest to what is described here are the Explain facility of Z39.50-1995 (i.e., Version 3 of
Z39.50 [23]) and Stanford’s STARTS, both of which require services to export their “source metadata.” The former represents a standard effort for information retrieval while the latter is intended to be an informal, lightweight agreement for interoperability among Internet search engine vendors.

The Explain facility is the primary mechanism for Z39.50 clients to discover servers’ capabilities. Explain-based clients can dynamically configure themselves to match individual servers so that they can support more than the least common denominator of the servers. Z39.50 servers present metadata about their services via the Explain facility. This metadata is essentially another database that can be queried by the clients via the Z39.50 protocol. In the Explain database, server characteristics are divided into categories, and database record structures are defined for each category. The GILS profile for Z39.50 [26] defines a metadata attribute set for search services.

The Explain facility provided by Z39.50 servers corresponds to the metadata general information facility supported by our service proxies. The major distinction is that the interface to access the service metadata provided by our proxies is simpler than that of the Explain facility. As explained in the previous sections, we have decided to shift the more complex functionalities (e.g., searchable metadata) to the metadata repositories. The rationale is to make proxies as lightweight as possible and therefore easy to implement. As every service needs a proxy to enter our InfoBus, making proxies lightweight becomes critical. On the other hand, this simplicity may not be an issue for Z39.50 as both their clients and servers will necessarily have most of the required capabilities [27]. However, our architecture can benefit from the Explain facility; it should be relatively easy to build proxies to Explain-compliant services that will support our proposed metadata facility.

Finally, another relevant effort on top of which we built our architecture is STARTS (http://www-db.stanford.edu/~gravano/start.html). STARTS is an informal “standards” effort coordinated by Stanford, whose main goal is to facilitate the interoperability of search engines for text. STARTS specifies what metadata should be exported by each collection of text documents. This information is essentially what the search-service proxies export through their metadata information facility (Sect. 3.2.3). However STARTS does not describe a more sophisticated metadata architecture. It just specifies the information that the collections should provide. As with the Explain facility, the architecture that we present in this paper benefits from STARTS-compliant services: it is easy to build proxies for such services that will satisfy our metadata requirements.

Notice that unique in our architecture is the metadata repository that serves as a central, though possibly replicated, database of metadata. The advantages are, first, that the clients may conveniently use it as a local cache of metadata. Second, it naturally serves as a service “directory” so that interesting queries may be made to help in resource discovery, e.g., find all services that support the Dublin Core Title attribute. Finally, service proxies can “publish” their metadata to the metadata repositories. This makes the update of service metadata easier to propagate in information space.

5 Conclusion

In this paper, we have surveyed the metadata needs of our InfoBus services and presented a metadata architecture that meets these needs. In the process, we have outlined a framework for understanding different classes of metadata and metadata uses. The components of our proposed architecture are integrated into the InfoBus. Each component is a distributed object that can communicate through remote method calls. Furthermore, the metadata repository is an InfoBus Constrainable-Collection object that can be searched using our already established search protocol.

More specifically, the components in our metadata architecture include: attribute model proxies, attribute model translation services, metadata information facilities for InfoBus search service proxies, and local metadata repositories. Together, these components can provide, exchange, and describe metadata for information objects and metadata for information services. We have found that these facilities are necessary building blocks for scalable interoperability.

Our current implementation includes six attribute model translators, table-driven query translation, content statistics over the CS-TR collection, and dynamic attribute derivations. We are currently modularizing these facilities, building attribute model proxies, adding the metadata repository, and making our search proxies compliant. The pieces of the architecture that are already implemented allow for interoperability among the services and collections that are in the InfoBus today. Once our architecture is complete, we will have a framework that enables us to incorporate many more heterogeneous services and collections into the InfoBus. In addition, we will be able to extend it to meet the needs of other types of information processing services.

References


6. Luis Gravano and Héctor García-Molina. Generalizing GI OSS to
vector-space databases and broker hierarchies. In Proceedings of
VLDB ’95, pages 78–89, September 1995
7. Steve B. Cousins, Scott W. Hassan, Andreas Paepcke, and Terry
Winograd. A distributed interface for the digital library. Technical
at http://www-diglib.stanford.edu/cgi-bin/WP/get/SIDL-WP-1996-
0037
8. Steve B. Cousins. A task-oriented interface to a digital library. In
CHI 96 Conference Companion, pages 103–104, 1996
9. Michelle Q Wang Baldonado and Steve B. Cousins. Addressing
heterogeneity in the networked information environment. The New
10. D. T. Hawkins and L. R. Levy. Front end software for online da-
tabase searching Part 1: Definitions, system features, and evalua-
tion. Online, 9(6):30–37, November 1985
11. M. E. Williams. Transparent information systems through
gateways, front ends, intermediaries, and interfaces. Journal of the
1986
12. Chen-Chuan K. Chang, Héctor García-Molina, and Andreas
Paepcke. Boolean query mapping across heterogeneous information
sources. IEEE Transactions on Knowledge and Data Engineering,
13. Chen-Chuan K. Chang, Héctor García-Molina, and Andreas
Paepcke. Predicate rewriting for translating boolean queries in a
heterogeneous information system. Technical Report SIDL-WP-
1996-0028, Stanford University, 1996. Accessible at http://www-
diglib.stanford.edu
14. M. F. Porter. An algorithm for suffix stripping. Program,
14(3):130–137, 1980
16. Michelle Q Wang Baldonado and Terry Winograd. SenseMaker:
An information-exploration interface supporting the contextual
17. Object Management Group. The Common Object Request Broker:
Architecture and specification. Accessible at ftp://.omg.org/pub/
CORBA, December 1993
18. Doug Cutting, Bill Janssen, Mike Spreitzer, and Farrell Wymore.
ILU Reference Manual. Xerox Palo Alto Research Center, December
19. USMARC format for bibliographic data: Including guidelines for
content designation. 1994
20. Stuart Weibel, Jean Godby, Eric Miller, and Ron Daniel, Jr. OCLC/
NCSA metadata workshop report. Accessible at http://www.oocl-
c.org:5047/oclc/research/publications/weibel/metadata/dublin_core_-
report.html, March 1995
Semantics. Accessible at ftp://ftp.loc.gov/pub/z3950/def/bib1.txt,
September 1995
22. Luis Gravano, Chen-Chuan K. Chang, Héctor García-Molina, and
Andreas Paepcke. STARTS: Stanford protocol proposal for
Internet retrieval and search. Technical Report SIDL-WP-1996-
0043, Stanford University, August 1996. Accessible at http://www-
diglib.stanford.edu/cgi-bin/WP/get/SIDL-WP-1996-0043
23. National Information Standards Organization. Information Re-
trieval (Z39.50): Application Service Definition and Protocol Spec-
fication (ANSI/NISO Z39.50-1995). NISO Press, Bethesda, MD,
1995. Accessible at http://www.loc.gov/z3950/agency/
Framework: A container architecture for aggregating sets of
metadata. Technical Report TR96-1593, Cornell University, Com-
puter Science Dept., June 1996
25. Jason J. Hyon and Rosana Bisciotti Borgen. Data archival and
retrieval enhancement (DARE) metadata modeling and its user
interface. In Proceedings of the First IEEE Metadata Conference,
Silver Spring, MD, April 1996. IEEE
26. Government Information Locator Service (GILS), 1996. Accessible
pub/z3950/articles/denis.ps