

Center for Digital Scholarship

Rice University

Application Profile Dspace Metadata

Americas Digital Archive

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Introduction

Purpose

The purpose of an application profile is to document “which elements from which namespaces are used in a particular application or project. Application profiles are defined as schemas which consist of data elements drawn from one or more namespaces, combined together by implementors, and optimised for a particular local application.”¹ The application profile for the *Americas Digital Archive* will provide guidelines for the creation of bibliographic metadata, as well as providing the general purpose and goals of the overall project. It assumes the reader is familiar with the definition of metadata, its various types and uses as well as the preparation of bibliographic records.

Version

This version of the application profile has been updated for refinements to descriptive metadata elements and their application for the *Americas Digital Archive*. It includes summary technical and structural elements, which are further defined in digital capture documentation. It also provides the metadata elements for translations, born-digital objects.

Please note that this document does not describe the federated model proposed for the joint OAAP project between Rice University and Maryland Institute for Technology in the Humanities (MITH) but rather are guidelines for the creation of the Rice’s digital collection hosted at the Rice University’s Digital Repository.

Project Overview

The Our Americas Archive Partnership (OAAP) aims to foster new research that examines American literatures from a hemispheric perspective, to develop curricular models and teaching materials that embody a hemispheric approach to the study of the early Americas, as well as to generate professional and intellectual exchanges among scholars from various fields. Primary goals of this project include:

- Building a digital collection of scholarly source materials to serve the interdisciplinary field of American Studies, focusing on a hemispheric view of the Americas, and
- Development of a technical infrastructure to federate multiple repositories using Web 2.0 technologies, enabling scholars to find and share digital resources residing at different locations on the Web.

The creation of the *Americas Digital Archive* will be Rice’s contribution of online materials to the OAAP project which will include scanned images of original pages, text mark up of scanned pages, and their related metadata along with translations of selected documents and development of research modules. The below information describes this proposed digital collection.

¹ <http://dublincore.org/documents/library-application-profile/>

Collection Description

Material selection will be primarily from the Woodson's Americas Collection, which specializes in materials dating from 1811 to 1920. It will span the full range multilingual "Americas" that includes Canada, the Caribbean, and Latin America from the beginning of colonization to the present. Primary sources include original letters, photographs, broadsides, pamphlets, and books. Text based materials include both printed and handwritten manuscripts. Many of the documents are original government publications such as constitutions, decrees, or presidential and congressional messages that serve as public statements on the political and social events of the time.

Digital Product Commitments

Project deliverables for the digitization of primary materials includes scanned page images, text mark up and related metadata for 25,000 pages or approximately 600 items.

Standards

There are three primary standards which impact the overall architecture of the *Americas Digital Archive*:

- Metadata format and structure should be prepared according to the Dublin Core Metadata Best Practices, published by the Collaborative Digitization Program (CDPDCMBP), (<http://www.cdpheritage.org/>).
- Data content should be prepared using the standard: Describing archives: a content standard (DACS) recommended by Society of American Archivists and deem most appropriate for historical documents.
- Digital objects will be housed in the Rice University Digital Repository (RUDR) <http://dspace.rice.edu/>, an instance of DSpace (www.dspace.org) which is an open source institutional repository system that supports the Open Archives Initiative for enabling searches across multiple repositories, and provides a long term archiving solution that will ensure access to digital assets well into the future.

The individual metadata elements, qualifiers and related data value standards (i.e. controlled vocabularies) will be specified in the subsequent section: Guidelines for the creation of bibliographic metadata. For a quick reference see appendix: table of elements and related standards.

A note on combining standards

When combining standards there is likely to be some overlap in guidelines that require a level of localized decision making and professional judgment to help clarify the application of any conflicting rules. Below are four such areas:

- Dates

Original date of artifact -- DSpace configuration uses the qualified element `date.issued` to generate the browse and search functionality and requires data to be in the W3CDTF format which does not allow for approximate dates or a range of date values. Given the nature of archival materials, actual creation dates may not be known and therefore need to be approximated or given in range values. Therefore, we will use the qualified element `date.original` to capture the date of the original artifact in

the DACS recommended format but place a single date value in the `date.issued` element for browsing purposes.

