

Standards Document No. 1

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NEOS Shared Database General Principles

The NEOS Catalogue Standards Committee agrees to these principles for the shared creation and use of the NEOS SIRSI database. Details and exceptions may be found in the full Standards document.

1. Use of a single (master) record, to which all members add their holdings. Ownership is indicated by the presence of at least one item record attached to a bibliographic record.
2. Use of common, internationally-recognized standards for bibliographic records, including:
 - Anglo-American Cataloguing Rules (AACR)
 - USMARC formats
 - LC subject headings (LCSH), Repertoire des vedettes-matieres (RVM), and Medical Subject Headings (MeSH).
3. Use of LC bibliographic and authority records (normally obtained from SmartPort) when applicable, edited only to upgrade.
4. Commitment to provide the most useful records possible, by following agreed-upon standards for record editing and recording of local data, and by refraining from deletion of valid information.
5. Provision of consistency in headings and of references by means of authority records and use of SIRSI authorities processes.
6. Recognition of the shared, cooperative effort of managing the master bibliographic database, and that changes in this database which affect one library affect all member libraries.
7. Recognition that, although pre-SIRSI records loaded into the shared database should be upgraded whenever possible, there is no expectation that retrospective records meet the same standards as current cataloguing.
8. Training in SIRSI functions is provided at U of A by NEOS member library staff. Each library ensures that its staff members who work with the bibliographic database and with item records are trained and knowledgeable with regard to the NEOS cataloguing standards. Member libraries provide mutual support and advice to this end.

1. GENERAL

1.1 Functions of the Standards Committee

Decision (Oct. 4, 1993): The NEOS Catalogue Standards Committee should be maintained as a standing body, responsible for the following:

- a) Continuing discussions on cataloguing standards.
- b) Assist and support in SIRSI cataloguing training for NEOS members.
- c) Agreement on and distribution of NEOS-wide cataloguing procedures.

1.2 Reporting of Holdings

The U of A currently reports its holdings as follows:

- 1) Serial holdings - reported directly to the National Library, which places them in their database for interlibrary loan purposes. The bibliographic records, without holdings, are also reported to ISM, and from ISM make their way to OCLC.
- 2) Monographic holdings - reported directly to ISM, and from ISM make their way to OCLC.

Open questions:

- 1) What are the implications of reporting holdings to these bodies?
- 2) Are there any costs associated with reporting holdings to these bodies?

Outstanding: Determine policies for reporting of holdings to utilities and other agencies. Which libraries do or do not wish to report to ISM, OCLC and NLC? Records reported will have to include the holding libraries' identification codes. Decisions should be made regarding both retrospective holdings and holdings resulting from current acquisitions.

1.3 Workforms

Outstanding: Determine what, if any, centralized control should be maintained over the production and maintenance of the online cataloguing workforms on SIRSI.

2. BIBLIOGRAPHIC RECORDS

2.1 Pre-SIRSI Records

Decision (30 Aug. 1993): Wherever possible, existing records loaded into the database should conform to the standards set for new records. Each library should determine how best to meet these standards and at what point(s) in the load process to make improvements.

2.2 MARC

All data should be tagged according to USMARC, unless specified otherwise in this document. The exceptions specified in this document are additional fields or subfields used for SIRSI or local reasons, e.g. 010 \$o, 999 fields.

Display constants mentioned in USMARC (eg. Contents: for field 505) should not be included.

2.3 Master Records

2.3.1 Master record concept

Decision (June 28, 1993): With master records, when a title is held by more than one library, the same bibliographic record is shared by all libraries, and each appends its holdings to the record. The master record concept will be adopted by NEOS members, with the stipulation that if a library cannot utilize a master record, it may create a unique record.

For guidelines on elimination of any multiple records which do occur, see section 2.6 below.

2.3.2 Importing records

Records for current cataloguing may be imported into the NEOS database through SmartPort (Using NETCAT) or through batch loading, eg. from ISM or OCLC. Libraries are responsible for checking Marion before importing a record, to avoid multiple records for the same publication.

2.3.3 Unique records

Decision (June 28, 1993): When a library wishes to establish unique records, it should discuss the matter with the Catalogue Standards Committee to determine if there is some other solution to the problem, and if there is not, the discussion will inform the other members of why these records will occur. When establishing a unique record, the word UNIQUE should be coded in 040 \$o. Other libraries should not add their holdings to unique records unless they are willing to accept that record with no changes. Only the originating agency can make changes to a records designated UNIQUE. By default, any

record without the designation UNIQUE is a master record. (Exception: Faculté St. Jean records from the University of Alberta, although unique, will not carry the UNIQUE designation. See Appendix I for details.)

Libraries which intend to make extended use of UNIQUE records are listed in Appendix I.

2.3.4 Single vs. multiple record treatment of sets and series

Decision (20 Sept. 93): Some libraries might decide to treat a set or monographic series as a single multi-part item, while others might wish to create a bibliographic record for each volume of the set. If the set or series is already established one way, another library may establish it the other way.

2.3.5 Originating Library

Decision (Oct. 4, 1993): For the purposes of corrections, etc. it is sometimes necessary to determine who the originating library is for a bibliographic record. An originating library is the library which first created/copied in a bibliographic record to the SIRSI database. Records originating in a NEOS library will have their National Library code in the 040. The exception will be U of A records from the original load and early SIRSI cataloguing, which will not always have the 040 coded. Other clues to identify U of A records are: For records catalogued pre-August 1993, 010 \$o will have an A-G Canada (formerly ISM, formerly Utlas) number beginning with 21, 39, 40, 66 or 72. Records catalogued post-August 1993 will have cataloguer's initials in 035\$f or 039\$f.

2.4 Minimum level of descriptive cataloguing

Decision (June 28, 1993): The minimum level of descriptive cataloguing will be AACR2 level 1. Individual libraries can go beyond this level when desired. AACR2 level 1 descriptive cataloguing requires at least the following elements for each record:

Title proper

First statement of responsibility (if different from main entry heading in form or number or if there is no main entry heading)

Edition statement

Material (or type of publication) specific details

First publisher, etc.

Date of publication, etc.

Extent of item

Note(s)

Standard number

Decision (17 Jan. 1994): The minimum level of descriptive cataloguing includes all ISBD punctuation as prescribed in AACR2. Decision (21 March 1994): Optionally, the ending punctuation for each area (space, dash, space) may be omitted.

