

# Standards Document No. 1

## Cataloguing Standards

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## NEOS Shared Database General Principles

The NEOS Technical Services Committee agrees to these principles for the shared creation and use of the NEOS 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)
  - MARC21 formats
  - LC subject headings (LCSH), Repertoire des vedettes-matieres (RVM), and Medical Subject Headings (MeSH).
3. Use of LC bibliographic and authority records when available, 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 system 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-existing 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. NEOS member library staff will provide training in integrated library system (ILS) functions. 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 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 cataloguing training for NEOS members.~~
- ~~e) — Agreement on and distribution of NEOS-wide cataloguing procedures.~~

Decision (April 2009):

TECHNICAL SERVICES COMMITTEE

TERMS OF REFERENCE

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April 2009

**Mandate:**

The Technical Services Committee is responsible for recommending policies and procedures to ensure the integrity of the NEOS Catalogue in alignment with the NEOS Vision and Mission.

**Reporting Structure:**

This Committee reports to the Executive through the appointed Executive Liaison. The Committee Chair provides a written report to each meeting of Directors.

**Key Duties and Responsibilities:**

1. Review NEOS policies and working documents related to acquisitions, cataloguing and serials within NEOS to ensure consistency. Recommend changes to Executive where needed.
2. Provide a forum for discussion and resolution of problems arising from acquisitions, cataloguing and serials within NEOS. Amend procedures as required to resolve problems.
3. Ensure that NEOS Member Libraries are aware of NEOS policies and procedures related to acquisitions, cataloguing and serials within NEOS. Refer compliance issues to the Executive Committee through the appointed Executive Liaison.
4. Provide training for staff of Member Libraries for all processes related to acquisitions, cataloguing and serials within NEOS.
5. Circulate and co-ordinate software improvement requests for BITS (Bibliographic and Information Technology Services).
6. Recommend a minimum of one mini-conference session to the Continuing Education Committee each year.

**Composition and Appointments:**

The committee consists of:

- One Executive member with assigned liaison responsibility (ex-officio).
- One member appointed by each NEOS Member Library
- NEOS Manager (ex-officio)
- One representative of U of A Bibliographic and Information Technology Services (BITS) (ex officio)

The chair is elected from within the Committee for a two year renewable term.

## **1.2 Reporting of Holdings**

The U of A currently reports the NEOS holdings as follows:

- 1) OCLC – holdings for NEOS Libraries that are OCLC members are reported daily.

IN\_PROCESS, ON\_THE\_FLY, ON-ORDER, RESERVES, MUSIC\_RES, ILL, ILL\_ and UNKNOWN records are not reported. As well, records for ECCO, MOML, EEBO, GERRITSEN and SAFARI collections are proprietary and thus not reported.

- 2) LAC – all NEOS records were sent in 2009. Daily reporting will resume when outstanding issues with serial holdings and NO\_LOAN items are resolved.

~~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 Templates

~~Decision (17 Mar. 2004): Templates for the creation of new bibliographic and authority records are maintained centrally for the use of all members. Requests for changes and proposals for new templates must be approved by the Committee~~

## 2. BIBLIOGRAPHIC RECORDS

### 2.1 Bulk Loaded 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 MARC21, unless specified otherwise in this document. The exceptions specified in this document are additional fields or subfields used for local reasons (e.g. 010 |o, 949, 950). Display constants mentioned in MARC21 (e.g. Contents: for field 505) should not be included.

### 2.3 Master Records

#### 2.3.1 Master Record Concept

Decision (June 28, 1993): When a title is held by more than one library, all libraries share the same bibliographic record, and each appends its holdings to the record. NEOS members will adopt this master record concept, with the stipulation that if a library cannot use a master record, it may create a unique record. For guidelines on elimination of any multiple records that do occur, see section 2.6 below.

#### 2.3.2 Importing Records

Records for current cataloguing may be imported into the NEOS database. Before individually importing records, libraries are responsible for checking the NEOS catalogue to avoid multiple records for the same publication.

