

Document 1

Cataloguing Standards

NEOS Technical Standards Committee

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on behalf of the NEOS Technical Standards Subcommittee (NTSS)

Approved by the NEOS Technical Services Committee on 2018-01-24

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1 GENERAL

1.0 Purpose

This document describes the standards and procedures for shared usage of the NEOS Library Consortium database.

1.1 Principles of the Shared Database

The NEOS Library Consortium Technical Services Committee agrees to these principles for the shared usage of the NEOS database:

- a) Use of a single record to which all member libraries add their holdings.
- b) Use of common, internationally-recognized standards for bibliographic records, including but not limited to, *Resource Description and Access*, MARC21 formats, Library of Congress authorized access points, *Library of Congress Subject Headings* and other subject headings from controlled vocabularies, *Library of Congress Classification* and other classification schemes.
- c) Use of bibliographic records from Library of Congress or other reputable cataloguing agencies when available.
- d) Use of authority records for access points from *Library of Congress Name Authority File*, and for subject headings from *Library of Congress Subject Headings*, *Canadian Subject Headings*, *Medical Subject Headings*, and *Répertoire de vedettes-matière*.
- e) Commitment to provide the most useful metadata possible to enable discovery of resources by users.
- f) Recognition of the cooperative effort of managing the shared database, including that changes in the database affect all member libraries and that different member libraries have different requirements.
- g) Recognition that not all records in the shared database will meet the current standards and that upgrading of records, while desirable, is not always possible.
- h) Recognition that member libraries have a responsibility to assist other member libraries by providing mutual support and advice.

1.2 Amendments to Cataloguing Procedures

1.2.1 General Amendments

This document excluding appendixes shall be amended only after discussion and approval by the NEOS Library Consortium Technical Services Committee unless the Committee establishes some other amendment procedure.

1.2.2 Amendments to Appendixes

Appendixes shall be amended as necessary to ensure the currency of information.

1.3 Interpretation

1.3.1 Discussion

Member libraries that are unsure how to interpret an instruction in this document or another NEOS Library Consortium Technical Services Committee Cataloguing Procedure may send a message to the Committee electronic mailing list (via neos-tech@mailman.srv.ualberta.ca). Member libraries that have questions about general cataloguing practice may send a message to the Committee electronic mailing list (via neos-tech@mailman.srv.ualberta.ca) or to the University of Alberta Bibliographic Services (via libhelp@ualberta.ca) or consult another electronic mailing list.

1.3.2 Interpretation

If different member libraries interpret an instruction in this document differently, the issue shall be referred to the next meeting of the NEOS Library Consortium Technical Services Committee for resolution.

1.3.2.1 If a member library does not abide by the principles of the shared database or adhere to these standards, the issue shall be referred to the next meeting of the NEOS Library Consortium Technical Services Committee for remediation. If the issue is not satisfactorily remediated, the issue shall be referred to the NEOS Library Consortium Executive Committee.

1.4 Cataloguing Training and Competencies

1.4.1 Cataloguing Training

Member libraries shall ensure that their cataloguing staff are trained to perform adequately the cataloguing tasks that they may be expected to complete regularly.

1.4.2 Cataloguing Competencies

Cataloguing staff shall ensure that they have the skills and knowledge required to catalogue properly the resources in their collection. Individuals may request a "buddy" from another member library to enhance their cataloguing practice.

1.5 Database Control and Maintenance

The database shall be maintained by the University of Alberta Libraries on behalf of the NEOS Library Consortium.

1.6 Discovery Systems

Member libraries may use any public catalogue or discovery system that they choose. The NEOS Library Consortium catalogue is supported by SirsiDynix.

2 BIBLIOGRAPHIC RECORDS

2.0 Purpose

This section describes the requirements for bibliographic records.

2.1 Principles

2.1.1 Encoding Standard

All resources shall be catalogued according to the *MARC 21 Format for Bibliographic Data*, as interpreted by the SirsiDynix Symphony system.