2.4.1 Temporary Records

(Decision 15 October 1993): Temporary records do not have to conform to this standard. Temporary records include Reserve Room records and Order records.

2.4.2 Records for Circulating Equipment Using SIRSI

(Decision 9 February 1998): brief records may be created to circulate equipment using SIRSI. The records will contain 040, 090 \$a and \$b, and 245. A 590 note is optional for libraries requiring notes about their own equipment. The 245 will contain the name of the equipment: Headphones, Extension cord, Film projector, Slide projector, Overhead projector, Slide carousel, Camcorder, Calculator, Cassette recorder, CD player, Screen, Key, Microfiche reader, Easel, Video cassette recorder, Remote control, Filmstrip projector. There will be no dates. There will be item records. Records will not be

suppressed, but item records will be local request. One bibliographic record will be created for each type of equipment. All libraries circulating that type of equipment will use the same bibliographic record and add their own item record(s).

Example:

Type: r Bib l: m Enc l: Desc: Ctry: Lang: Mod: Srce: d
Run t: Audience: Accomp m: Gvt: Mat t: Tech:
Dat tp: Dates: Control:

040; ; a AEAG \$
090; ; a AEAG EQUIPMENT \$ b AEAG \$
245; 00; a Microfiche reader. \$

2.4.3 Membership Order Records

Decision (9 February 1998): brief records may be created for the purpose of using the SIRSI Acquisitions Module to pay for Memberships. The records will be generic so all member libraries can use the same record if they have a membership in the same organization. They will be serial records. Records will be suppressed and can not be unsuppressed. Records will contain 040, 090 \$a and \$b, 110, 245 \$a and \$b, 260 and (optionally) 590. The name of the organization will go in 110 \$a, 245 \$a will contain only the word AMembership, @ 245 \$b will contain the name of the organization, the fixed fields and 260 will not include dates, and all local information (eg. beginning date of membership, titles received as a result of membership) will go in 590 (local) notes beginning with the name of the library to whom the notes apply. Publications received as a result of memberships will be catalogued separately. The 110 is subject to authority control. If it changes the 245 \$b should be changed to match.

Example:

Type: a Bib l: s Enc l: o Desc: Ctry: vau Lang: eng Mod: Srce: Freq:
Reg: ISDS: 4 Ser t: p Orig f: Form: Entire c: Cont: Gvt:
Cnf: Alpha: S/L: 0 Pub s: Dates: Control:

040; ; a AEE \$
090; ; a AEE Membership \$b AEE
110; 2 ; a National Business Education Association.
245; 10; a Membership :\$b National Business Education Association.
260; ; a Reston, VA : \$b National Business Education Association.
590; ; a AB Education*Membership will entitle the library to receive: Business Education Forum and Keying In newsletter. \$

2.5 Call Numbers / Classification Numbers**2.5.1 Unique assignment**

Decision (June 28, 1993) The same call number may be assigned to different items in different libraries. Individual libraries may wish to ensure that the same call number is not assigned to different items within their own library.

2.5.2 Multiple call numbers

Decision (July 5, 1993) The same bibliographic record may contain different call numbers, even within the same classification scheme. Individual libraries can decide internally whether to assign multiple call numbers for their own holdings.

2.5.3 Classification schemes

Decision (June 29, 1993): Libraries can continue with the classification schemes and

practices they are currently using. There will be no standards imposed in this area.

2.5.4 Call number dates (Copyright vs. Publication dates)

Decision (December 1994): When copyright date differs from publication date use publication date in the call number. For conferences use the date the conference was held, not the date the proceedings were published, in the call number IF the date appears in the main entry.

2.6 Record Editing (Bibliographic and Authorities)

2.6.1 Additions

Decision (30 Aug. 1993): The addition of fields constitutes record enhancement. Any library can add any fixed or variable field as required, except to unique records (for definition of unique records, see 2.2 above).

2.6.2 Corrections

Decision (30 Aug. 1993): A correction is a change to an existing field in a record to make it conform to the item in hand (eg. fixing spelling mistakes). Corrections should only be made if one is sure one has the same item. Allowable corrections:

- a) Fixed fields: Correct (change) as needed. If it looks very odd, check with originating library. Note: There are no local use fixed fields.
- b) Variable fields: Consult table to see what changes are allowed in each field.

2.6.3 Deleting fields

Do not delete fields from records already in the GATE without permission from all libraries with holdings on the record.

Decision (13 Sept. 1993, rev. June 1999): When importing LC or CANMARC records, do not delete fields.

EXCEPTION: Delete French subject headings (6xx with second indicator 6) on all except Faculte St. Jean records. The U of A will delete English headings on FSJ records. When importing records from other libraries (eg. U of T, North York, or UBC), all local fields containing information specific to those libraries (010 \$o, 090, 590, etc.) must be deleted. If an exact match for the book in hand is not found but a related record (for example, a different edition) is found, that record may be imported and the cataloguer may edit and delete fields as required to make the record match the book in hand.

2.6.4 Deleting records

Decision (13 Sept. 1993, rev. 13 April 1999): The owner of the last item deleted **must** delete the bibliographic record. Item records are local and may be deleted by the holding library as required. The preferred method of deleting item records is to mark them withdrawn in CIRCLE and wait for the monthly purge to remove them from the database. This avoids problems caused by deleting items with fines attached. Item records should only be deleted if it is necessary to re-add them to another records immediately.

2.6.5 Guidelines for eliminating multiple records

NEOS uses the master record approach, where holdings for all libraries with a particular title are attached to the same record. Multiple records for the same title are to be avoided wherever possible. However, they will occur, primarily from bulk loads of library holdings, but also from differences in interpretation, and day to day addition of records for acquisitions, reserve rooms, and purchased cataloguing. The following guidelines are intended to help eliminate unnecessary multiple records in the database (as opposed to necessary ones like FSJ and UNIQUE records) when they are discovered.

It can be difficult to identify the source of a duplicate record if it has no holdings attached.

Some information that may help to identify the owner of a given record is listed in Appendix III.

Most duplicates will be discovered by cataloguers searching the database for cataloguing or collection maintenance or by reference staff. Reference staff should be asked to give cataloguing the record numbers when multiple records are discovered.