### **2.3.3 Exceptions to the Master Record Concept**

Decision (June 28, 1993, rev. Feb 18, 2004): When a library wishes to deviate from the master record concept, it must discuss the matter with the Technical Services 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. Libraries that have Committee approval to add duplicate records (and the reasons for the duplication) are listed in Appendix 1.

### **2.3.4 Single vs. Multiple Record Treatment of Sets and Series**

Decision (20 Sept. 93): Some libraries may 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 which library first created or imported a bibliographic record. 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 DRA 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 after August 1993 and before 2003 may 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 as modified by the table in 2.11. 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**

(Decision 9 February 1998): brief records may be created to circulate equipment. 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 shadowed. 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:**

Control **Bibliographic** MARC Holdings Call Number/Item Bound-with

Shadow title

Rec_Type	r	Bib_Lvl	m	TypeCtrl		Enc_Lvl	
Desc	a	Entrd	980225	Dat_Tp	s	Date1	
Date2		Ctry		Time		Audience	
Undef		GovtPub		Form	0	Type_Mat	0
Tech		Lang	eng	Mod_Rec		Source	d

..	Tag	Ind.	Contents
	001		2043197
	035		(Sirsi) AMV-0190
	040		AEC beng
	090		EQUIPMENT bAEAG
	090		ACAL EQUIPMENT bACAL
	245	10	Slide projector.
	590		ACAL: #1 Kodak Carousel ; #2 Kodak Carousel 4600
	596		AGL_NCC UAAUG

**2.4.3 Membership Order Records**

Decision (9 February 1998): brief records may be created for the purpose of using the 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 shadowed and cannot be unshadowed. 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 Membership. 245 |b will contain the name of the organization. The fixed fields and 260 will not include dates, and all local information (e.g. 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 which 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:**

Rec_Type	a	Bib_Lvl	s	TypeCtrl		Enc_Lvl	o
Desc		Entrd	970926	Dat_Tp		Date1	
Date2		Ctry	vau	Frequ		Regulr	
Undef	4	Ser_Type	p	Form_Orig		Form	
EntWk		Cont		GovtPub		ConfPub	
Alphabt		SLI_Ent	0	Lang	eng	Mod_Rec	

  

Tag	Ind.	Contents
001		2714148
035		ocn463776964 z(Sirsi) AMR-0705
040		AEE beng
090		AEE Membership bAEE
110	2	National Business Education Association.
245	10	Membership : bNational Business Education Association.
260		Reston, VA : bNational Business Education Association.
590		AB Education*Membership will entitle the library to receive: Business education Forum and Keying in newsletter.
596		UATECHSERV

## 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 2.3.3 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 (e.g. 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 in doubt, 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 catalogue without permission from all libraries with holdings on the record.

Decision (13 Sept.1993, rev. June 1999, rev. Mar. 17, 2004): When importing LC or AMICUS records, do not delete fields.

**EXCEPTION:** Delete French subject headings (6xx with second indicator 6) on all except Bibliothèque St. Jean (BSJ) records. The U of A will delete English headings on BSJ records. When importing records from other libraries (e.g. U of T, Melvyl, or UBC), all local fields containing information specific to those libraries (010 |o, 035, 090, 590, etc.) must be deleted.

Decision (May 14, 2002): 263 (projected publication date) may also be deleted from imported records.

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, rev. Feb 18, 2004): 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 change the location to DISCARD 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. MARC (summary) holdings should also be deleted if applicable. More information is available in section 4.5.

### **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 BSJ and other 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 alert cataloguing 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 what 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, i.e. 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:

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). Please remember that for serials the MARC holdings have to be recreated on the master record because they won't be transferred. Transfer holdings as instructed in the Cataloguing Training Manual or send a message to Sharon Marshall ([sharon.marshall@ualberta.ca](mailto:sharon.marshall@ualberta.ca)) or Jane Starr ([jane.starr@gov.ab.ca](mailto:jane.starr@gov.ab.ca)) requesting that the transfer be made.

#### **EXAMPLE 1:**

You get two (or more) hits when searching. Look at all the records and eliminate the BSJ or unique ones. If there are still duplicates, choose the fullest and add your holdings to it. Then notify the library that originated the other record that it is a duplicate. They are responsible for transferring their own holdings to the master record.

