

State University Libraries of Florida: Guidelines and Procedures for the Shared Bibliographic Catalog

Approved by TSPC 9/9/10

Advisory Group members:

Jane Anne Carey, University of Florida
Sarah Cohen, Florida State University
Daniel Cromwell, FCLA
Charles Gordon, University of South Florida
Kim Montgomery, University of Central Florida
Tom Tharrington, New College of Florida

Introduction

The Statewide Standards for MARC Records Advisory Group was formed in anticipation of a move toward a single bibliographic record model as the basis for the SUL's library catalog. These guidelines and procedures are intended to evolve with changes to cataloging rules and the underlying database system.

GENERAL RULES

I. Shared Responsibility for Maintenance.

The responsibility for maintaining the shared catalog database is shared by all State University System of Florida libraries (SUL) contributing to the file, with the assistance and support of the Florida Center for Library Automation (FCLA). Bibliographic

records are either created directly in the shared file or downloaded from OCLC or other sources.

II. National Cataloging Standards.

Libraries contributing records to the SUL shared catalog must follow national cataloging standards as prescribed in this standard and implemented in the shared catalog. The basic documents, including updates, are: Anglo-American Cataloguing Rules (2nd ed., 1998 revision with Amendments), Library of Congress Rule Interpretations, Library of Congress Subject Headings, Library of Congress (LC) classification schedules, Medical Subject Headings (MeSH) from the National Library of Medicine (NLM); and manuals issued by OCLC and the Program for Cooperative Cataloging. Other documents will be cited as necessary in this standard.

III. Minimum Data Requirements.

The minimum data element set for SUL shared catalog non-provisional bibliographic records should follow the guidelines for creation of minimal level cataloging according to the latest edition of OCLC Bibliographic Formats and Standards. Records obtained from bibliographic utilities and other sources may vary in level of cataloging. To the extent possible, individual libraries will attempt to bring records up to SUL standards as outlined in this document.

IV. Language of Cataloging.

English is the language of record for the State University Libraries' catalog. Parallel records should be created when the only available record is cataloged in a language other than English.

V. Romanization and Transliteration.

Romanization is according to the tables used by the Library of Congress found at <http://lcweb.loc.gov/catdir/cpsa/roman.html>

Whenever possible, non-Roman scripts should be included in bibliographic records. Fields with non-Roman scripts should be retained on import.

GUIDELINES FOR CATALOGING

VI. Access Points for Bibliographic Records

A. Choice of Entry and Access Points

1. In original cataloging the choice of access points, including the main entry, follows the provisions of the Anglo-American Cataloguing Rules (2nd ed., 2002 Revision with 2005 Update) and LCRI.
2. In current serials cataloging the requirements of the CONSER program are preferred.
3. Choice of main entry on pre-AACR2 records need not be changed to conform to AACR2.
4. Individual institutions may increase the number of added entries and subject headings to a record.

B. Form of Entry

1. The form of entry used in original cataloging is based on the Anglo-American Cataloguing Rules (2nd ed., 2002 Revision with 2005 Update) and LCRI.
2. The preferred form of heading for an entity is the current authorized form as it appears in the LC Authority File.
3. If no authority record is available in the LC Authority File, then the heading must be created according to AACR2 standards.
4. Form of heading on pre-AACR2 records need not be established in AACR2 form unless in conflict with existing headings in the SUL shared catalog.
5. Institutions are encouraged to use a uniform title as main entry, when appropriate. Institutions are encouraged to use a uniform title under a personal or corporate heading, when appropriate.

C. Subject and Genre/Form Headings

1. All subject headings may be retained on incoming records. There is no need to delete extraneous subject headings. All LCSH and MESH present in bibliographic records will be indexed and will undergo authority control maintenance.
2. Local and other subject headings will be indexed but not supported by system-wide automated authority control.
3. Genre/form headings should conform to appropriate MARC tag input standards. All 655 fields should include appropriate indicator values and/or \$7 content.

D. Classification and Call Numbers.

1. Institutions may determine whether and how to classify their material. This will be recorded in the 852 field of the Holdings record. The following

classification practices will be indexed in the SUL shared catalog based on the holdings record data in tag 852: LC/NLM, SuDoc, Dewey and local.

2. Retain standard classification call numbers, such as LC, SuDoc, and Dewey, in the bibliographic record in Aleph. Standard classification call numbers in the OCLC bibliographic record are, generally, accepted as is but are edited only for errors.
3. Local variations of the call numbers are entered directly in the 852 field in the holdings record. This is the number to be shelflisted against each institution's local call number indexes and is the call number used in searching.

E. Series

Prefer the form, but not necessarily the analysis and classification practice found in the LC Authority File. Individual libraries may currently have varying analysis and classification practices. This will continue.

VII. Electronic Resources

Best practice for cataloging electronic resources is to use a provider-neutral approach for equivalent content (originating from the same publisher, but distributed through multiple sources). However, due to staffing and technical issues, it is impractical to detect duplicate records in vendor sets. Multiple records for the same work may coexist when loaded from sets obtained from different vendors for package or subscription content (see Vendor Record Sets below).