- Proper names

The latest version of CDPDCMBP recommends using the `creator` element to denote primary entities responsible for creating the content of the resource and the `contributor` element to denote any secondary persons making intellectual contributions. This is a recent change from prior versions of CDPDCMBP. The current DSpace configuration is based on earlier versions and as a consequence, only data in the `contributor` field is used to generate the author browse and search function. Data in the `creator` field serves as display only. Therefore all proper names for an artifact will use the `contributor` element with roles denoted by a qualifier (e.g. `contributor.author`; `contributor.editor`; etc). At some future date, when the configuration of Dspace is updated to reflect the newer guidelines, then a mass conversion of `contributor` to `creator` element may take place.

- Repetition of collection level information at item level

The entity or digital object is defined at an item level. A potential user can access any item independently from collection level information supplied on a community's home page either through searching within the DSpace namespace or through OAI harvesters from outside DSpace completely. Therefore information traditionally reserved for only collection level introductions is repeated at the item level to ensure this information is available to the users regardless of access point and also to ensure this information is captured at the item level for preservation purposes. Such "boilerplate" data may include descriptive elements such as publisher, rights, scope, etc.

Guidelines for the creation of bibliographic metadata

The following elements and qualifiers comprise a detailed listing of metadata elements for the *Americas Digital Archive*. A simple listing of metadata elements is available in appendix. Elements are grouped by digital object type: digitized primary sources and born-digital translated works.

Best practices for general input guidelines such as punctuation, abbreviations, capitalization, initial articles and special character encoding please see section 3.4 of CDPDCMBP. All elements are mandatory unless explicated stated as optional. Multiple entries, where allowed, should be separated by a semicolon. Unless otherwise stated, data content should be prepared using the standard: Describing archives: a content standard (DACS). This is particularly relevant for archival documents which may not have formal titles or publication dates.

Elements for digitized version of primary sources

Administrative

publisher

Digital publisher. Boilerplate entry.

Example: Digital version published by Humanities Research Center and Fondren Library, Rice University, Houston, Texas

rights

Url link to appropriate license. Select appropriate license from Creative Common Licenses at <http://creativecommons.org>.

Example: This work is licensed under a Creative Commons attribution 2.5 License.
<http://creativecommons.org/licenses/by/2.5/>

Note: The OAAP proposal includes plans to digitize works that are in the public domain only. If through the course of metadata work, it is discovered that a work is not in public domain, please contact project manager or archivist.

source.collection

Human readable version of the physical location of the source document and the collection title. Materials may come from the university archives (i.e. notation: Box/folder/ item numbers) or call number for items stored in the general stacks. Please use consistent capitalization.

Example: Americas Collection, MS 518, Box 3 folder 15 item 52.03, Woodson Research Center, Fondren Library, Rice University (archive)
KFC680 1849 .A22 (call number)

source.provenance

Materials acquisition information.

Example: The Humanities Research Center at Rice University, under the direction of Dr. Caroline Levander, purchased this material from a manuscripts dealer in 2005. The Gilder Foundation funded the development of the physical archive. Original materials are housed at the Woodson Research Center, Rice University.

Descriptive

contributor

Proper name of creator of original works. Multiple values allowed. Must use qualifiers such author, editor, photographer, etc. Whenever possible please use Library of Congress Name Authorities File (LCNAF) <http://authorities.loc.gov/>

Example: [contributor.author] Van Buren, Martin, 1782-1862; Forsyth, John, 1780-1841

Special rules for particular contributor elements follow:

contributor.funder

Boilerplate statement for digital objects created during the time of OAAP grant funded project.

Value: Funding for the creation of this digitized text is provided by a grant from the Institute of Museum and Library Services.

contributor.publisher

For printed published works, the publication information is a required if available. It is assumed that the data.issued value is the publication date for printed texts. Publication place is also captured but in a nonqualified element

Example: Imprenta de la calle de la Carniceria [publication place: Tampico, Mexico]

coverage.spatial

List the primary place names referenced by the text. Multiple values allowed. Use controlled vocabulary terms from the Getty Thesaurus of Geographic Names (TGN)
http://www.getty.edu/research/conducting_research/vocabularies/tgn/

Example: Texas (state); Mexico (nation)

Note: The OAAP proposal may include development of geographical tools. Therefore place names referenced in this element will likely be used to create an index of corresponding longitude and latitude coordinates to generate visual map of collection materials. In addition one of the scholarly foci of the digital collection will be to study the inter-relationships between places regardless of country. Capturing multiple place names will be critical for future study.

date.issued

Specific year of document was created or published. Use standard: Date and Time Formats (W3C-DTF) <http://www.w3.org/TR/NOTE-datetime>. Single date only. Use four-digit year [YYYY].