#### **EXAMPLE 2:**

You discover that one of your records duplicates that of another library. Add your 090, etc. to the other record and transfer the volume/copy record(s).

#### **EXAMPLE 3:**

A reference staff member advises you that there are multiple records for specific title. 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 is responsible for transferring its own holdings.

#### **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 to see whom 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. NB: if using LC copy the holdings can just be transferred, but the other library must be notified because of recreating the MARC holdings.
3. The new serial record is added to the database. All the libraries add 090s and

other unique fields from the old records and transfer their holdings (as a courtesy the recataloguing library can do this for everyone).

4. MARC (summary) holdings records must be recreated on the new record, as they cannot be transferred.

## 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): The first library to notice them will do title changes.

### 2.8.2 Different Formats

Decision (27 Sept. 1993): As a general policy, serial holdings in different formats (e.g. print, micro or electronic) 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 Internet Resources

Decision (8 December 1997, rev. Feb 18, 2004): NEOS will adopt the policy and procedures developed by the University of Alberta for cataloguing Internet resources (see Document 11 for more details)

## 2.10 Shadowed Records

Shadowing prevents holdings from being visible in the public catalogue. In Workflows, all holdings are visible. Records may be shadowed at copy, volume, or title level. Some locations are completely shadowed – holdings assigned to these locations need not be shadowed. The shadowed locations are: DISCARD, LOST, LOST-PAID, MISSING, UNKNOWN, CANCELLED\_ORDER, and IN\_PROCESS.

Decision (18 February 2004): Shadowing should always be done at the lowest level. If

the only holdings on a bib record are shadowed, then the record will not be displayed in the PAC, so it is not necessary to shadow at the title level, and if another library adds holdings that they do not wish to shadow, the library whose holdings are shadowed is not affected. The only records that should be shadowed at the title level are order records for monographic series where the individual items are catalogued separately (use 090 |a Monographic Series), or records created for the purpose of paying for association memberships.

## 2.11 Minimum Record Requirements (Bibliographic)

Decision (23 Aug. 1993, rev. Feb 18, 2004): This table lists the fields used in a bibliographic record and indicates if they are required. 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 1:	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
016	NLC number	R	Add if missing	Check if different
020	ISBN	R	Add if missing. Code only if cataloguing as a monograph.	Check if different

			Add a separate 020 for each ISBN.	
*022	ISSN		Add if missing. Code only if cataloguing as a serial. Include hyphen.	Check if different. Add hyphen if missing.
039 f	Cataloguer's initials		Not required for new cataloguing (decision 2004).	
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.

### 3. AUTHORITY RECORDS

#### 3.1 Rationale

As long as bibliographic records are in a common database, authority governed fields remain common property, in that the routine authority maintenance programs can change their contents. 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, rev. Feb 18, 2004): 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 can create, edit, and delete both bibliographic and authority records. When creating or editing bibliographic records:

- a) Bibliographic records will be checked against the authority file 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 unauthorized headings, the catalogue will be checked and existing forms of headings will be used if found.
- c) For unauthorized corporate name and series headings, check the LCAUTH database and copy in any matching record.
- d) Headings that 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 that may be used are LCSH, MeSH, and RVM. When assigning headings from these thesauri, their practices will be followed.

Decision (21 March 1994, rev. Feb 18, 2004): Nonstandard subject headings are those not included in the LCSH, RVM, or the MeSH thesauri. Every library that 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 would or would 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) that 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.

### 3.5 Minimum Record Requirements (Authorities)

Decision (23 Aug. 1993): This table lists the fields used in an authority record. 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 that 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
Src:	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	Cataloguer's initials		Not required for new cataloguing (decision 2004).	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). Decision (2003) 950 fields were not migrated from DRA to SIRSI.

(2003) In SIRSI, summary holdings for serials are maintained in MARC holdings records. NEOS will use only those MARC holdings fields that are needed to record textual (summary) holdings. NEOS MARC holdings records have a location field (852), a textual holdings field (866), and fixed fields. Each library that has holdings has its own MARC holdings record.