The basic principle is that the fullest record is kept, the holdings and any other useful information from the other record(s) are transferred to it and the other record(s) deleted. It is not necessary to notify the library whose record is being added to.

When multiple records are discovered:

1. Decide which record to keep. Often they will be very similar. Consider the following:
 - ! how many other libraries have item records attached (the record with the most items from different libraries attached should be kept, since it will mean notifying fewer people, ie. less work all around)
 - ! the quality of the cataloguing (most complete, or best matches your interpretation)
 - ! which was added to the database first (all else being equal)
2. Add your holdings to the fullest record if you have holdings to add.
3. Notify in writing (use e-mail whenever possible) the library that owns the other record.

For libraries receiving notification of a duplicate:

1. Add any fields from your bibliographic record to the other record (this can easily be done with "cut and paste" on a field by field basis).
2. Send a message to sharon.marshall@ualberta.ca asking that your items be transferred to the other record and the old record deleted.

EXAMPLE 1:

You get two (or more) hits when searching. Look at all the records and eliminate the FSJ or UNIQUE ones. If there are still duplicates, check to see how many libraries have holdings on each one, choose the fullest and add your holdings to it. You then notify the library who owns the other record that it is a duplicate. They then transfer any information (including 090s) that they want to keep from their old record to the other record and ask for the item record(s) to be transferred and the duplicate bibliographic record deleted.

EXAMPLE 2:

You discover that one of your records duplicates that of another library. Add your 090, etc. to the other record and ask for the item record(s) to be transferred and the duplicate bibliographic record deleted.

EXAMPLE 3:

Reference staff notice multiple records for an item and tell cataloguing. If your library does not have items on the records, compare them, choose the fullest and notify the library that owns the other record that it is a duplicate. That library then transfers 090s, etc. and asks for the item record(s) to be transferred and the duplicate bibliographic record deleted.

2.6.6 Recataloguing

The process of notification and item record transfer is similar in cases where one library decides to recatalogue a group of monograph records shared by other libraries onto one serial record.

1. The library that wishes to recatalogue the group of monograph records checks DIRECT or INFOGATE to see who else is using those records.
2. The recataloguing library informs all the other libraries with holdings involved of their

- intention to recatalogue and asks whether they want their holdings transferred as well.
3. The new serial record is added to the database. All the libraries add 090s and other unique fields from the old records. (As a courtesy the recataloguing library can do this for everyone)
 4. A message is sent to sharon.marshall@ualberta.ca, asking that the holdings be transferred to the new record and the old records deleted. NOTE: if summary holdings records are to be transferred, they should be deleted and re-created on the new record. If they are transferred using the SIRSI program they can be corrupted.
 5. Each library involved creates (or re-creates) their own summary holdings in the serials module and changes the material code of their item records.

NB. if any library chooses NOT to have its items transferred then the items will have to be deleted one by one by the owning libraries and re-input on the new record. The same bar code numbers can be re-used. However, unless it is a monographic series (ie. each issue had a unique title and/or subject), it is not considered "allowable" duplication under the standards, and there should be no reason to maintain separate records.

2.7 Sets and Monographic Series

2.7.1 Series established differently

Decision (27 Sept. 1993): The same series may be held by different libraries, but may be established differently in each library. For example, it may be qualified in one library and unqualified in another. These problems should be resolved by consultation among the affected libraries, with a view towards, whenever possible, agreeing on a single form of the series.

2.7.2 Series numbered differently

Decision (27 Sept. 1993): Even if the same series title is used in two different libraries, the libraries might have chosen different numbering conventions for the series. In these cases, each library can add a separate 642 field to the series authority record indicating form of numbering used and a code representing the library.

2.8 Serials

2.8.1 Title changes

Decision (27 Sept. 1993): Title changes will be done by the first library to notice them.

2.8.2 Different formats

Decision (27 Sept. 1993): As a general policy, serial holdings in different formats (e.g. print and micro) should be added to the bibliographic record for the print copy.

2.8.3 Annuals

Decision (27 Sept. 1993): Annuals should be catalogued as serials.

2.8.4 Continued by / Continues notes

Decision (18 Oct. 1993): This information (coded in MARC 780 and 785) should be added to the bibliographic record when readily available regardless of whether or not holdings exist for the previous / later title. Do not make added entries for these previous / later titles.

2.9 Bibliographic Record Suppression

Record suppression prevents bibliographic records and their attached items from appearing in the PAC. They are still visible in NETCAT but the word ****MASKED**** appears at the top of the record in the header. More information on this function is available in SIRSI's Technical Services User Manual, chapter 9.

Decision (9 February 1998): This feature should be used with care and only when ordering items that will never be catalogued (e.g. staff tools), order records for monographic series where the individual items are catalogued separately (use 090 \$a Monographic Series), or for records created for the purpose of paying for association memberships. PAC display for purchase order records attached to a suppressed bibliographic record must be set to N so that they will not become visible if another library unsuppresses the bibliographic record. The library which is unsuppressing the record must upgrade it to meet NEOS standards. A library may not suppress another library's existing record.

2.10 Minimum Record Requirements (Bibliographic)

Decision (23 Aug. 1993): This table lists the fields used in a bibliographic record, and notes if they are required in SIRSI. All fixed fields are listed here, but only some variable fields. If a variable field is not listed here, NEOS is imposing no restrictions on the use of the field - it may be added as needed, and corrected when wrong. When possible, the following generic comments have been used:

R (indicates if field is required or not)

R - Field required.

Blank - Field not required.

O - Optional (fixed fields only).

Add (indicates if field can be added to an existing master record)

Add if missing - Add field if it is not already there.

Add as needed - Add field, or extra occurrences of repeatable fields, if needed by your library.

Add as ____ if different - If this field already exists, and you have differing information which you would have put in this field if doing the record from scratch, add the information in a ____ field.

Correct

Correct if wrong - Okay to correct without consultation.

Check if different - Check with the original library before changing.

Upgrade if incomplete - Okay to correct by adding more complete information

Correct indicators - Okay to correct indicators.

Correct spelling - Okay to correct spelling.

An asterisk (*) indicates the field is used on serials only at this time.