Example: 1837

date.original

Date taken from source document. Use most specific date if available. Do not abbreviate terms. Please do not use square brackets [] to denote if date has been supplied rather than transcribed as these symbols interfere with display of data in online environment and may hinder discovery. For data valued determination please see section 2.4 in DACS.

date.original is a text field. Therefore one can add a brief note within the field to clarify any dates using such terms as "approximately", "circa" etc.

Example: October 10, 1837

October 1837

1837?

ca 1837

Note: semi-colons usage: exception to general rule. Normally use semi-colons to separate distinct values. However since this element is a text field and it is not intent of this element to populate separate fields in dspace, there is no need to use semi-colons and may in fact confuse batch upload process of data values. Use simple comma notation to distinguish individual dates

description

Optional entry. Free text. This field is reserved for information about the content of the item being described. May include description of physical aspects of the work.

Example: Includes correspondence by John Forsyth, et al.

Example: illustrated with 21 chromolithographic plates mounted on separate sheets with printed borders and titles.

Example: Documenting the illegal slave trade between Africa and Brazil, and involvement of American ships and slave-traders

Example: First printing of independent Peru's first constitution

Example: Engraving, with full period colouring; Plate mark: 18 3/8 x 21 1/8 inches

Example: Printed document, 103pp

description.abstract

Optional entry. Free text. This field is reserved for information about the historical context of the item being described. Limit length to 200 – 300 words.

Example: The statue, nicknamed 'El Caballito' (The Pony), or, less affectionately, 'El Caballito de Troya' (The Trojan Pony), was originally unveiled in 1803 in the Plaza Mayor. It is reputedly the first bronze statue to be cast in the Western Hemisphere and still one of the largest.

format.medium

Describes the physical form of the original work. Multiple values allowed. Use semi-colon to separate values. Use controlled vocabulary terms from the Getty Art & Architecture Thesaurus (AAT) http://www.getty.edu/research/conducting_research/vocabularies/aat/

Example: Pamphlets

Example: Constitutions; Manifestoes

identifier.original

Unique identifier per the physical item. Number may be a Fondren library call number for cataloged items. Or assign the Woodson naming convention per archival materials as follows:

14 digit alphanumerical code. Use leading zeros for single digits. Composed as:

- | | | |
|------------------------------------|------|-------------------------------------|
| 1. archive notation: | wrc | (lower case) |
| 2. manuscript collection. 3digits: | 518 | |
| 3. box. 2 digits: | 03 | |
| 4. folder. 2 digits: | 15 | |
| 5. item. 4 digits: | 5203 | (most items numbers are two digits) |

Example: wrc51803120009 (Americas collection, 1811-1920, MS 518, Box 3 folder 12 item 9, Woodson Research Center)

Example: KFC680 1849 .A22 (Call Number)

language.iso

Original language from examination of text. Multiple values allowed. Use controlled vocabulary terms from the ISO 639-2 language code (3 digit code) http://www.loc.gov/standards/iso639-2/php/English_list.php

Example: eng

relation.isPartOf

Optional entry, Multiple values allowed. Element used to denote relations between digital objects, as well as the more traditional concept of a series. In the first case, it is a reference to a resource where the described resource is a physical or logical part of the referenced resource. Should include URL address if denoting other records that are bound with the item. For instance the government imprints that will be treated as separate records in DSpace but are bound physically together; or individual letters that form part of correspondences folder but will be treated as separate items in DSpace. For more complete list of possible qualifiers see

CDPDCMBP. Since the `identifier.uri` are not available until upload, use the `identifier.original` and place in brackets.

Example: Government imprint bound with [url link to wrc51803155203B]

In the second case, where the element is used to denote the relationship of a series, use the series title as it appears on the title page of the document.

