1. Summary

The Metadata Framework outlines the principles and standards applied to catalogue records for material in the collections of the State Library of New South Wales.

2. Policy statement

The Framework is prompted by the need for consistent and agreed definitions and standards for record creation. It is intended to guide metadata creation so that catalogue records provide access at a level appropriate to the significance and anticipated usage of the resource and so that access is provided in a timely manner.

Information in the form of metadata records is provided to:-

- Enable clients to access collections valued at more than $2.1 billion
- Support the services of the Library including reference services, information requests, document supply and interlibrary loans
- Promote scholarship and research through the creation of high quality records for the Library’s Research level collections.
- Provide access to the State’s deposit collection of material published in NSW
- Support management of the collections including tracking and asset management in general.

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1 The Library regularly collects and analyses collection use statistics. The information gathered is used to inform our collection management decisions.

2 Research level as defined in the Australian Conspectus
2.1 Context
The information landscape is changing rapidly and library catalogues are just one part of a much larger information environment. These days most users start their research in national / international discovery services including search engines. They prefer unmediated access to online information, expect seamless linking, and rely more on keyword searching.

The Library aims to provide access to all collection material whether in physical or digital form via online catalogues. Information about collection material is also provided via Discover Collections and research guides on the Library’s website.

The purpose of the Metadata Framework is to establish efficient practices in order to provide consistent, user-friendly & accurate catalogue records so the client is able to make the best choice to meet their information needs; and to ensure that priorities are assigned that enable records to be created for all materials.

This approach aligns with the Re-imaging Libraries Strategic Plan developed by National and State libraries which aims to improve access by “finding faster, simpler and more cost-effective ways of cataloguing and processing”.

The framework builds upon the outcomes of a series of workshops within the Library. It will be monitored and reviewed on a regular basis.

2.2 Scope
Descriptive metadata is held in the Library’s
- Web Content Management System
- Digital Asset Management System
- Library Management System [LMS]
- Manuscripts, Oral History & Pictures Catalogue

The Metadata Application Profile prepared in 2007 sets out metadata elements for:
- digital objects stored in the Library’s Digital Asset Management System. The schema recommended for digital objects include METS and MODS
- web content delivered via the Library’s web pages. DC and AGLS are the schema recommended for the Library’s Web Content Management System.

Records for original materials are held in the Manuscripts, Oral History & Pictures Catalogue. Published material and all cartographic material, published posters and theses are described in the Library Management System.
In special cases, material may be described in both catalogues, for example *Books of Hours* which have traditionally been accessible via the Library’s printed books catalogue and some cartographic material which may be described at the item level in the LMS and also as part of a formed manuscript collections in the Manuscripts, Oral History & Pictures Catalogue.

Metadata is accessible not only through the Library’s own services but also through national and international discovery services such as Google, Trove, Picture Australia, Libraries Australia and WorldCat. This Metadata Framework establishes principles, standards, and levels of treatment for published and unpublished resources in all formats. However it should be noted that past practice has resulted in some records\(^3\) that do not meet the standards described here. Generally these records will not be upgraded unless this is warranted by demand or significance.

The Framework is aligned to the Library’s strategy to develop efficient and effective processes and also relates to the objective of building responsive client services. The Framework is closely connected to the Library’s *Collection Development Policy*.

### 2.3. Principles for record creation

The principles that underpin the *Metadata Framework* and which guide the creation & management of records are:-

i. All resources should have a record conforming to agreed standards to facilitate resource discovery and reuse by third parties\(^4\).

ii. User centred i.e. the focus is on user needs - *timeliness, ease of use, fast delivery, and links to online content*.

iii. Fitness for use – i.e. different levels of cataloguing are appropriate and need to match the significance of the material.

iv. The Library has primary responsibility for the provision of access to NSW original and published material and gives priority to its unique and heritage materials.

v. All records should be contributed to national aggregations such as Libraries Australia and *Trove* to enhance discovery.

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\(^3\) Examples include so-called “interim” records for some compact discs and maps; Serials Systems Weekly Activity List (*WAL*) records for some serials and RCF records (Retro Conversion: FULL source code in 941) added via GRL Retrospective Conversion Project 1990-1996.

\(^4\) e.g. for mashups and apps
vi. Where possible the Library takes advantage of existing
descriptions and access points by identifying & using records
that already exist.

vii. As much as possible cataloguing is managed through batch
processes to maximise efficiency.

viii. Links are provided within catalogue records wherever
appropriate to enhance resource discovery for clients.

2.4. Standards
The Library follows national and international standards including the
latest editions of:-

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<th>MARC formats</th>
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Descriptive cataloguing

Electronic Resources

Online/Digital
- Dublin Core Metadata Initiative ([http://www.dublincore.org/](http://www.dublincore.org/))

Subject cataloguing
- Guidelines on Subject Access to Individual Works of Fiction, Drama, (GSAFD). Chicago :

5 Sources of metadata include Libraries Australia, Te Puna, WorldCat, existing SLNSW card catalogues, finding aids and vendor/donor provided box lists
6 The Library contributes records in languages other than English to Libraries Australia. Currently the Library does not transcribe vernacular data but records in non-Latin script are transliterated
2.5. Levels of Cataloguing

**High/Full level**
- Published material
  Completed to *Libraries Australia* high-level record standard (AACR2 level 3), includes full description and subject access points, comprehensive notes, full fixed field information and format specific details, for example, coordinates and scale for cartographic resources.

