

Standards for Bibliographic Records in I-Share

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USING THE OCLC CATALOGING SUBSYSTEM
IN ILLINOIS*

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STANDARDS FOR (OCLC) INPUT CATALOGING (October 1983)

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Introduction

Libraries using OCLC for cataloging realize many savings in time and effort due to the shared database. Indeed, it is this facility to use other libraries' cataloging that makes OCLC so attractive. But shared bibliographic records are useful only to the extent that they are usable by others. For this reason, standards are in place to guarantee that these records will have maximum utility.

The adherence to standards is for everyone's benefit. The issue is one less of bad cataloging and more of making the choices for machine-readable records so that they are usable in as many ways as possible by all of us. With I-Share, we continue to strive to maintain a shared bibliographic environment which will benefit all of our users.

This document addresses standards which, if followed, will help achieve this goal. While this document is focused on OCLC, it should be generalized to apply to other sources of bibliographic data.

Summary of Recommendations

1. Each library should follow the current OCLC Bibliographic Formats and Standards (<http://www.oclc.org/bibformats/>) for input cataloging as nearly as possible in all particulars, namely:
 - a. Input should be encoding level I or 4 except in those situations specified for level K.
 - b. Cataloging should be according to the Anglo-American Cataloguing Rules, latest edition, and the Library of Congress's and the National Library of Medicine's interpretations thereof.
 - c. Input data should be correctly coded according to OCLC Bibliographic Formats and Standards.
 - d. Headings should be AACR2 or AACR2-compatible as defined by the LC Rule Interpretations. Headings so encoded in the LC authority file should always be used, rather than locally devised variants.
 - e. To avoid duplicate records, new records should be created for the OCLC database in those situations specified by OCLC, and only in those situations. See <http://www.oclc.org/bibformats/en/input> for details.
 - f. Searching should be as thorough as possible.
2. Each library should input all current cataloging and add location symbols for all material currently acquired, following the guidelines detailed in "OCLC WorldCat Principles of Cooperation" (see <http://www.oclc.org/worldcat/cooperation/principles.shtm>).
3. Each library should use the current edition of a nationally accepted list of subject headings. For Library of Congress subjects, each library should also follow the instructions in Subject Cataloging Manual, Subject Headings.
4. Each library should take care to code the call number fields correctly, and for an LC or NLM library, to use the latest edition of the classification schedules.
5. Each library should accept the responsibility to report errors it finds in the OCLC database, especially errors that affect retrieval.
6. Each library should ensure that its staff has the opportunity to attend the ILLINET/OCLC Services - Illinois OCLC Users' Group training sessions.
7. Each library should have a program of quality control to ensure that these recommendations are followed.

Bibliographic Input Standards

The basic standard for the input of cataloging for I-Share libraries that are OCLC Online Catalog users is the Bibliographic Formats and Standards, latest edition, issued by OCLC. It prescribes the MARC format as the way to code cataloging for all uses. Further, it identifies those elements of the MARC format which should be present on every record and those which are optional. And, it identifies the source documents to be used in the preparation of data for the record.

The use of Bibliographic Formats and Standards is in fact a multilevel process. It is not only a standard itself, but it also calls for the use of other standards, which in turn call for yet other standards. Fortunately, careful use of Bibliographic Formats and Standards leads one quite clearly and logically to all the other sources one needs to use. The major features of the standard are detailed below.

1. Level I, Level 4, and Level K Input Standards.

Bibliographic Formats and Standards specifies three levels of cataloging: level I (full-level cataloging), level 4 (core-level cataloging) and level K (minimal level cataloging). Roughly speaking, level I meets the requirements of second-level description in AACR2, level K meets the requirements of first-level description in AACR2, and level 4 falls somewhere in between. Bibliographic Formats and Standards recommends that level I be used whenever possible. This should be the normal level of cataloging for all I-Share libraries. The use of level 4 is optional and may be used in place of level I. Level K is used when it is not possible or desirable to use levels I or 4. For I-Share libraries, specific categories of materials, as determined by local policy, may be entered at level K. One common misunderstanding is that levels 4 and K permit complete freedom in the input of data. This is most definitely not the case; levels 4 and K are standards just as rigorous as level I.

The level I, level 4, and level K standards detail, tag by tag, indicator by indicator, and subfield by subfield, if an element must be present in a record, if it is optional, or if it is not to be used.

2. Anglo-American Cataloguing Rules.

Bibliographic Formats and Standards requires the application of Anglo-American Cataloguing Rules, second edition, 1998 revision (AACR2 1998 rev.) and its amendments in conjunction with a wide array of supporting documents and systems to determine appropriate practice in MARC records. Catalogers should consult the standards for the complete list.

3. Format Documents.

Bibliographic Formats and Standards is based on MARC21, developed by LC. It includes instructions for books, serials, and a variety of non-book media. It specifies exactly how the data for each tag field should be encoded. It describes the field, its indicators, its subfields, and the format(s) for which its use is appropriate. It shows, by many examples, precisely how data should appear in each field.

This document also lists additional OCLC documentation needed by users of the OCLC system, such as OCLC-MARC Code Lists, Cataloging: User Manual, Searching the Online Union Catalog, and various OCLC Technical Bulletins. (The Technical Bulletin series is issued by OCLC to give more explanation about the application of certain rules, to explain how OCLC works, or to describe changes in documentation.)