Example: [title] Independence of Texas
[relation.isPartof] 24th Congress, Second Session: Report No. 240 [House of Representatives]

relation.isReferencedBy

Optional entry. Multiple values allowed. Usually a URL address. Provides link to research module (ie Connexions) or translation (ie related dspace item in separate collection).

Example: Translation is available at [link to dspace url]

Example: Research Module is available at [link to cnx url]

relation.isVersionOf

Provide edition statement if known.

subject.lcsh

Terms should be taken from the Library of Congress Subject Headings (LCSH). Index terms may include Subjects as Persons, Organizations and Places as well as general subject headings

subject.local

Key terms assigned by scholars and or subject experts from the Humanities Research Center.

List of terms:

- o Technical Borders
- o Colonialism
- o Conquest
- o Conservatism
- o Constitutionalism
- o Development
- o Diplomacy
- o Emancipation
- o Federalism
- o Gender
- o Historiography
- o Indigenuity
- o Inter-American relations
- o Labor
- o Liberalism

- o Libertarianism
- o Migration
- o Nationalism
- o Neo-constitutionalism
- o Race relations
- o Religion
- o Revolution
- o Slavery
- o Technology
- o War

title

For published texts follow AACR2 rules for formation of proper titles.

Supplied titles are composed from archivists or from the transcriber of the manuscript. If a title is transcribed from the original work, these supplied titles should follow DACS guidelines for formation of titles. This includes various segments: firstly, the format (eg letter, broadside), a name segment indicating from and to persons and optionally a topical or place segment. For letters or other correspondence, a date segment may be added to the end of the title for the document. This is to help facilitate distinguishing multiple letters from or to the same persons. The date segment should use the dc.date.original value which is the long/text version of the creation date (eg February 14, 1802 but NOT 14 February 1802 for English Texts).

Language of supplied titles should be in the language of the original text. For Spanish texts months are not capitalized in Spanish and the order of date should be month, then day.

Please do not use brackets [] to denote a title that has been supplied as these symbols interfere with display of data in an online environment and may hinder discovery.

Example: Letter from Jose Maria Valdez to José Maria Zambano, Goliad, Bejar, February 14, 1825

Example: Carta de Anastasio Bustamente, el Vicepresidente de los Estados Unidos Mexicanos a Andres de Santa Cruz y Calahumana, Presidente de la Republica de Bolivia, 30 septiembre, 1830

Example: A Simple Method of Identifying the Anopheles Mosquitoes of the Canal Zone

Please note that any edition statements may be placed in the dc.relation.isVersionOf element.

title.alternative

Optional entry. Popular title

Example: [title] Plan del Señor Coronel D.Agustin Iturbide

[title.alternative] Plan de Iguala (Plan of the Three Guarantees)

This work is famously know as the *Plan de Iguala* (or Plan of the Three Guarantees), but the actual title as printed is *Plan del Señor Coronel D.Agustin Iturbide*.

title.subtitle

Optional entry. Should include any part of the title that is extraneous to the title itself.

Example: [title] Marching On
[title.subtitle] The Conquest Campaign of Texas Baptists

type

Digital manifestation of resource. Typical values are *Text* or *Image*. Use controlled vocabulary terms from the DCMI type vocabulary <http://dublincore.org/documents/dcmi-type-vocabulary/>

Technical

The following technical metadata are assigned at the digital object level and appear in the metadata record for each digital resource.

identifier.digital

Uniquely assign alphanumeric string per the digital object. Assign in order of scan.

1. Project id 2digits: aa Americas Archive (use lower case)
2. Object id 5digits: 00015 (use leading zeros – allows for maximum of 10,000 items)

Example: aa00015

Example: aa00015tr [translation version]

identifier.uri

Unique persistence resource identifier in url format of the final digital object and related metadata. Assign by DSpace during ingest process. Standard: CNRI's Handles system <http://www.handle.net/>

date.digital

Creation date of digital image [YYYY-MM-DD]. Use standard for Date and Time Formats (W3C-DTF) <http://www.w3.org/TR/NOTE-datetime>

digitization.specifications

Technical information about the hardware, software, and processes used to create the digital resource. Summary statement per digital object.

Example: Images were captured using the TTI Better Light Super 8K2 digital scan-back system. Master Tiff images were scanned at 24-bit color, adobeRGB1998 color profile, at 600 dpi for graphically intense images and 400 dpi for text. Textual materials are marked up in TEI/XML standard (P5 version).