Textual holdings in SIRSI are formatted the same as free-text summary holdings. (See NEOS Catalogue Standards Document no.5)

For those libraries that used DRA serials check-in, the pattern-defined summary holdings were migrated to 899 fields in the MARC holdings. The 899s do not display in iLink. They were migrated as an archival record of DRA data for staff use. They should not be modified but they may be deleted when the library has no further use for them.

SIRSI allows you to link MARC holdings records to serial control records. NEOS has decided not to use the linking feature at this time.

#### 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. An appropriate character string in the volume field in the item record should identify these dummy records. Libraries should report to the Standards Committee what character strings they are using in this field. Current list:

UNBOUND	SHELVED BY TITLE	UNCLASSIFIED
NON RELIE	INTERNET ACCESS	UNCLASS
CD-ROM	EJOURNAL	Library has holdings

#### 4.3.3 Volume/copy information

With Release 2.5 of the DRA 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

(2003) In SIRSI there are a total of 40 character spaces available for call number and enumeration data in the call number field of the copy record. In the migration from DRA, SIRSI created 597 fields for call number records over 40 characters and put the overflow data into the comment field of the copy record. Do not update or add 597 fields. Continue to use the NOTE comment field in the copy record for the overflow information when call numbers are more than 40 characters. (In the future, with agreement from NEOS libraries, we may use a SIRSI global change program to delete all 597 fields

currently in our records.)

#### **4.3.4. Guidelines For Using The Item Record Note Field**

CIRCNOTE, PUBLIC and STAFF notes are available in each copy record. CIRCNOTE is used for comments that will display when an item is charged, PUBLIC is used for comments that display in the public web catalogue, and STAFF is used for comments that do not display in the public web catalogue.

#### **4.4 Minimum Record Requirements (Items)**

Decision (20 Sept. 93, Rev. Mar. 14, 2004): 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 (optional), and update or delete 590, 999. If no other library has holdings, the bibliographic record will be deleted when the last vol/copy record is deleted.

#### **4.5 Deleting/Withdrawing/Transferring Item Records**

##### **CAUTION:**

Once an item record has been deleted it cannot be retrieved.

(2003) In SIRSI items being removed from the database should have the location changed to DISCARD. A SIRSI report that removes these copies and the associated bibliographic record if there are no other copies will be run by ITS regularly.

(2003) In SIRSI it is possible to

- Transfer an item to an existing call number
- Transfer a call number and all of its associated items to a different, existing catalogue record
- Transfer all call numbers from an existing catalogue record to a different existing catalogue record

This should be done with caution.

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

Bibliothèque St. Jean records should be considered unique records. 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 and/or 090|b is AEUSJ
- d) 010|o begins with 21, 666 or 667.

**Bulk Loaded E-book Records**

UofA bulk loads records for e-book collections (free and purchased) if good quality records are available. NEOS libraries are consulted so their holdings can be added if they have access to the purchased collections or find the free resources relevant to their collections. See Internet Resources – Monographs for details.

**Appendix II: Proposal for Centralized Authorities Maintenance (1993?)**

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 DRA 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.

Addendum (1996): a cataloguer from one of the medical libraries maintains the MeSH headings.

**Appendix III: Additional Information for Identifying the Source of Bibliographic Records**

Last updated: 6 January 1995, rev. Feb 18, 2004

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 the catalogue. 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

The SCITECH group: Alberta Gov't Library Neil Crawford Centre (formerly Alberta Agriculture), Alberta Gov't Library Great West Life (formerly Alberta Environmental Protection) and the Alberta Research Council:

    numbers with ST prefix (e.g. 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