Field	Description	R	Add	Correct
Accomp m:	Accompanying matter	O		
Alpha:	Original alphabet	O		
Audience:	Target audience	O		
Bib l:	Bibliographic level	R		
Bio:	Biography	O		
Cnf:	Conference	O		
Comp.	Form of composition	R		
Cont:	Nature of contents	R		
Ctry:	Place of publication	R		
Cum ind:	Cumulative index	O		
Dat tp:	Type of date	R		

Dates:	Publication dates	R		
Desc:	Descriptive cataloguing form	R		
Enc l:	Encoding level	R		if o (order record) change to blank if upgrading the record.
Entire c:	Nature of entire work	R		
Fic:	Fiction	O		
File:	Type of computer file	O		
Form:	Form of item	R		
Format:	Format of music	R		
Freq:	Frequency	R		
Fst:	Festschrift	O		
Gvt:	Government publication	R		
Ill:	Illustrations	O		
Ind:	Index	O		
ISDS:	ISDS center	O		
Lang:	Language	R		Correct if wrong
Lit:	Literary text for sound recordings	O		
Mat t:	Type of material	R		
Mod:	Modified record	O		
Orig f:	Form of original item	O		
Prime:	Prime meridian	R		
Project:	Projection	R		
Reg:	Regularity	R		
Relief:	Relief	R		
Run T:	Running time	O		
S/L:	Successive / latest entry	O		
Ser t:	Type of serial	R		
Sp form:	Special format	R		
Srce:	Cataloguing source	R		
Tech:	Technique	O		
Titl:	Title page availability	O		
Type:	Type of record	R		
010	LC card number	R	Add if missing	Check if different
010 o	UTLAS RSN		System generated	
016	NLC number	R	Add if missing	Check if different
020	ISBN	R	Add if missing. Code only if cataloguing as a monograph. Add a separate 020 for each ISBN.	Check if different
*022	ISSN		Add if missing. Code only if cataloguing as a serial. Include hyphen.	Check if different. Add hyphen if missing.
039	\$f - initials	O	Cataloguer=s initials	Do not change

040	Cataloguing source (use National Library code)	R	Add on records new to the database - Add \$a for original records, \$d for derived records.	Do not change
055	LC Class Number	R	Add if missing, and LC classification used, and no 050 present.	
060	NLM call number	R	Add if missing, and NLM classification used	
090 a	Call number	R	Add as needed. Separate 090 for each NEOS Library required, even if call numbers are identical.	
090 b	Library ownership code	R		
100	Personal name - main entry			
110	Corporate author - main entry		Add as 710 if different	Check if different
111	Conference - main entry		Add as 711 if different	Check if different
130	Uniform title			Ignore
240	Uniform title			Ignore
245 c	Statement of responsibility		Add if missing	Upgrade if incomplete
245 a,b	Title	R		- Correct spelling - Add subtitle - Correct indicators
246	Varying title		Add as needed	- Correct spelling - Correct indicators
247	Former or variant title		Add as needed	- Correct spelling - Correct indicators
250	Edition	R	Add if missing	
260	Publisher/ imprint	R	Not required on analytics	Check if different. If different, create a separate record
300	Collation	R		Check if different
*362	Serial date/volume	R	Add if missing	Check if different
440	Series - entry made			Correct indicators
490	Series untraced or traced differently			Can change .0 to .1 and make 8XX
500	General note		Add as needed	
5XX	Other notes		Add as needed. Use specific field when possible.	
590	Local note		Add as needed. Identify your library at the beginning of the note.	Do not correct. Delete your own 590 if you delete your holdings.
600, 610, 611, 650, 651	Subject headings		Add as needed	If coded .4, leave. Otherwise, correct spelling, add subdivisions
700	Personal name - added entry		Add as needed	Check if different
710	Corporate author - added entry		Add as needed	Check if different

711	Conference - added entry		Add as needed	Check if different
730	Uniform title - added entry		Add as needed	- Correct spelling - Correct indicators
740	Alternate title		Add as needed	- Correct spelling - Correct indicators
780	Preceding entry	R	Add if missing	Check if different
785	Succeeding entry	R	Add if missing	Check if different
800, 810, 811, 830	Series - added entry		Add as needed	
856	Electronic location & access		Add as needed, but check the link first	Only edit your own.
950	See information on these fields under Minimum Record Requirements for Item Records.		Summary holdings field - no longer used.	Only edit your own.
955			Add as needed.	Only edit your own.
999			Add as needed.	Only edit your own.

3. AUTHORITY RECORDS

3.1 Rationale

As long as bibliographic records are in a common database in SIRSI, authority governed fields remain common property, in that their contents can be changed by the routine SIRSI authority maintenance programs. Authorities work in general consists of:

- 1) Maintaining consistency of authority governed headings in the database, by:
 - a) Ensuring that there is only one form of every access point in the database.
 - b) Ensuring that there are no conflicts between access points, or between references and access points or other references.
- 2) Ensuring authority records are present to:
 - a) Provide references to the users of the catalogue.
 - b) Allow verification of headings during the cataloguing process.

While some of this can be accomplished at the time of cataloguing, some must be accomplished by authorities maintenance procedures.

3.2 Centralized Authorities Maintenance

3.2.1 Centralized maintenance units

Decision (13 Sept. 1993): A proposal will be made to establish centralized authorities maintenance unit(s). This proposal is appended as Appendix II.

3.2.2 Authorities maintenance programs

Decision (13 Sept. 1993): Two very powerful authorities maintenance programs exist, Global Search and Replace, and Global Subfield Search and Replace. These programs run across the entire database. Access to the authority maintenance programs will be available only to the central maintenance unit(s).

3.3 Authorities Practice

Decision (13 Sept. 1993): All libraries with NETCAT access can create, edit, and delete both bibliographic and authority records. When creating or editing bibliographic records:

- a) Bibliographic records will be verified on an individual basis - that is, a command entered which checks to see if the authority governed headings on a bibliographic record matches headings on existent authority records.
- b) For unverified headings, the catalogue will be checked and existing forms of headings will be used if found.

- c) For unverified corporate name and series headings, check the SIRSI LCAUTH database and copy in any matching record.
- d) Headings which conflict with existing cross-references will not be used.
- e) Problems and conflicts will be reported to the central maintenance unit(s) for resolution.
- f) Create authority records for unlinked headings at the discretion of the cataloguer.
Usual cases are:
 - i) When cataloguer is aware of alternate forms of an entry, and wants to create an authority record to provide references from these alternative forms.
 - ii) When the cataloguer wants to codify the decision regarding form of entry (e.g. wishes to preserve the established form of a corporate body).
 - iii) When the cataloguer wants to record information about the access point (e.g. form of numbering for series).