Additional technical metadata is captured at the file level (bitstream) and automatically recorded as part of the DSpace submission process. These elements include: format.mime (file type see controlled vocabulary <http://www.iana.org/assignments/media-types/>), format.extent (file size), and filename. Detail technical metadata captured as part of the image creation process are not included in the item record but stored in separate documentation. Such information is also captured in the TIFF headers. These elements include such digital specifications as DPI, bit depth, color profile and various camera settings. Please see project imaging guidelines for complete list.

Structural

Estimating page count is important in determining the time line for digitization work which includes scanning and text mark up activities. Additionally it is useful to identify any oversize or fragile materials that may require special handling during scanning work. The file naming convention (rules for assigning filenames to individual image files) are particularly important for multipart digital objects, as the structure of the filename will help render the sequence of pages used in online presentation. The following elements provide data to address these issues. This information will not be part of the DSpace metadata record, but are used for internal processing only. For the OA file naming convention please see the digital imaging guidelines.

Note: PP stands for page count, where one page is equivalent to one side of the physical page.

Text PP

Page count for text only pages (regardless of length of text on the page). Includes full text pages as well as title pages, table contents, indices , etc. (This count will be used to estimate TEI markup work.)

Scan Image PP

The total count of actual pages to be scanned. This includes all text pages as well as front and back matter such as the spine, outside and inside covers, blank pages, etc. (This count will be used as part of quality control for image capture process and in estimating timelines.)

Note: The count of *Scan Image PP* should always be greater than *Text PP*

Loose or bound

Is the item physically bound document or unbound pages. May also note if folio/oversized.

Type (P,H,I)

This element refers to type in terms of the typography of the content of a physical item. Digitization project workflow includes objects that can be outsourced for TEI markup (P); objects that will require transcription in house (H); and Images which will not need any additional work but go straight to DSpace. Based on examination of physical material, denote type as

- P for Printed
- H for Handwritten
- I for Image

Note: Items that have combine attributes (e.g. mixture of printed text and images) please use the type notation that makes the best sense from a project workflow perspective. For example, if a printed document has handwritten inserts but is primarily printed text, then it can be outsourced for mark up, but should also be flagged in the notes section for special review. If there is a book that contains printed text and graphics, mark as printed.

Elements for Translated Works

As part of the scope for Our Americas Archive Project, the Humanities Research Center will translate a selection of non-English texts. Translated works are “born-digital” objects with

their own unique set of metadata elements in addition to the descriptive metadata about the intellectual content of the original document. These translations will be “housed” in a distinct collection under the Americas community within the DSpace environment.

Metadata about the translation

contributor.translator

Proper name of the creator of translated work.

Example: Cecilia Bonnor

date.translation

Specific year translated document was created. Use standard: Date and Time Formats (W3C-DTF) <http://www.w3.org/TR/NOTE-datetime>. Single date only. Use four-digit year [YYYY].

Example: 2006

description.translation

Provide information about the translator, any notes regarding the translations and human readable reference to the source document.

Example: This is an English translation of the Letter from Jose Marti to the presidents of Cuban exiled clubs in Florida (1893). The language of the original document is Spanish. This translation was created by Cecilia Bonnor, Graduate Student, Master of Arts in British and American Literature at the University of Houston. In addition to her contributions to the Amercas project, Cecilia has completed a number of historical manuscripts translations dealing with the colonial era in Mexico for Special Collections at the University of Houston.

identifier.digital

Is the alphanumeric string assigned to the digitalized version of original works plus the letter “t” (small case).

Example: aa00021 [original digitized version]
aa00021t [related translation version]

language.iso

Language of the translation document. Use controlled vocabulary terms from the ISO 639-2 language code (3 digit code) http://www.loc.gov/standards/iso639-2/php/English_list.php

Example: eng

relation.isVersionOf

Provides link to originating source document (i.e. related DSpace item in separate collection) The isVersionOf qualifier corresponds to a matching isReferencedBy qualifier.

Example: Digitized version of original document including scanned page images is available at [link to dspace url]

format

Unqualified (non-controlled vocabulary) term. In order to support browse/search by form, assign all translations with this term.

Example: Translations

title

Translated title from digitized version of original document.