4. Library of Congress Authority File.

Bibliographic Formats and Standards states, "You must use AACR2 or AACR2-compatible forms for all headings and uniform titles for current original cataloging. Search the OCLC Authority File to verify forms of entry. Use current Library of Congress (LC) AACR2 or AACR2-compatible forms. If those forms are **not** in the OCLC Authority File, construct the heading or uniform title according to AACR2." The LC or NLM interpretations of AACR2 should also be followed. The use of the LC authority file is described in the OCLC manual OCLC Authorities User Guide (<http://www.oclc.org/support/documentation/worldcat/authorities/userguide/default.htm>). It tells how to search the file in OCLC and how to interpret the information in the records.

5. Online Bibliographic Records.

Bibliographic Formats and Standards specifies in considerable detail when new records are to be created and when they are not to be created. It explains how records are to be modified for special circumstances. And, very importantly, it emphasizes that the online union catalog is to be searched thoroughly, using all possible search keys, before a new record is created.

In summary, note that the application of Bibliographic Formats and Standards leads one to the desired goals of completeness and consistency. It does this by telling a user exactly what rules to follow, and for ambiguous cases or optional rules, to follow the decisions of the Library of Congress or the National Library of Medicine. In essence, it provides all users with a single cataloging code.

Other Standards

Although Bibliographic Formats and Standards is the standard for input cataloging data, it does not address, nor is it meant to address, certain other aspects of the record, such as subject headings, classification, or holdings and other local data. But standards are needed for some of these areas not covered by Bibliographic Formats and Standards. As stated before, all records created or used by every I-Share library will appear in the I-Share catalog, unless a library has chosen to suppress selected records following consortial guidelines for such suppression. To ensure that the necessary information is present in records in I-Share, additional standards are needed.

1. Subject Headings.

Subject headings should conform to a nationally accepted standard, such as Sears, Library of Congress, or National Library of Medicine subject headings. The latest form of a subject heading should be used. When Library of Congress subject headings are used, they should be formulated according to the instructions in LC's Subject Cataloging Manual, Subject Headings.

When other thesauri or controlled vocabulary sources are used, they should be given MARC tags 6xx with a second indicator of 7 (6xx 7) with the source specified in subfield 2 as prescribed by the MARC standard. Headings without a specified source (6xx 4) should not be created in the original cataloging process, but may remain in bibliographic copy if they provide a unique access point. 6xx 4 headings that duplicate LC Subject Headings in the same bibliographic record are candidates for deletion.

If locally devised subject headings are used, they should be given MARC tags 690 or 691. Geographic entities that are already established in the LC Authority File should be used (651 0) in lieu of local name variations (691).

2. Classification.

Classification is the area left most open to local practice. However, for that very reason, there need to be some standards so the validity of a classification number input on new records will be apparent to other users.

For libraries using the Dewey Decimal Classification (DDC), subfield 2 of the 092 field should be filled in for new cataloging to show the edition of DDC used. For libraries using the Library of Congress or the National Library of Medicine classification schedules, the latest edition of each schedule, with its additions and changes, should be used.

Also, for a library using either the DDC, LC, or NLM classification, any local adaptation of the schedules should be shown by coding the adopted number in field 099 (or in field 098, if applicable). Fields 090, 092, and 095 should be used only when the number is used with the same meaning it has in the schedules.

3. ILLINET/OCLC Services and the Illinois State Library.

A few areas of the record are covered by ILLINET/OCLC Services standards. By virtue of being a member of ILLINET, each I-Share library is bound by certain provisions specified in

its ILLINET/OCLC database service program agreement. In summary, those provisions state that each library shall implement quality control procedures, input all current cataloging not already in the database if the type of material and language of the item can be accommodated, and add location symbols for all material currently acquired.

In fulfillment of another provision of the agreement directing the Illinois State Library to provide information to ILLINET libraries, ILLINET/OCLC Services issues the Information Bulletin. The bulletin announces changes, describes problems, explains how to interpret information, explains how to overcome certain problems, and provides general information about the system.

ILLINET/OCLC Services, in conjunction with the Illinois OCLC Users' Group, sponsors and conducts a continuing series of workshops on the use of OCLC. These workshops provide information and hands-on experience with the various formats and subsystems of OCLC. They are an excellent source for initial training in the use of the system, and they provide an opportunity for refreshing or improving OCLC skills. Standards are emphasized in the presentations, making this an excellent means of ensuring consistency and quality of input. Each library should see that its staff has the chance to be trained or retrained through these workshops.

The Illinois State Library sponsors many different workshops and other basic and advanced cataloging training opportunities. I-Share libraries are encouraged to use these events to meet some of their cataloging staff training needs.

4. Use of Records in the Database.

Many records in the OCLC database are outdated, incomplete, incorrect, or substandard. Bibliographic Formats and Standards places no restrictions on how those records are used for card production or updates. But, every time an I-Share library uses one of those records, it becomes part of our consortial database, with all its flaws. If we are to have a proper database to use and to build on, then all records contained therein need to conform to a standard. The most reasonable standard is the same one as for original input records as detailed above.

Although no library can afford to spend the time it takes to report all the errors found in the OCLC database, each library should accept a commitment to submit change requests on a regular basis for errors found. When selecting errors to report, preference should be given to those that affect retrieval (e.g., errors in headings, in the title field indicators, missing or incorrect ISBN or ISSN numbers, and missing or incorrect dates in the fixed field.)

Because of the use of the OCLC Online Union Catalog for interlibrary loan, it is important that a user remove a library's symbol from an OCLC record if a title is withdrawn from the library. A user also has an obligation to transfer or remove the library's symbol from a record when requested to do so by OCLC.

I-Share libraries with the capability of enhancing records should do so when it is appropriate.