3.4 Subject Thesauri

Decision (13 Sept. 1993): The subject thesauri which may be used are LCSH, MeSH, and RVM. When assigning headings from these thesauri, their practices will be followed.

Decision (21 March 1994): Nonstandard subject headings are those not included in either the LCSH, RVM, or the MeSH thesauri. They are treated as a single group by SIRSI, as are LCSH headings, MeSH headings etc. Every library which uses nonstandard headings will use them in a different way, and it is possible for this usage to conflict.

The Cataloguing Standards Group Subteam on Nonstandard Subject Headings (Val Footz, Legal Resource Centre; Lorie McArthur, Materials Resource Centre for the Visually Impaired; Ernie Howe, University of Alberta) concluded that it would be next to impossible to set standards for what could or could not be acceptable for these headings, and that the crucial point was to avoid conflicts. Current usage is well documented and consistent, and there appears to be no conflict among the way these headings are assigned between libraries. Past practice and problems with loads could add to the number of headings which appear as nonstandard in the catalogue, but these can be addressed on a case by case basis if found problematic. Libraries (other than those represented on the subteam) which intend to make use of nonstandard subject headings in the future should check with the Catalogue Standards Committee or the Authorities Unit at the University of Alberta to ensure that no conflicts of use will arise.

Some SIRSI notes - Nonstandard subject headings are identified in the Subject index with the designation (other). On bibliographic records, these headings have the second indicator coded either "4" or blank. Authority records can be constructed for these headings, and used for subsequent authority control only if the second indicator on the bibliographic heading is coded blank, not "4". The corresponding authority record must have the SH Sys: fixed field (USMARC 008/11, UTLAS LAF2 1XX\$w3) coded as "z". If this field is blank, the heading from the authority record will appear in the index, but with no designation after it. No bibliographic records will link to it, it cannot be used for authority control, and it will not show in DIRECT.

3.5 Minimum Record Requirements (Authorities)

Decision (23 Aug. 1993): This table lists the fields used in an authority record, and notes if they are required in SIRSI. All fixed fields are listed here, but only some variable fields. If a variable field is not listed here, NEOS is imposing no restrictions on the use of the field - it may be added as needed, and corrected when wrong. When possible, the following

generic comments have been used:

R (indicates if field is required or not)

R - Field required in all authority records.

Blank - Field not required.

M - Field required in authority records for personal names, corporate names, conferences, and uniform titles.

S - Field required in authority records for series.

U - Fields required in authority records for subjects.

O - Optional (fixed fields only).

Add (indicates if field can be added to an existing master record)

Add if missing - Add field if it is not already there.

Add as needed - Add field, or extra occurrences of repeatable fields, if needed by your library.

Add as ____ if different - If this field already exists, and you have differing information which you would have put in this field if doing the record from scratch, add the information in a ____ field.

Correct

Correct if wrong - Okay to correct without consultation.

Check if different - Check with the original library before changing.

Upgrade if incomplete - Okay to correct by adding more complete information

Correct indicators - Okay to correct indicators.

Correct spelling - Okay to correct spelling.

Field	Description	R	Add	Correct
Aut/Ref	Kind of record	R	Add if missing	
D/I Geo:	Direct/indirect geographic sub.	O		
Enc l:	Encoding level	R	Add if missing	
Head St:	Level of establishment	O		
HeadM:	Main / added entry	M S	Add if missing	Correct if wrong
HeadSe:	Series added entry	S	Add if missing	Correct if wrong
HeadSU:	Subject added entry	R	Add if missing	Correct if wrong
Mod:	Modified record	O		
NumS:	Numbered / unnumbered series	S	Add if missing	If different, add a 667 note.
Ref:	Reference evaluation	O		
Roman:	Romanization scheme:	O		
Rules:	Descriptive cataloguing rules	M S	Add if missing	Correct if wrong
SHSys:	Subject heading system	R	Add if missing	Correct if wrong
Srce:	Cataloguing source	M S	Add if missing	
SUSub:	Type of subject subdivision	O		

ToG:	Type of govern. agency	O		
ToS:	Type of series:	S	Add if missing	If different, add 667 note
Type:	Type of record	R	System generated	Do not change
UndiN:	Undifferentiated personal name	M		
Upd:	Record update in process	O		
022	ISSN	S	Add if missing. Include hyphen.	Correct if wrong. Add hyphen if missing.
039	\$f - initials	O	Used by U of A only	Do not change
040	Cataloguing source (use National Library code)		Add on records new to the database - Add \$a for original records, \$d for derived records.	
053		S	Add if series treated as analysed set/series	
1XX	Main heading	R		
4XX	"See" reference		Add as required	
5XX	"See also" reference		Add as required	
642	Series numbering example	S	Add if applicable. Add National Library code in \$5 for your institution.	
643	Series place/publisher	S	Add if applicable	
644	Series analysis practice	S	Add if applicable. Add National Library code in \$5 for your institution.	
645	Series tracing practice	S	Add if applicable. Add National Library code in \$5 for your institution.	
646	Series classification practice	S	Add if applicable. Add National Library code in \$5 for your institution.	
667	General note (doesn't display)		Add as required. Add National Library code in \$5 for your institution.	
670	Source data found		Add as required	

4. HOLDINGS RECORDS

4.1 Serial Holdings (includes periodicals, newspapers, annuals, etc

4.1.1 Summary holdings

Decision (27 Sept. 1993): Every library with holdings of a serial should create a summary holdings statement for its holdings. The format is based on the NISO standard for Holdings Statements.

Decision (Feb. 1995) The summary holdings statement should be recorded in the serials module summary holdings record, not in the 950 fields of the bibliographic records as was the earlier practice. 950 fields no longer display in the PAC (since September 1995).

4.1.2 Item records

Decision (27 Sept. 1993): Individual item records should be created for circulating items or a dummy item record must be created to indicate the library has holdings. (See Dummy

records section below.)

4.1.3 Check-in records

Decision (April 1994): Captions used on serial check-in records created in the serials module should be taken from the U of A's Abbreviations for Volume Designation (Cataloguing Procedure no. 52).