Example: Letter from Jose Marti to the presidents of Cuban exiled clubs in Florida, 3-18-1893

Metadata about the original document

Retain the same administrative and descriptive elements from original digital object with the following exceptions:

date.original – date of the original text will be noted in the description.translation element and in the date.issued field of the translation record to facilitate searching.

language.iso – language of the original text will be noted in the description.translation element. To repeat this value as a separate field in the translation record will potentially misrepresent the actual language of the translated document.

Technical and structural metadata – relates to the scanned images of original artifact. Since these images will not be included with translation documents, no technical metadata will be provided at the object level. To view scanned images of original object, a link will be provided to the original document. Elected not to display scanned page images with translated documents because due to the interpretive nature of translations, a one-to-one match between an original page and corresponding translated text may not exist.

titles – The title of the original object will be provided in the description.translation element. To repeat the title in the original language as a separate field in the translation record would cause potential misrepresentation of the text.

List of elements retained from original digital document

- o contributor.qualifier
- o coverage.spatial
- o date.issued
- o description
- o description.abstract
- o format.medium
- o publisher
- o rights
- o source.collection
- o source.provenance
- o subject.lcsh
- o subject.local
- o type

Appendix

Table of elements and related standards

A quick reference list of Dublin core elements that will be globally sharable in the DSpace environment through OAI PMH protocols. Also included are any related format or content standards. It does not include structural or detail technical elements which are used to either compile multiple-part digital objects or embedded at the bitstream level within DSpace and thereby not a part of the OAI shared dataset.

| element.qualified | data value standards |
|-----------------------------|--|
| contributor. | Qualifier(s): author, editor, publisher, photographer, etc. Library of Congress Name Authorities File (LCNAF) http://authorities.loc.gov/ |
| coverage.spatial | Getty Thesaurus of Geographic Names (TGN) http://www.getty.edu/research/conducting_research/vocabularies/tgn/ |
| date.digital | Date and Time Formats (W3C-DTF) http://www.w3.org/TR/NOTE-datetime [YYYY-MM-DD] |
| date.issued | Date and Time Formats (W3C-DTF) http://www.w3.org/TR/NOTE-datetime [YYYY] |
| date.original | free-text |
| description | |
| description.abstract | |
| digitization.specifications | Boilerplate |
| format | Boilerplate (translations) |
| format.medium | Getty Art & Architecture Thesaurus (AAT) http://www.getty.edu/research/conducting_research/vocabularies/aat/ |
| identifier.do | Locally assigned number per digital object. See naming conventions. |
| identifier.original | Locally assigned number per original document. See naming conventions. |
| identifier.uri | CNRI's Handles system (http://www.handle.net/) |
| language.iso | ISO 639-2 language code (3 digit code) http://www.loc.gov/standards/iso639-2/php/English_list.php |
| publisher | Boilerplate |
| relation.isPartOf | May include URL link to related item or simple text. |
| isReferencedBy | Standard Text plus url |
| relation.isVersionOf | Standard Text plus url or edition statement |
| rights.uri | url link to appropriate license (http://creativecommons.org/) |

element.qualifier data value standards

source.collection

source.provenance

subject.lcsh Library of congress subject headings (LCSH); <http://authorities.loc.gov/>

subject Unqualified terms

subject.local Key terms assigned by Humanities Research Center

title

title.alternative

title.subtitle

type Digital manifestation of resource (Text or Image); DCMI type vocabulary
<http://dublincore.org/documents/dcmi-type-vocabulary/>

Responsibilities matrix

Creation of the complex digital objects requires expertise and coordination from multiple departments. Below is a general division of labor by department and metadata type.

| Department | Metadata type | | |
|----------------------------|---|---|--|
| | Technical | Administrative | Descriptive |
| Woodson Research Center | | Physical location, archival collection, publisher, provenance, copyrights | Title, creator, format, description, language, date, coverage (places) |
| Digital Media Center | Digitization specifications for master and access file versions, capture system, etc. | Digital Identifier, Structural elements, relation elements | |
| Technical Services | | Preservation elements | Assignment of Controlled Vocabulary terms such as Library of Congress Subject Headings, |
| Humanities Research Center | | | Introductions, Key Terms; aid in forming Translated titles, and descriptive elements for foreign language documents. |