2.1.2 Descriptive Standards

All resources shall be catalogued according to *Resource Description and Access*, optionally modified by *Library and Archives Canada Policy Statements*, *Library of Congress-Program for Cooperative Cataloging Policy Statements*, and *Rare Books and Manuscripts Section Policy Statements*. Existing legacy data may be catalogued according to *Anglo-American Cataloguing Rules*, second edition, optionally modified by *Library and Archives Canada Rule Interpretations* and *Library of Congress Rule Interpretations* or *Anglo-American Cataloguing Rules*.

2.1.3 Record Ownership

Records shall be considered the property of the member library that has holdings records attached to the bibliographic record. If more than one member library has holdings records attached to a bibliographic record, the bibliographic record shall be considered joint property of those member libraries.

2.1.4 Minimum Record Requirements

All records shall conform to the *Library of Congress RDA Core Elements* standard, as modified by this document, at a minimum. Member libraries may catalogue resources to a greater level when desired. Member libraries may use cataloguing copy created according to *Anglo-American Cataloguing Rules*, second edition.

2.1.4.1 Language of Cataloguing The language of cataloguing for all records shall be English.

2.1.5 Recommended Record Requirements

Member libraries may catalogue resources according to the *BIBCO Standard Record RDA Metadata Application Profile* or the *CONSER Standard Record RDA Metadata Application Profile*, as modified by this document.

2.2 Shared Records

When different member libraries have items of the same manifestation, all member libraries will append their holdings records to the same record.

2.2.1 Monograph Series and Serials

When a member library has decided to describe a resource as either a monograph series or a serial, other member libraries may describe the resource the other way. These different treatment decisions shall not be considered duplicate records. Preference shall be given to the treatment that allows for the fullest description of the resource. Member libraries that

have existing holdings records attached to the existing treatment shall be consulted about the different treatment.

2.2.2 Sets and Series

When a member library has decided to describe a resource as either a multipart set or a monographic series, other member libraries may describe the resource the other way. These different treatment decisions shall not be considered duplicate records. Preference shall be given to the treatment that allows for the fullest description of the resource. Member libraries that have existing holdings records attached to the existing treatment shall be consulted about the different treatment.

2.3 Bulk-Edited Records

Records may be bulk-edited, either for the purpose of managing vendor-supplied cataloguing (for example, for electronic resources) or for modifying existing records (for example, to correct obsolete data). This work shall be managed by the University of Alberta Bibliographic Services.

2.3.1 Vendor-Supplied Cataloguing

Records supplied by vendors shall be reviewed for systemic issues that can be corrected globally, which shall be done before records are loaded in the database. Records shall be compared with existing records in the database based on OCLC control number and records that are found to have a match shall be merged.

2.3.2 Modifying Existing Records

Data that is consistently incorrect (such as obsolete codes) may be globally modified. This work shall occur only after testing to ensure the proposal is correct. This work may be performed by vendors. Requests for this work may be sent to the University of Alberta Bibliographic Services (via libhelp@ualberta.ca).

2.4 Record Manipulation

2.4.1 Record Creation

Member libraries shall search the database to determine if a record already exists for the resource. If no record exists, a record shall be created.

2.4.1.1 Bibliographic utilities (for example, Library of Congress, OCLC) shall be searched to find a record for the resource, with the record being imported into the database through SmartPort.

2.4.1.2 If while importing a record, the system identifies a matching record, the existing record shall not be overlaid. The importation of the new record shall be cancelled and the existing record evaluated again. If the existing record is not a match, SmartPort settings shall be temporarily changed to allow for the importation of the new record.

2.4.1.3 If no record exists for the manifestation of the resource being catalogued, an original record shall be derived from another record. If a suitable record is available

for deriving, import it into the database through SmartPort, reviewing all data elements and editing as necessary.

2.3.1.4 If no suitable record exists for deriving a new record, a record may be created originally.

2.4.2 Record Editing

Member libraries may edit records to improve their quality. Member libraries must ensure that the record describes the same manifestation as the resource they are cataloguing before making any changes to descriptive elements. Member libraries may add any additional data that is not present in the record (for example, contents notes) or correct any errors (for example, spelling errors or incorrect pagination). Generally, elements shall not be deleted unless they can be of no use to any member library (for example, non-English or non-French subject headings).

2.4.3 Record Deletion

Member libraries shall not delete records.