4.2 Monograph Holdings

Decision (27 Sept. 1993): Monographs do not have summary holdings. Item records should be created for circulating items, or a dummy item record should be created. (For information regarding U of A practice, see Cataloguing Procedure no. 55).

4.3 Item Records

4.3.1 Level of standardization

Decision (27 Sept. 1993) While standardization is desirable, it is not required in item records. To aid in standardization, the U of A will distribute its list of volume designations to the NEOS libraries (abbreviations from AACR2 are used, supplemented by those listed in Cataloguing Procedure no. 52), but there is no compulsion to use these designations.

4.3.2 Dummy records

Decision (27 Sept. 1993): A "dummy" item record is an item record created to indicate that the library has some holdings of what a bibliographic record describes, but which does not indicate what these holdings are. These dummy records should be denoted by an appropriate

character string in the volume field in the item record. Libraries should report to the Standards Committee what character strings they are using in this field. Current list:

UNBOUND SHELVED BY TITLE
NON RELIEINTERNET ACCESS
CD-ROM
EJOURNAL

4.3.3 Volume/copy information

With Release 2.5 of the SIRSI software (Summer 1996) the length of the enumeration field in the item record was expanded from 10 characters to 40 characters (including spaces and punctuation). This change eliminated the need to place volume / copy data in the call number field or to create 999 tags for this data. Former practice is summarized below.

- 1) When the call number plus volume/copy data is less than or equal to 39 characters, insert an asterisk (*) after the call number in the call number field, and add the copy/volume data. Leave the volume field blank. Examples:
Call number: LB 889 W925*v.27-28 1982-1983
Call number: PE 1127 A4 B199 T673 1977*tch.gd. c.1
- 2) When the call number plus volume/copy data is more than 39 characters, add the bar code number from the item record to a 999\$a subfield in the bibliographic record, and the copy/volume data to subfield \$v of the same 999 field. Leave the volume field in the item record blank. Place an asterisk (*) at the end of the call number in the item record.

Examples:

Call number: LB 889 W925*

999 \$a0162000000024\$v.35-36 1989-1990 & index v.27-36

Call number: PE 1127 A4 B199 T673 1977*

999 \$a0162000000016\$vlev.1 tch.gd. c.1

4.3.4. Guidelines For Using The Item Record Note Field

Decision: March 2, 1996 - The item note field may be used according to the following guidelines.

The item level note field should be used with caution and restraint. The U of A uses this field to indicate B.A.R.D. box numbers and it is critical that U of A notes not be accidentally damaged. It is not possible to edit another system's item records in NETCAT, but it IS possible in CIRCLE. As a precaution DO NOT edit item notes in CIRCLE. Make sure your circulation staff are aware of this.

B.A.R.D. box numbers are:

C eight characters long

C one of the following formats where Aa@ is an alphabetic character and An@ is a numeric character:

annnnnnn

annnnnna

aannnnnn

aannnnna

Minor deviations from the above format cause the items to be listed on a report as possible box numbers that may have been miskeyed.

Normal (non-B.A.R.D.) notes are NOT 8 characters long (not counting spaces) AND all alphabetic characters.

Therefore, in order not to cause problems for the U of A in distinguishing B.A.R.D. box numbers, if you want to use the item level note field you must ensure that your note is more than 8 characters or all alphabetic.

Item notes do not appear in the PAC and are not searchable. If the information you wish to include needs to appear in the PAC or be searchable, you must use a 590 note in the bibliographic record.

Item notes appear only in CIRCLE when items are charged out or discharged. They should only be used for things the circulation staff need to know. For example:

C computer disk (or other accompanying material) in back pocket of book so the circ. staff know to check to see that the disk came back with the book.

C damage notes so circulation staff know that the item wasn't damaged by the patron who has just returned it

*****WARNING*****

You CANNOT add a note after the B.A.R.D. box number. If you have a note on an item that note will be lost if the item ever goes to B.A.R.D.

4.4 Minimum Record Requirements (Items)

Decision (20 Sept. 93): Each library must have at least one item record for each bibliographic record that it holds, to indicate ownership. If holdings are deleted, delete your 090, and update or delete 590, 950, 955, 999. If no other library has holdings, the bibliographic record must be deleted.

Decision (23 Aug. 1993): This table lists the fields used in an item record, and notes if they are required in SIRSI (R indicates required, blank indicates not required). Item records

belong to the originating library.

Field	R	Comments
Bib record - 950\$a - General holdings notes	R	DO NOT USE - present in old records Serial summary holdings. Required for serials; not used for other formats. Field exists in bibliographic record, not item record.
Bib record - 950\$b, etc. - other holdings data	O	DO NOT USE - present in old records Field exists in bibliographic record, not item record
Bib record - 955 - Item record data	O	Field exists in bibliographic record, not item record. Sometimes used for item record data when encoded originally in bib record.
Bib record - 999 - Overflow item record data	O	No longer used. Field exists in bibliographic record, not item record. Used when information in call number and/or volume field overflows available space on item record.
Call number	R	- 40 character limit - If no call number, use "Shelved by title", or other appropriate phrase - For LC call numbers - spaces between elements
Circulation Status	R	
Fine exempt	O	
Item notes	O	Libraries may use for item specific information that needs to appear to circulation staff. This note does not appear in the PAC. See 2.3.4 for more information.
Item control number	R	Bar code number
Loan period	R	Usually system supplied
Local request	O	
Material code	R	
Owning agency	R	
Permanent location	R	
Price	O	
Renewal limit	R	
Request exempt	O	
Shelf location	O	
Statistical category 1	O	
Statistical category 2	O	
Volume	O	- 40 character limit (but only 8 characters on SIRSI spine label) -the order of volume and copy information is up to each library to decide -Abbreviations for volume designations should be taken from the list provided (U of A=s Cataloguing Procedures no. 52)

4.5 Deleting/Withdrawing/Transferring Item Records (Rev: January 5, 1996)

4.5.1 Item Delete

Deletes item records immediately. Any library can delete their own item records, but not those of any other system.

Procedure:

! call up the item record in Netcat

! type **d** at the >> prompt

! type **y** in answer to the "Do you really want to delete this record" question, and the record is gone.