VIII. Vendor Record Sets

- A. Before loading a record set, the cataloger should consult with other libraries that have loaded the same set to determine whether significant corrections have been made. If the new record set incorporates major corrections, the decision may be

made to overlay existing records. If the new set is in fact uncorrected older records, and existing records have been corrected, the load should be set to skip existing records in the database and only load unique records.

- B. Since the purpose of loading vendor records is to save time and to provide access to works that otherwise could not be cataloged with local resources, no library is required to devote significant time to the correction of errors in vendor records. Libraries that choose to make corrections may do so. If significant and systematic corrections are to be made, this should be communicated to other libraries.
- C. Sets from different vendors may merge if the records contain the exact same OCLC numbers. Sets from the same vendor that have different record numbers may need to be merged with the help of FCLA. However, different records for different formats should not be merged.
- D. Institutions undertaking projects to do retrospective conversion locally or to batch load record sets acquired from vendors shall work cooperatively with other SUL institutions. Procedures for this process will be determined upon the implementation of the Single Bibliographic Record catalog.

IX. Reproductions

- A. Reproductions are cataloged on separate records from the originals.
- B. Photocopy or microform reproductions (e.g., dissertations) from the same commercial producer held at different libraries may use the same OCLC record even when the reproduction date differs. A library specific reproduction note should be created in the bibliographic record when a library adds a holdings record.

CATALOG MAINTENANCE

X. Record Enhancement

A. Global

1. OCLC and MARCIVE sourced bibliographic records may be enriched with data valid according to national cataloging practice. SUL institutions are encouraged to replace the corresponding OCLC master record whenever possible in order to accomplish this enrichment. Many additions to the OCLC master record are permitted with full cataloging level permission. See OCLC Technical Bulletins for current practices.
2. Additionally, there is value in becoming an OCLC Enhance participant in order to provide higher level of enhancement to full level records. See: <http://www.oclc.org/worldcat/enhance/instructions.shtml> for Regular Enhance requirements and application instruction.
3. OCLC Expert Community participants are able to correct, improve and upgrade all WorldCat master records, with the exception of PCC records (BIBCO and CONSER records). Library of Congress records that are not PCC records are included.
<http://www.oclc.org/us/en/worldcat/catalog/quality/expert/default.htm>

B. Local

1. Copy specific and local information should not appear in the bibliographic record. Such information should be placed in the appropriate institutional holdings record. Examples would include library specific links and local notes.
2. Retaining local practices - Use of \$5 Notes and Local Access Points
 - In general, the use of \$5 to preserve local content for the shared bib environment should be confined to 5xx fields and local access points.

- Notes which can be marked with a \$5 should for the most part reflect something unique about the library's copy of the material. Many such notes are in 59x fields but this is not always the case. Mark with \$5 and the Library's MARC Organization Code (not the OCLC holdings code) notes referring to rare or archival copies, "bound with" materials, references to related materials in the library's collection, and other pertinent local information.
- Add \$5 to "Bound with" notes even for contemporary published together materials, since other libraries may not have cataloged all included books separately.
- Do not use \$5 based on a perception that your version of a standard note is superior to versions that may exist on other catalog records.

XI. Deleting Data from a Record.

- A. When editing an existing record, all fields are to be retained except in the instances listed below:
 - Correcting errors
 - Accommodating record size limit
- B. Fields marked with \$\$5 with MARC organization code should always be retained.
- C. SUL institutions need to communicate with the holders of a record to co-ordinate what data is retained and what is deleted.

XII. Duplicate Records.

- A. Duplicate records are discouraged in order to avoid confusing patrons with extraneous records and holdings split between multiple records. Avoid creating duplicate records. Take steps to eliminate existing duplicate records whenever possible.

Categories of duplicate records include:

- A monograph record and a serial record for the same title
- A provisional record and a corresponding non-provisional record
- Latest entry records and successive entry records for the same titles
- Newer official OCLC record and deleted/obsolete OCLC record. The deleted/obsolete record's OCLC number, in the 035 field, will match a number in the newer, preferred record's 019 field.

- B. There may, however, be records for the different bibliographic aspects of a work. For example, a monograph may be treated as a single work under its individual title and as part of a monographic series or as part of an analyzed multipart monograph under its collective title.
- C. When a CONSER serial record is in the Union Catalog file, that serial record is preferred. National level cataloging is identified by the presence of a 042 field.
- D. Follow OCLC Bibliographic Formats and Standards, latest edition Chapter 4 to determine when to input a new record.

XIII. Overlay of Existing Records.

- A. When a more complete record is available, an institution may import it and overlay the existing record. However, care must be taken to insure that locally marked fields are retained. When possible protection of these fields will be configured in the export software.
- B. Automatic overlay may occur in some batch loads.

Because enrichments and corrections can be wiped out in an overlay, libraries should follow the instructions on record enhancement (X, A) to update the master record so that enhancements are not lost through an overlay. Be mindful that overlays will usually overwrite single record approach cataloging in existing records.