2.4.3.1 Duplicate records shall be merged when they are reported or discovered. The record to be retained shall be the one that is the highest quality, or (if they are of equal quality) the one that has the most holdings records attached, or (if they are of equal quality and have relatively the same number of holdings records attached) the one that was added to the database first. Manually add any relevant information from the record that will be merged to the the record that will be retained and add holdings records to the record that will be retained. Notify either the member libraries that have holding records attached to the record that will be merged or the University of Alberta Bibliographic Services (via libhelp@ualberta.ca) to transfer the holdings records and if necessary create a dummy holdings record with a location of <DISCARD>. For serials, summaries of holdings will have to be manually recreated as they can not be transferred.

2.4.3.2 Shadowing holdings records prevents resources from being visible in the public catalogue. Some locations are shadowed by default (indicated by a red "S") so the resource does not need to be manually shadowed. Shadowing shall always be done at the holdings record level rather than at the bibliographic level, except when the record exists only for acquisitions purposes (for example, for a monographic series where the items are catalogued separately or for membership order records).

2.5 Special Classes of Records

2.5.1 Temporary Records

Records that are created with the intention that they will be deleted soon (for example, order records or records for interlibrary lending) do not need to conform to standards of completeness. These records shall be coded to ensure that they are not shared outside the database.

2.5.2 Reserve Records

Records that are created for the purposes of allowing a resource that will not be added permanently to the collection to circulate for course reserves (for example, an article or a professor's copy) do not need to conform to standards of completeness. These records shall be coded to ensure that they are not shared outside the database.

2.5.3 Special Collections Records

2.5.3.1 Records for resources that are considered by their member library to be special collections may be catalogued to a more complete standard, including by utilizing the *Descriptive Cataloguing of Rare Materials* standards and additional controlled vocabularies.

2.5.3.2 Records that have a holdings record for any member library with a location of <SPECIALCOL> attached shall not be edited by another member library without notifying the member library with the special collections resource to verify the modification.

2.5.4 Electronic Resources Records

2.5.4.1 The nature of electronic resources, with the majority of content purchased in aggregated collections that include catalogue records, means that records for electronic resources may not always conform to standards of completeness or to *Library of Congress--Program for Cooperative Cataloging Policy Statements*.

2.5.4.2 Provider-neutral records shall be used for all electronic resources to allow holdings records to be attached for all member libraries regardless of the vendor providing access. Records that are bulk-loaded are identified by the vendor package data in item category 2.

2.5.4.3 If a member library chooses to catalogue an electronic resource that is freely available, they shall create a holdings record for the NEOS_FREE library as well as optionally creating a holdings record for their own member library. The member library cataloguing the resource shall use their own MARC Organization Code in field 090.

2.5.5 Equipment Records

Equipment records are brief records created for the purpose of allowing resources to circulate rather than for the purpose of discovery. These records shall be of the record format <EQUIP> and shall contain only a field 245 containing a generic title (for example, "Camcorder" or "Headphones" or "Key"), with a field 090 for each member library. Member libraries may add a field 590 local note to describe their own equipment. All member libraries with this type of equipment shall add their holdings records to this record regardless of the specific manifestation of the equipment. These records shall be coded to ensure that they are not shared outside the database.

2.5.6 Staff-Use Records

Resources that are ordered for staff use rather than for the general collection may be added to the database. These records may have their holdings records shadowed or set to a location to indicate that they are for staff use.

2.5.7 Membership Order Records

Membership order records are brief records created for the purpose of allowing payments through the acquisitions module rather than for the purpose of discovery. These records shall contain only a field 110 containing the name of the organization and a field 245 containing "Membership" and the name of the organization. All member libraries with a membership in this organization shall add their holdings records to this record. The record and holdings records shall be shadowed and coded to ensure that they are not shared outside the database.

2.6 Special Fields

2.6.1 Local Fields

Local fields are those that contain information relevant to a single member library.

2.6.1.1 Field 090 Member libraries shall add their local call number in field 090 when they create holdings records for a resource. The format shall have the entire call number in subfield |a and the member library's MARC Organization Code (with the country prefix omitted) in subfield |b.