! if you are deleting the last item record attached to a bibliographic record (check the holdings in Netcat) you **MUST** delete the bibliographic record too. This is not done automatically, nor are there any logs or printouts to go back to. If, after ensuring that no item records remain, the system still tells you there are holdings attached and won't delete the bibliographic record, check for summary holdings records. They must also be deleted before the bibliographic record can be deleted.

! if you are deleting your library's last item record (check the holdings in Netcat) but other libraries still have holdings on the record you should also delete your 090 and 040 and any other local fields you may have on the record as well as any summary holdings records you may have.

When to use:

! you have accidentally added an item record to the wrong bibliographic record and you need to reattach it to the correct record immediately.

! you need to move only some of the item records on a bibliographic record to another bibliographic record and so you can't use item transfer

When NOT to use:

! when you are not going to be adding the item record to another bibliographic record (mark the item withdrawn instead)

! when circulation statistics or system requests may be lost (again, mark it withdrawn and wait for the monthly purge. This is especially important for libraries using the circulation module)

CAUTION:

! once an item record has been deleted it cannot be retrieved.

4.5.2 Item Withdrawal

Changes item record status to "withdrawn" (shows as "lost" in the OPAC module). A monthly program is run to purge item records marked withdrawn from the database.

How to:

! for a small number of records or if you don't have the barcodes, call the item up in Netcat and change the Status field to 64.

! for large numbers of records with barcodes go into the Circle program, select Circulation Services off the menu. Type **wi** (for "withdraw item") at the prompt and then start wandering in the barcodes. When you are done, press **F10** until you get back to the main menu and exit Circle.

! If you change your mind you can revoke the withdrawn status by changing the status field in the item record back to 0 (until the monthly purge is run).

! If you are deleting the last item record your library has attached to a bibliographic record you should also delete your 090 and any other local fields. When the logs from the withdrawn item purge are available you must go through them and delete any bibliographic records that no longer have any holdings (yes in last two columns of logs).

When to:

! you are discarding the book and will not be adding the item record to another bibliographic record.

! you need to retain circulation or other information attached to the item record for statistical purposes.

When not to:

! you are in a hurry to add the item record to another bibliographic record and do not want to wait for the monthly withdrawn item purge.

CAUTION:

! Once the monthly purge is run the item is gone.

4.5.3 Item Transfer

Transfers all item, order and summary holdings records attached to a bibliographic record to another bibliographic record. Because of the potential for damage to the database, security clearance for this procedure is restricted. Requests for transfers should be made to Sharon Marshall (sharon.marshall@ualberta.ca) at the U of A.

How to:

! Follow the procedures set out in section 2.6 of NEOS CATALOGUING STANDARDS GROUP DOCUMENT 1.

When to:

! When ALL the item and other holdings (summary holdings, order records) on a given bibliographic record need to be transferred (NB. if some of those holdings belong to other libraries you will need their permission to have their items transferred)

When not to:

! When some of the item records have to remain on the old record (mark withdrawn or use item delete)

CAUTION:

! VERIFY the RCN of the records carefully and make sure the edition, publisher and dates are the same - once the transfer is made and the former bibliographic record deleted you can't reverse the process. Important information can be lost.

Appendix I: Decisions Affecting Particular Libraries**Faculté St. Jean**

Faculté St. Jean records should be considered unique records, although they will not have the designation UNIQUE. The language of cataloguing for these records is French as opposed to English (although there might be some English language copy which was not completely edited).

These records will have French language subject headings, and other access points will generally be in French. They can usually be identified by one of the following:

- a) Language of cataloguing is French.
- b) Language of cataloguing is English, but subject headings are French.
- c) 040 \$a AEUSJ.
- d) 010\$o begins with 21, 666 or 667.

Appendix II: Proposal for Centralized Authorities Maintenance on SIRSI

Recommendation: The Standards Committee recommends that the University of Alberta extend its responsibility for the authorities maintenance it does on the U of A database to the larger NEOS database.

Authorities maintenance in the MARION database lends itself to centralized handling for the following reasons:

- 1) Authority records and authority governed headings are not the property of individual libraries, but are the communal property of the contributing libraries. Tools such as the new headings lists do not and could not identify which headings belong to which library. Consequently, it is not possible to break down which authority work "belongs" to which library.
- 2) Central coordination would also bring about the most effective authority maintenance. It would ensure resident expertise in the authority record structure, the syndetic structure of the database, the work needed to do authorities maintenance, and the use of the SIRSI authorities maintenance programs. As the central point of doing authority work is to provide a consistent database, consistent authorities practice is vital. Centralized authorities processing help ensure this consistency.
- 3) Centralization would also ensure the availability of the requisite resources for authorities work, which might not be available in all NEOS libraries - for example, access to non-LC source authority records, documentation, LC publications, etc. Centralized staff could more easily remain cognisant of the particular requirements of various types of records and authority related problems - for example, the parallel maintenance of English and French language authority records, and the particularities of local use subject headings in the various libraries.

The following tasks would be centralized:

- 1) Searching for and copying into the MARION database required source authority records as identified on the new headings lists. This would supplement, and not preclude the creation or downloading of authority records by the individual libraries.
- 2) Resolution of conflicts between authority records, and/or authority governed headings on bibliographic records.
- 3) Updating authority governed headings on bibliographic records in accordance with changes made to authority records. This involves the use of the Global Search and Replace program, and the Global Subfield Search and Replace Program.
- 4) Updating resident copies of source authority records (e.g. LC subject authority records based on the LC weekly lists).
- 5) Consult with the NEOS libraries regarding priorities, resolution of conflicts, etc.

The NEOS libraries presently generate approximately 1/3 as many new bibliographic records as the U of A does. With the master record concept, this number will decrease. It is anticipated that covering the complete NEOS database might increase the authorities maintenance workload of the U of A by 10 - 20 %. The U of A does not maintain MeSH subject headings, and a mechanism for maintaining these headings within the NEOS consortium will have to be established.

Appendix III: Additional Information for Identifying the Source of Bibliographic Records
Error! Bookmark not defined.

Last updated: 6 January 1995

Identifying the source of imported bibliographic records in the database is not always easy. Bulk database loads may contribute records which don't always have NL codes in the 090\$b, and 040s may be absent or misleading. Check for holdings in DIRECT or INFOGATE. If no libraries have holdings attached, here are some other clues you can use to identify the original contributor of a bibliographic record.