Alberta Innovates: AER, AVEE

## APPENDIX IV: NEOS BARCODE ASSIGNMENTS

CURRENT RANGES	SPECIFIC (including format)	LIBRARY
1600, 1610, 1620  OneCard patron - 101 110 111 112 189	<b>Code 39 format</b>  Range: Item: 01600 first 30,000 numbers used for St. Joe's 01610 ?? 01620 current cataloguing Patron: 11620 U of A generated patron barcodes 1000, 1100, 1200, 1300, 1400, 1500, 1600, 1700, 1800, 1900 (used on the old EPIC system, but may still exist) OneCards	University of Alberta  Onecard (code 39) Extension = 189 Students = 101 Staff = 111 Alumni = 112
1630  16301  16302  1631  16304	Item: 016300 Spires load - AB Agr. & ARC  Item: 016301 On going Cataloguing Patron: 116301  Item: 016302 On going Cataloguing Patron: 116302  Item: 01631 On going cataloguing & load Patron: 11631  Item: 016304 On going Cataloguing Patron: 116304	SCITECH Group:  AB Agriculture  AB Research Council  ARC Vegreville (was separate system )  AB Environment
1632	Item: 016320 Load 016321 On going Cataloguing Patron: 11632	Alberta Resource Dvelopment (formerly Energy)
1633	Item: 016330 Load 016331 On going Cataloguing Patron: 116330	Alberta Learning
1634	Item: Codabar format - CLSI sub-format 322.... Patron: 11634	Alberta Health & Wellness
1635	Item: 016351 On going Cataloguing Patron: 116351	Canada Dept. of Justice
1636	Item: Codabar format - CLSI sub-format 3012. Patron: 116360; LU: 140xxxxxxxx	Red Deer
1637 16371  16372  16373  16374	Item: 016371 Patron: 116371  Item: 016372 (**rebarcoded collection 1995) Patron: 116372  Item: 016373 Patron: 116373  Item: 016374 Patron: 116374	Hospitals:  Glenrose Rehabilitation Hospital  Royal Alexandria Hospital  Covenant Hospitals  Cross Cancer Hospital
1638	Item: 01638000 Load 01638005 On going Cataloguing	Economic Development and Tourism

CURRENT RANGES	SPECIFIC (including format)	LIBRARY
	Patron: 116380	
1639 16392, 16393, LU: 152  16394, 16395, LU: 151  16396, 16397, LU: 153  16390, 16391, LU: 154	Item: Codabar format - Ulisys sub-format 1191. Patron: 116392 LU: 152000000000x - 152999999999x (LU now part of UA's LoadUsers)  Item: Codabar format - CLSI sub-format 333.... Patron: 116394 LU: 151000000000x - 151999999999x  Item: Codabar format - CLSI -sub-format 3197900000001x - 3197900060000x - cataloguing 3197900060001x - whatever (Load) Patron: 116396  Item: 16390 On going Cataloguing Patron: 116390 LU: 154 (not implemented)	Colleges:  Augustana University College (to UA Aug 2004)  Concordia University College  King's University College  Taylor University College
no DRA assigned range, LU: 155	Item: Codabar format - CLSI sub-format 328.... Patron: Codabar format - CLSI sub-format 228... LU: 155	Canadian University College
16398, LU: 156	Item: 016398 ongoing cataloguing Patron: 116398 ???? LU: 156 (not implemented)	Newman College
16400 LU: 141	Item: 016400 Patron: 116400 LU: 141	Olds Community College
16403	Item: 016403 - migrating 016320 items to new separate system from AB Res Dev Patron: 116403	AB Geological Survey
16407	Item: Lake Washington barcode format (5 digits; no checkdigit) 016407 (switching to DRA June'99) Patron: 116407	Fairview College (2003-2005?)
16411	Item: 016411 - manual conversion Patron: 116411 - manual input	AB Human Resources & Employment
16415	Item: 016451 - manual conversion Patron: 116451 - manual input	AB Children's Services
1847 LU: 193	Item: 31847 - DRA merge Patron: 21847 - DRA merge LU: 193	Grande Prairie Regional College
8288 LU: 143	Item: 38288 - migration Patron: 28288 - migration LU: 1435	Lakeland College Libraries
no items, LU: 132	Item: linked member - no items in database Patron: LU only 132xxxxxxx	Grant McEwan Community College
4917 LU: 249 (14 digits for	Item: 34917 migration Codabar format - CLSI sub-format	Keyano College

CURRENT RANGES	SPECIFIC (including format)	LIBRARY
migration)	Patron: 24917 migration LU: 249	