2.6.1.2 Field 590 Member libraries may add local notes (for example, donor notes) in field 590. The format shall be <[Name of member or member library] copy [note].|5[Member library MARC Organization Code]>.

2.6.1.3 Field 690 Member libraries may establish local subject terms to facilitate discovery. All local subject terms shall be used only after notifying the NEOS Library Consortium Technical Services Committee. The format shall be <[Note, including the name of member or member library].|5[Member library MARC Organization Code]>.

2.6.1.4 Field 856 *Approved by NEOS-Tech with implementation on hold pending further investigation at member libraries***** All electronic resources shall have a field 856 with a subfield |y indicating the member library for which the u.r.l. is applicable, in the format of either <[Name of member] Access>, <NEOS Library Consortium Access>, or <Free Access>. Subfield |3 may be used to indicate the resources to which the u.r.l. applies. Subfield |x may be used for access restrictions (for example, an annual usage limit). Subfield |z may be used for a public usage statement (for example, unlimited concurrent users) and for the vendor package name.

2.6.2 Control Fields

2.6.2.1 Field 001 The system automatically supplies a unique database number for each record. This field can not be manually edited.

2.6.2.2 Field 035 The system automatically supplies the OCLC database number for each record that is submitted to OCLC (in the format <ocm[8-digit number]> or <ocn[9-digit number]> or <on[greater-than-9-digit number]>). This field shall not be manually changed.

2.6.2.3 Field 919 When records are merged or overlaid, the control number of the record that no longer exists shall be manually added in subfield |b to enable continued access by control number. Subfield |a shall be used to record vendor control numbers for electronic resources to enable continued access and matching.

2.7 Access Points

2.7.1 Access Point Controlled Vocabularies

All access points shall conform to the form established in the *Library of Congress Name Authority File*. If an access point for an entity that is known or presumed to be Canadian is not established in the *Library of Congress Name Authority File*, the access point shall conform to the form established in *Canadiana Authorities*.

2.7.2 Shared Ownership

All fields in records that are or may be under authority control (for example, field 100 or field 710 or field 830) are common property, such that they may be modified through global processes or by any member library to correct or update them.

2.7.3 Unauthorized Headings

When an access point appears as unauthorized in the database (that is, with <|?UNAUTHORIZED> appended to the field) the entity shall be searched in the *Library of Congress Name Authority File* if it would be reasonably assumed that such an entity should have an authority record. If an entity is not established in the *Library of Congress Name Authority File*, a request may be made to establish the entity.

2.7.4 Local Access Points

If an access point is included in a record to identify a connection to a specific member library (for example, a person associated with a member who is the author of a chapter in an anthology), that access point shall have the member library's MARC Organization Code appended in subfield |5.

2.8 Subject Headings

2.8.1 Library of Congress Controlled Vocabularies

Member libraries shall ensure that all records include appropriate terms from *Library of Congress Subject Headings* and may include appropriate terms from other Library of Congress controlled vocabularies (for example, *Library of Congress Genre/Form Terms for Library and Archival Materials*). Member libraries may use subject headings from other controlled vocabularies that are approved for usage by the NEOS Library Consortium Technical Services Committee.

2.8.2 Other Subject Headings

Subject headings from the following controlled vocabularies may be used by member libraries. Terms from these controlled vocabularies shall be retained when they are already present in records.

2.8.2.1 Canadian Subjects Member libraries may add terms from *Canadian Subject Headings* for Canadian subjects in addition to terms from *Library of Congress Subject Headings*.

2.8.2.2 Medical Subjects Member libraries may add terms from *Medical Subject Headings* in addition to terms from *Library of Congress Subject Headings*.

2.8.2.3 Special Collections Subjects Member libraries may add terms from *Controlled Vocabularies for Use in Rare Book and Special Collections Cataloging* or from *Art & Architecture Thesaurus* to describe form, genre, or physical characteristics in addition to terms from *Library of Congress Subject Headings*.

2.8.2.4 French Subject Access Member libraries may add terms from *Répertoire de vedettes-matière* in addition to terms from *Library of Congress Subject Headings*.