1. Original record number (010 \$o)

U of A: AEU rsn ranges: 39-000-000 to 40-999-999
72-025-001 to 72-731-248
AEUSJ rsn ranges: 66-690-000 to 66-715-000
122-860-001 to 122-900-000
215-926-001 to 216-126-000

Alberta Agriculture, Environmental Protection and Research Council (formerly the SCITECH Committee):

numbers with ST prefix (eg. ST590021)

Alberta Environmental Protection:

rsn range 91-600-001 to 91-610-166

Alberta Environmental Centre

rsn range 740-360-001 to 74-400-000

2. 090 \$b codes

U of A: AR, BR, BW, CC, CE, CF, CG, CH, CI, CJ, CL, CM, CN, CO, CR, CS, CT, CV, DL, DM, DO, DR, EA, ED, EE, EM, EP, ER, ES, ET, EV, HA, HE, HR, HT, HW, LB, LC, LE, LF, LG, LH, LI, LL, LM, LP, LR, LS, LT, LV, MA, MC, MD, MF, ML, MM, MO, MR, MS, MT, MU, MV, MX, NM, NA, NB, NC, ND, NE, NF, NG, NI, NN, NO, NS, NV, NX, PO, PP, PQ, PR, PS, PT, RF, SA, SB, SC, SD, SE, SO, SP, SQ, SR, ST, SU, UE, UG, UR

FSJ: AV, CS, DG, FSJ, MI, PER, REF

Alberta Environmental Centre:

LA (now ANNEX), M (now MAIN)

3. 040 \$a

Alberta Environmental Centre: AEN

University of Alberta: ALB

Appendix IV: Cataloguing Internet Resources The Standards Committee has decided (8 December 1997) to adopt the policy and procedures developed by the University of Alberta for cataloguing Internet resources.

Cataloguing Internet Resources (draft - 10 Nov. 1997)

1. Available only on Internet
 1. Monographs
 - C Catalogue (following AACR2 and Nancy Olson OCLC manual)
 - C For call number use AInternet Access@
 - C Make item record using location UA Internet Access (010701) and material code Electronic (087) (other NEOS libraries should use their own locations and material codes)
 2. Serials
 - C Catalogue (following AACR2 and CONSER manual) (note: Conser prefers a Description based on note if the online version does not begin with the first issue of the print version. We prefer a 362).
 - C For call number use AInternet Access@
 - C Make summary holdings using location UA Internet Access (010701) (other NEOS libraries should use their own locations and material codes)
 4. Locally-printed copy
 - C Catalogue and make holdings as in 1. Or 2. above
 - C Make a local note (590) saying we have printed copy, eg. UA copy locally printed
 - C Assign a regular call number in addition to AInternet Access@
 - C Also make holdings records as usual for the printed copy
 5. Restrictions on access
 - C In all cases, if there are restrictions on access, make a 506 note, eg. Restrictions on access: Access is limited to Internet addresses within the domain of institutions which have a subscription to the Internet version.
2. Available in print and Internet versions
 1. If neither the U of A or another NEOS library has the print version, catalogue as in A. above
 2. If we do have the print version and both versions have basically the same content:
 - C Catalogue the print version. Add a 530 and 856 for the Internet version. If there are restrictions on access, add a note about them to the 530, eg. 530 Some issues available on the Internet. Access is limited to Internet addresses within the domain of institutions which have a subscription to the print version.
 - C Make holdings records as usual for the print version. Also make holdings as A. above for the Internet version
 3. If we do have the print version but the print and Internet versions differ in content:
 - C Make separate catalogue records for each version
 - C Catalogue the Internet version as in A. above
3. Print publication has related or supplementary information on the Internet
 - C Add an explanatory note and 856 to the record for the print version
 - C Do not make any holdings records for the Internet version

U of A Policy: What Internet Resources to Include in the Marion Database

The Collection Policy for Electronic Resources, adopted by CDC in February 1997, outlines the general and specific criteria for selection on INTERNET resources to be included in the MARION database. This statement is intended to supplement that policy and provides guidelines for inclusion/exclusion in MARION.

Inclusion in the MARION database implies a commitment of Bibliographic Services staff time and resources to maintaining bibliographic records and doing subject analysis on the material. At this point it is felt that a conservative approach to inclusion will make best use of available resources. None of the exclusions from MARION are intended to preclude any library from providing a link to these types of sites and resources from their own home pages.

CATALOGUE IN MARION

- C any INTERNET resources we pay for (e.g. titles in Project MUSE, Journal of Biological Chemistry)
- C full-text electronic journals or monographs that meet the selection criteria whether they also have a print edition or are only available electronically (e.g. Canadian government documents no longer available in print format, Postmodern Culture [an electronic only journal])

DO NOT CATALOGUE IN MARION:

- C personal Web pages
- C commercial Web pages intended for marketing purposes (e.g. publishers= catalogues, pharmaceutical catalogues)
- C individual, non-peer reviewed articles, monographs etc.
- C games
- C tables of contents or abstracts of single journals to which we don't subscribe (links from bib. Record for full-text journal in print or electronic form to these toc or abstracts may be quite appropriate)
- C discussion lists
- C sites which collate lists of journals or monographs (e.g. CIC-EJP). Catalogue individual titles, not the site
- C organization/association home pages including governments, universities (again, catalogue substantial publications of the organization, but not the organization=s home page)
- C on-line services (financial services, airline bookings)
- C library catalogues
- C search engines or browsers
- C software

CATALOGUING

The cataloguing community continues to discuss single versus multiple records for different versions of a work. CONSER has recently released guidelines for how to handle single records for different versions - even though AACR2 would dictate separate bibliographic records. What follows are suggested criteria for creating single records for different versions (as we have done at U of A for newspapers acquired in both print and microfilm format)

SINGLE RECORD VS MULTIPLE RECORDS:

- C one bibliographic record where the electronic and print versions are basically the same or where the electronic version serves to update or provide current issue access in advance of the printed version. Lack of illustrations, advertising and graphics (tables, charts, etc) will not normally be considered to constitute a substantial difference nor will the addition of news, ads, av, sound or other minor augmentations in the online version.
- C one bibliographic record where the electronic version is equal to or better than print (timeliness, search-ability, etc.)
- C the word ON-LINE or Electronic in the title, when substantial content remains the same, will not require a separate entry in the catalogue but will require an added entry for the variant title.