**DAMS Collection Types and Metadata Specifications**

**Report from the Metadata Policy Group Collection Level Task Group**

To be distributed to Metadata Policy Group and Data Modeling Group

The MPG task group (Garcia-Spitz, McAnnaney, Sotelo, and Westbrook), established to define policies for recording collection entities in the UCSD DAMS, has completed its work. The group has identified three types of collections—provenance, provenance sub-part, and library assembled—that should be recorded in the DAMS. Provenance collections are important for identifying all the single objects that share a common source (creator or office, e.g.) and retaining the meaningful relationships among the objects in the collection and between the collection and its objects. Provenance sub-part collections are a recognition that sometimes a part of a provenance collection might be recorded in the DAMS under the title of the sub-part. Library assembled collections are aggregations of any number of provenance collections, provenance sub-part collections, and collection-independent objects (it is not a requirement of the DAMS that an object belong to a formally titled collection) constructed by DAMS managers and their delegates. Members of the task group believe that all collections currently registered in the DAMS can be characterized as being one of these three types and, moreover, the principles of relationships listed in the simple typology in Table A below.

The collection type serves to indicate what relationship a specific collection is permitted to have to other collections in the DAMS. However, each collection, regardless of its type, needs to have a corresponding collection level record in the DAMS. Table B below identifies the data elements that can be used for a collection level record, and it indicates which elements are required, required when applicable, optional, and not to be used at all. These data requirements and recommendations have been informed by requirements for DACS minimal level records and by “UC Bibliographic Standards for Cooperative, Vendor, and Campus Backlog Cataloging” (<http://libraries.universityofcalifornia.edu/hots/UC_Bib_Standards_2012.pdf>).

This report does not speak to the responsibility or workflow(s) for creating collection level records, which will need to be determined as part of an implementation process for enabling and directing construction of collection level records. Two things are fairly clear, however. One, collection level records are “one offs,” and each one will need to be created manually. Two, collection level records should be, but do not have to be, created prior to creating object level records so that the link between the collection and its objects can be established as part of creating the record for the object.

**A: Type of Collections Supported in the UCSD DAMS**

|  |  |  |  |
| --- | --- | --- | --- |
| **Collection Type** | **Definition** | **Relationship to other collections** | **Permissible Creators** |
| Provenance collection | A provenance collection is an aggregation of materials in which each object derives from the same source. (With archival collections “source” can refer to origin, creator, former owner, etc.)  The Chancellor's incoming correspondence files are an example of an aggregation of items having the same provenance.  The digitized images from the Roger Keesing Papers also share the same provenance.  Items having the same provenance need to be kept together as a group, as individual items gain meaning from their association to the materials with which they were created. Also, the collection of items as a group sheds light on the source.  Provenance collections may be subdivided into sub-parts. For example the Chancellor’s Correspondence could be subdivided into Incoming and Outgoing Correspondence.  Provenance collections may not, however, include or be divided by items or parts that do not share the same provenance. | May include provenance collection sub-parts  May be included in library assembled collections   May not include other provenance collections   May not include assembled collections | Provenance collections, and their creators, are identified at the point of acquisition. |
|  |  |  |  |
| Provenance collection sub-part | A sub-part of a provenance collection.  It too shares the same provenance as the parent collection, but as a sub-collection it may have a different title, date span, and description.  The UCSD News Releases are an example of a provenance collection sub-part, as it is part of the University Communications Public Relations materials. | Must be included in a provenance collection   May be included in assembled collection   May not include any other collections | Creators of provenance collection sub-parts are the same as the provenance collection and are also identified at the point of acquisition. The creator for the UCSD News Releases is the University Communications office. |
|  |  |  |  |
| Library assembled collection | An aggregation constructed by DLP managers or curators from collections and items already registered in the DAMS.  The aggregation may be composed of collections and also of discrete objects that may or may not have a collection context.  The aggregation is typically created to establish a relationship among collections and objects that have related material, themes or subjects but do not share provenance.  In the past these assembled collections have been called "metacollections" and "supercollections."  Instances of them include "The Archive for New Poetry," "Twentieth-Century Science and Public Policy," and "Baja California Collection" -- all of which are comprised of provenance collections and discrete objects. | May include other assembled collections   May include provenance collections  May include provenance collections sub-parts   May include objects that have no collection context   May not be included in provenance collections   May not be included in provenance collection sub-parts | Anybody having permission to revise DAMS records will be capable of adding collection headings. A policy for what staff should be able to add subject headings should be developed by the primary stakeholders. |