2.8.2.5 Faceted Application of Subject Terminology Member libraries may add terms from *Faceted Application of Subject Terminology* in addition to terms from *Library of Congress Subject Headings*.

2.8.3 Shared Ownership

All fields in records that are or may be under authority control (for example, field 600 or field 650) are common property, such that they may be modified through global processes or by any member library to correct or update them.

2.8.4 Unauthorized Headings

When a term from the *Library of Congress Subject Headings* appears as unauthorized in the database (that is, with <|?UNAUTHORIZED> appended to the field) the term shall be searched in *Library of Congress Subject Headings*. If the term is not established in *Library of Congress Subject Headings*, a request shall be made to establish the term.

2.9 Classification and Call Numbers

2.9.1 Classification Schemes

Member libraries may use any classification scheme that they choose.

2.9.2 Multiple Call Numbers

The same manifestation may have different call numbers assigned to it, even from the same classification scheme.

2.9.3 Call Number Uniqueness

Call numbers do not need to be unique throughout the database, with different member libraries allowed to assign the same call number to different items.

3 AUTHORITY RECORDS

3.0 Purpose

This section describes the requirements for authority records.

3.1 Principles

3.1.1 Encoding Standard

All records shall be created according to the *MARC 21 Format for Authority Data*, as interpreted by the SirsiDynix Symphony system.

3.1.2 Descriptive Standards

All records shall be created according to *Resource Description and Access*, modified by *Library of Congress-Program for Cooperative Cataloging Policy Statements*. Legacy data may be created according to *Anglo-American Cataloguing Rules*, second edition, modified by *Library of Congress Rule Interpretations*.

3.1.3 Record Ownership

Records shall be considered the property of the University of Alberta.

3.1.4 Minimum Record Requirements

All records shall conform to the *Library of Congress RDA Core Elements* standard, as modified by this document, at a minimum.

3.2 Controlled Vocabularies Supported by Records

3.2.1 Maintenance

Records shall be maintained by automated processes that add records to the database based on usage as access points and subject headings and update records that have been modified.

3.2.2 Records for Access Points

Records from *Library of Congress Name Authority File* shall be maintained.

3.2.3 Records for Subject Headings

Records from *Library of Congress Subject Headings*, *Medical Subject Headings*, and *Répertoire de vedettes-matière* shall be maintained.

3.3 Record Creation

3.3.1 Record Creation

Requests for records to be created may be submitted along with supporting documentation (for example, scans of title pages) to the University of Alberta Bibliographic Services (via libhelp@ualberta.ca).

3.3.1.1 Records are created for submission to either *Library of Congress Name Authority File* or *Library of Congress Subject Headings*.

3.3.1.2 Records for access points shall be created as warranted by cataloguers' judgement, with an emphasis on entities that are important institutionally, locally, or nationally.

3.3.1.3 Records for subject headings shall be created as warranted for any usage.

3.3.2 Local Records

Records shall not be imported, created, or edited on a local or individual basis.

4 HOLDINGS RECORDS

4.0 Purpose

This section describes the requirements for holdings records.

4.1 Principles

4.1.1 Encoding Standard

All records shall be created according to the *MARC 21 Format for Holdings Data*, as interpreted by the SirsiDynix Symphony system.

4.1.2 Record Ownership

Records shall be considered the property of the member library to which they apply.

4.1.3 Minimum Record Requirements

All records shall contain a barcode, which may be system-generated.

4.2 Item Records

4.2.1 Item Records

Member libraries may use types and locations that they choose.

4.2.1.1 Class scheme This element is used for recording the type of call number assigned to a resource.

4.2.1.2 Item cat1 This element shall be used for electronic resources to indicate the type of resource.

4.2.1.3 Item cat2 This element is restricted to bulk editing and shall not be used for individually catalogued resources.

4.2.1.4 Item cat3 This element shall be used to identify specific collections.

4.2.1.5 Item cat4 This element shall be used for specific collections for database maintenance.

4.2.1.6 Item cat5 This element shall not be used.

4.2.2 Notes

Member libraries may use notes in item records.