  Full classification numbers are required, except when doing retrospective work. Full level is defined at:-

  - Original material
    Collections – full multilevel descriptive records related to one another in a part-to-whole relationship. May include Aggregated Collection, Collection, Series, Item and Part descriptions with provenance and subject access points.

  Single items - full description with provenance and subject access points.

**Medium/Standard level**
- Published material
  Less detailed description (AACR2 2nd level), one or two subject headings, limited notes and not all coded data with shortened classification numbers.

  - Original material
Collections and single items – usually a single record with minimal or no arrangement (sorting) includes provenance and at least two subject access points. Completed to RAD2 minimum required elements.

**Basic/Brief level** (applied to published material)
Only those elements needed to identify an item, eg author, title & statement of responsibility, edition, publication, ISBN and no subject headings or classification. This level meets the Minimum Record Standard for the Australian National Bibliographic Network –  

**Collection level** (applied to published material)
Record for a group of materials intentionally brought together usually with a common subject or acquired as a collection and therefore catalogued as such. Collection level records generally have a title constructed by the cataloguer, a broad description of the collection, appropriate access points including subject access and may contain a note about the group of items or a contents list may be attached.

**Series level** (applied to published material)
Used for overseas maps in series and some monographs in series (if the parts are numerous and similar in content)

**Preliminary level** (applied to original material)
Brief preliminary record(s) created for items usually, but not only, in formed collections that have been requested for digitisation. Records encoded at this level may not require detailed cataloguing, or may be completed (i.e. upgraded) at a later date. Items from formed collections will include provenance and subject access points in the Collection and/or Series level records.

Brief record created for official offers of material or recommendations by Original Materials Branch to acquire material. Potential acquisition records not for public access. If the acquisition proceeds, record is immediately upgraded to Standard or Full. If acquisition does not proceed record retained (suppressed from public access) for internal information.

Accession record created for basic physical and intellectual control of collection includes provenance and at least two subject access points. With the exception of any restrictions, accessioned collections are available for access with prior notice.

**Less-than-full level, material not examined** (applied to some published and original material).

Records copied from existing card catalogues (retrospective conversion projects).
2.6 Multiple versus single record approach

In general the Library prefers separate records for each manifestation of a resource, for example the print and electronic version of a serial. However for pragmatic reasons the Library does not create a separate catalogue record for digital surrogates of unique, unpublished materials or some rare or scarce published materials.

Where there are many manifestations of the work which make it difficult for the searcher to identify the online version, a separate record will be created.

2.7. Resource Categories

The cataloguing level or “fullness” of the metadata applied to a particular resource is dependent on a number of factors including client access needs, the significance of the material, the extent of Australian content and management requirements.

Decisions about the level of cataloguing are based on:-

- Library’s collecting priorities as set out in the Collection Development Policy
- Research value or type of demand for the material
- Type or nature of the resource
- Depreciation category and value
- Current receipt versus retrospective conversion
- Relationship to key collection strength

Current receipts

<table>
<thead>
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<th>Record level</th>
<th>Resources</th>
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| **High level records** | - collections and single items of original materials of very high significance with high research potential  
| | - most recently acquired Australian publications  
| | - rare & heritage material |
| **Medium level records** | - collections and single items of original materials of high significance  
| | - published items where the subject content is recreational or popular rather than scholarly eg Large Print, Talking Books, community language material  
| | - mainstream retrospective Australian material including transfers from other Government departments  
| | - overseas materials without an Australian association  
| | - video and sound recordings |

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7 Significance 2.0

http://www.environment.gov.au/heritage/publications/significance2-0/
| Collection level records | published items when their value is as a collection rather than individual items. |
|                         | some formed collections and datasets eg award collections, Clough, Quinn. |
|                         | ephemera |
|                         | posters |
|                         | mass market paperback fiction eg Mills & Boon |

| Series Level Preliminary level | overseas maps in series and some monographs in series (if the parts are numerous and similar in content) |
|                               | accession records for new acquisitions of original material |
|                               | preliminary record(s) usually created for digitisation of original materials |
|                               | some official offers of original material or recommendations |

**Retrospective cataloguing**

When the Library is providing e-records for material acquired in the past i.e. when engaged in retrospective conversion work, the table above will be used with two additional categories.

| Record level | Basic/Brief records | collections and single items of original materials of lower significance and research value |
|              |                     | minor publications of limited research, literary or educational value |

| Resources | Less-than-full, material not examined | When it is not feasible to handle the physical item or examining the material is out of scope, existing card catalogues are used to create an electronic record; for example, for some collections of maps, manuscripts or pictures. |

**2.8 Priorities**

The Library needs to continue to create e-records for new and retrospective material and at the same time expand responsibility into new areas – metadata for digitisation, for web publications, online guides etc.