**B: Collection Record Metadata Elements and Relationships\***

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Obligation** | **Collection Type** | **Element** | **DACS**  **rule** | **MARC21 analog** | **MODS analog** | **Display** | **Note** |
| **Required** |  |  |  |  |  |  |  |
|  | All | Title element | 2.3 | 245 $a | <titleInfo> | All |  |
|  | All | Date element | 2.4 | 245 $f ($g for bulk dates); 260 $c for dates of formal publications;  Also, 264 $c and 008/07-10 (Date 1 and 008/11-14 (Date 2) |  | All | While the date element is not required for a single object in the DAMS, it is believed assemblers of collections should be able to provide, at the least, estimated inclusive dates for an aggregation of objects. |
|  | All | Extent element | 2.5 | 300 $a and potentially other subfields | <extent> | All |  |
|  | All | Scope and Content element | 3.1 | 520 sometimes 1st indicator 2 |  | All | All collection titles should be amplified by a scope and content note describing the nature of the materials, which can range from a brief phrase to a few sentences to even a long description. |
|  |  |  |  |  |  |  |  |
| **Required when applicable** |  |  |  |  |  |  |  |
|  | Provenance | Reference Code Element: Local Identifier | 2.1.3 | 099 |  | All | Use when part of a formal title for a collection, e.g., MSS 0001 or RSS 0001.   Do not use for collections assembled by DLP managers and curators, as those collections are not assigned collection identifiers. |
|  | Provenance  Provenance Part | Name of Creator(s) | 2.6 | 100/110/111; 700/710/711 role =$e or $4 | <name><role> | All | Name of creator(s) need not be indicated for collections assembly by DLP managers, library curators and others granted such permissions by DLP. |
|  |  |  |  |  |  |  |  |
| **Optional** |  |  |  |  |  |  |  |
|  | All | Abstract | 7.1.2 | 520 sometimes 1st indicator 3 | <abstract> | All | A note combining elements of a biography/history note and a scope and content note. |
|  | All | Arrangement note | 3.2 | 351 | <note@displayLabel> | All | A description of how the collection in the DAMS is arranged.  This should not be a description of how a source collection is arranged. |
|  | All | Biography/History note | 10.8 | 545 | <note@type="biographical/historical"> | All | A biography or historical statement for the creator(s). |
|  | All | Conditions Governing Use | 4.4 | 506, 540, 542 | <note@displayLabel> | All | A note indicating that the rights status is provided at the object level.  Suggested boilerplate:  "See individual objects for their copyright status."    It's possible that a similar statement might be constructed to indicate that all members of a collection are in the public domain. |
|  | All | General note | 7.1.2 | 500 | <note> | All | A catch all note |
|  | All | Immediate Source of Acquisition | 5.2 | 541 | <note@type='acquisition'> | All | An indication of the source of materials and the date the library took custody of them.  This should be inherited from the source collection. |
|  | All | Language of Materials note | 4.5 | 546 Also 008/35-37 (Language) and/or 041 (Language code) | <language@type="language"> | All | A note for summarizing the languages of the materials in a collection.  Language and scripts notes are also expressed at the object level |
|  | All | Related Materials note | 6.3 | 544 | <note@displayLabel> | All | A note for indicating materials that are closely related to the collection.  The materials can be in the same repository, a different repository, or privately held (if accessible for use). |
|  | All | Sponsor Note | 7.1.2 | 536 | <note@type="funding"> | All | A note indicating that the collection, its creation or processing, was sponsored by a named agency or person. |
|  |  |  |  |  |  |  |  |
|  | All | Linked Records:   * Collection * Object * Title * Date * Name * Note * Subject * Event |  |  |  | All | These are some of the records in the DAMS a collection record may be linked to.  Some, such as Title, Date, and Note are represented in the elements above. |
|  | All | Link to Assembly Plan package |  |  |  | Curator | For linking to an Assembly Plan Package stored in the DAMS |
|  | All | Link to Project Plan package |  |  |  | Curator | For linking to a Project Plan Package stored in the DAMS |
|  |  |  |  |  |  |  |  |
| **Not Used** |  |  |  |  |  |  |  |
|  |  | Reference Code Element: Repository Identifier | 2.1.4 | 040 $a; 852 $a |  | None | Repository identifiers, either a property of the repository record or of the export, can be associated at the object level or assigned to objects on their export / migration. |
|  |  | Reference Code Element: Country Identifier | 2.1.5 | 008/15-17 (Place of publication, production, or execution) |  | None | Country identifiers, either a property of the repository record or of the export, can be associated at the object level or assigned to objects on their export / migration. |
|  |  | Name and Location of Repository Element | 2.2 | 852, 524 |  | None | Name and location of the repository is provided with each object. |
|  |  | Conditions Governing Access Element | 4.1 | 506 |  | None | Rights status is always expressed at the object level. |

\*Encoding these data elements in a specific data format may result in additional data requirements.