4.3 Special Classes of Records

4.3.1 Bound-With Items

When one physical volume contains more than one discretely catalogued bibliographic volume, the bound-with module shall be used to ensure that only one item record is created for the physical volume. Alternatively, an item record may be created for each individual resource, with all but the parent record being dummy items, and the call number formulated as the call number for the parent record with either all items receiving the volume designation <title.[number]> or a public note made indicating that the item is bound with another item.

4.3.2 Dummy Records

4.3.2.1 Records that are created to indicate that a member library has items related to the resource described in the bibliographic record, but that do not indicate what those holdings are, may be created. A standard vocabulary shall be used to describe such holdings.

4.3.2.2 Temporary records shall be created whenever a member library merges bibliographic records or transfers holdings attached to one bibliographic record to another bibliographic record if the OCLC database number in field 035 differs between the bibliographic records. These records shall be created for every member library with records attached to the bibliographic record that will not be retained, and they shall have the location set to <DISCARD>.

4.4 Summaries of Holdings

Member libraries may create summaries of holdings for serial resources. Summaries of holdings shall include the member library's MARC Organization Code (with the country prefix omitted) in field 852 subfield |a. This applies for all free or purchased print and electronic serial resources with the exception of NEOS_FREE.

4.5 Discarding Resources

When a resource is discarded, the item record shall have the location set to <DISCARD>. The item record shall not be deleted, to allow for automated processes to identify that the resource has been discarded and update reported holdings. If no other records remain attached to the bibliographic record, the bibliographic record will be automatically deleted. When discarding holdings member libraries should ensure that local fields in the bibliographic record are removed or updated accordingly (See 2.6.1)

4.6 Reporting Holdings

Information is reported daily to OCLC for all bibliographic records that have been edited or have had a change to the attached holdings records (for example, the creation of a new item record). Records that do not have an automatically-generated field 035 with the OCLC control number

may be examined by any member library that owns the record to determine whether there is a problem with them.

APPENDIX A CATALOGUING RESOURCES

[BIBCO Standard Record](#) (Program for Cooperative Cataloging)

[CONSER Standard Record](#) (Program for Cooperative Cataloging)

[LC RDA core elements](#) (Library of Congress. Acquisitions and Bibliographic Access Directorate)

APPENDIX B LIST OF NEOS LIBRARY CONSORTIUM MARC INSTITUTION CODES

See [NEOS List of Institution Codes](#)

APPENDIX C LIST OF NEOS LIBRARY CONSORTIUM TECHNICAL SERVICES COMMITTEE MEMBERS

See [NEOS Technical Services Committee](#)

APPENDIX D LIST OF LOCATIONS, ETC., NOT REPORTED TO OCLC

EQUIP (record format)

EQUIP (type)

ILL (home location)

ILL_ (home location)

IN_PROCESS (home location)

ON_THE_FLY (home location)

ON-ORDER (home location)

ORDER (class scheme)

RESERVES (home location)

UNKNOWN (home location)

APPENDIX E LIST OF APPROVED LOCAL SUBJECTS

University of Alberta|vTextbooks.|5CaAEU

MacEwan scholarly and creative works.|5CaAEGMCT

Red Deer College authors.|5CaARDC

APPENDIX F LIST OF APPROVED DUMMY CALL NUMBERS

Catalogued separately
CD-ROM
dummy item
Internet Access
Library has holdings
Shelved by title
Unclassified

APPENDIX G LIST OF APPROVED DUMMY SUMMARIES OF HOLDINGS

Current issues in [Location]; others in [Location]
Current issues only retained
Current issues retained until replaced by [microfilm, etc.]
Current [year, 2 years, etc.] in [Location]; others in [Location]
Current [year, 2 years, etc.] only retained
Latest [edition, 2 editions, etc.] only retained
Latest edition in [Location]; others in [Location]
Latest edition only available (for electronic resources)
Most recent [1, 2, etc.] [month(s), years(s)] available (for electronic resources)
Most recent [1, 2, etc.] [month(s), year(s)] not available (for electronic resources)

APPENDIX H LIST OF NEOS Cataloguing Contacts

See [*NEOS Cataloguing Contacts*](#)

APPENDIX I NEOS Transfer Procedures

See [*NEOS Transfer Procedures*](#)