The Library continually reviews its cataloguing operations with the goal of streamlining workflows and procedures in order to make the most efficient use of available resources.
Strategies & tools used to support more efficient processing and cataloguing include:

- purchasing vendor supplied records eg for large datasets like EEBO, eBooks and e-journals (via subscription to Serials Solutions)
- outsourcing cataloguing eg community language material and overseas books
- automating repetitive tasks\(^8\) eg batch relocations & updating holdings on ANBD using Libraries Australia’s Record Import Service, the functionality of the Library Management System and MarcEdit software
- use of templates, pattern sheets and guidelines
- use of content or box lists for material described at the collection level to enhance access and support stocktaking
- use of existing card catalogues and finding aids to create catalogue records.

Items are processed according to set priorities. This allows material in heavy demand to be available as soon as possible as well as ensuring the safety of rare and valuable material.

In addition, the Library is part of a cooperative cataloguing scheme with the National and other state libraries within Australia. We have agreed to be responsible for cataloguing NSW state government publications upon receipt as a priority and preservation copies of N.S.W. newspapers.

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<tr>
<th>PRIORITIES</th>
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<tbody>
<tr>
<td>High</td>
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<tr>
<td>• New South Wales Government publications</td>
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<tr>
<td>• Legal deposit</td>
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<tr>
<td>• Rare/valuable original and published items</td>
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<tr>
<td>• Items for exhibition or digitisation</td>
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<tr>
<td>• High interest, high significance original materials and publications known to be in demand by clients</td>
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<tr>
<td>Medium</td>
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<tr>
<td>• Australian publications</td>
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<td>• Heritage Collection Donations</td>
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<tr>
<td>• Overseas Publications</td>
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<tr>
<td>• Federal Government publications</td>
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<tr>
<td>• Medium interest, medium significance original materials</td>
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\(^8\) Also supports good WHS for staff
2.9 KPIs

Cataloguing of newly acquired material should be completed in a timely manner to agreed standards.

- Noteworthy publications will be available to clients on the day of receipt – NSW newspapers, Budget papers, and high profile reports such as the Garnaut Climate Change Review.

- Current NSW government publications will be recorded on ANBD within a week of receipt.

- Records for 95% of publications newly acquired via Legal Deposit within 10 working days.

- Electronic records for material requested for loan will be provided within one business day.

- Metadata for items being digitised for a client order will be completed within two business days.

- All Original Material accessioned within one week of receipt and available for consultation by appointment.

- Original Materials: 80% of high priority pictorial collections and 40% of high priority manuscript and oral history collections will be fully processed within 4 weeks of receipt.

3. Legislative and Policy Framework

Most relevant legislation

- NSW Copyright Act 1879
- *NSW Library Act 1939*
- *Public Finance and Audit Act 1983*
- *State Records Act 1998*

Related and/or most relevant State Library and government policies
- M2000-15 Access to Published Information - Laws, Policy and Guidelines (library deposit)
- State Library Collection Development Policy

4. **Definitions and acronyms**

   **AGLS Metadata Standard** - a set of metadata properties and associated guidelines to improve the visibility, manageability and interoperability of online information and services

   **ANBD**: Australian National Bibliographic Database - contains records representing resources that are part of an Australian library collection and other bibliographic records (e.g. Library of Congress) required to support copy cataloguing in Australian libraries.

   **Australian Conspectus**: Evaluative framework which allows Australian libraries to describe their collection strengths and collecting intentions.

   **DC**: Dublin Core

   **Libraries Australia**: Resource sharing service managed by the National Library of Australia for Australian libraries.

   **Metadata**: Structured data which describes the characteristics of a resource.

   **METS**: Metadata Encoding and Transmission Standard

   **MODS**: Metadata Object Description Schema

   **Trove**: Discovery service which focuses on Australian books, journals, images, historic newspapers, maps, music and archives.

   **WorldCat**: Online catalogue of library collections around the world managed by OCLC

5. **Responsibilities**

Managers and supervisors are responsible for managing processes relevant to this policy and communicating this policy to staff.

Staff are responsible for understanding and complying with this policy.
6. Approval
This policy was approved by NSW State Librarian & CE on 26 March 2012 and endorsed by the Executive on 1 May 2012 for immediate implementation.

7. Implementation
This policy was implemented on 14 May 2012.

8. History
Replaces Version 1.0 which was implemented on 30 November 2009 following a series of workshops with participants from across Library Services Division and Technology Services.

9. Related Policy
This is one of a suite of policies used to manage the Library’s collections that includes:-
- Collection Development Policy
- Collection Donations Policy
- Collection Storage and Service Delivery Policy

10. Prepared by:
Coordinator, Bibliographic Access
23 April 2012

11. Document History and Version Control

<table>
<thead>
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<th>Date approved</th>
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<td>v1.0</td>
<td>26 November 2009</td>
<td>Director, Library Services</td>
<td>First release</td>
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<td>v2.0</td>
<td>26 March 2012</td>
<td>Library Council</td>
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