

UC Bibliographic Standards for Cooperative, Vendor, and Campus Backlog Cataloging

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I. Introduction

The purpose of these standards is to provide the UC Libraries with guidance in consortial and vendor cataloging for bibliographically controlled materials, and to define reasonable alternatives to full-level cataloging in reducing backlogs for both bibliographically and archivally controlled materials¹.

In this context, consortial cataloging is defined as a UC library, UC project (e.g. shared print), or UC organization (e.g. SCP) that catalogs for another library, many libraries, or the entire System. Vendor cataloging is understood as bibliographic records provided free or for purchase for individual or multiple campuses, or for the entire system. A backlog is defined as an accumulation of materials which require cataloging. The accumulation may have been caused by such situations as: loss of cataloging or language expertise, reductions in staffing or budgets, receipt of large gift collections or large purchases, alternate priorities, etc.

II. Standards

There are three UC-wide standards for cataloging:

- Full Level: as specified in the BIBCO and CONSER Standard Record Metadata Application Profiles²
- Abbreviated Level: based on the OCLC Encoding Level 3 standard³
- Collection Level⁴: based on the BIBCO Standard Record for Archival Collections and on DACS⁵ "Single-Level Minimum" guideline

In all cases, use current national cataloging rules, LCRIs⁶, LC classification and subject heading systems, MARC 21 specifications, and EAD specifications (as relevant for materials described under archival control) for guidance. Follow Library of Congress standards for script transliteration.

Records created using these standards are considered permanent; no systematic effort is planned for upgrading. However, it is recognized that other institutions may upgrade these records in WorldCat. No effort is planned to retrieve upgraded records for downloading into local or other databases.

Changes and Exceptions

As with all cataloging standards, the BIBCO Standard Record Metadata Application Profiles and the DACS descriptive standard will evolve over time. The UC-wide cataloging standards should be adapted to correspond with developments to these national descriptive standards.

¹ "Archival control" is distinguished by the application of archival rules of description -- such as Describing Archives: a Content Standard (DACS) -- in lieu of bibliographic rules of description to any given set of material formats.

² BSR: <http://www.loc.gov/aba/pcc/bibco/bsr-maps.html> CSR: <http://www.loc.gov/catdir/cpsoc/conserdoc.pdf>

³ Full, Core, Minimal and Abbreviated-Level Cataloging
<http://www.oclc.org/us/en/bibformats/en/onlinecataloging/default.shtm#BCGGBAFC>

⁴ The term "collection level" in this context refers to records emphasizing the description of multipart groups of items or aggregations of materials. It is not intended to prescribe a particular level of arrangement and description of the resource described, within an archival descriptive context -- which may range from collections, series, record groups, files, etc.

⁵ Describing Archives: a Content Standard. Society of American Archivists. Chicago: Society of American Archivists, c2007. DACS is the national standard for archival description, maintained by the Society of American Archivists. It is the U.S. implementation of international standards (i.e., ISAD(G) and ISAAR(CPF)) for the description of archival materials and their creators. For more information, see <http://www.archivists.org/governance/standards/dacs.asp>

⁶ Soon to be renamed "LC-PCC Policy Statements" under RDA implementation.

Should the BIBCO Standard Record Metadata Application Profiles be discontinued nationally, HOTS will be responsible for reviewing the national BSR replacement guidelines and making a recommendation whether they should be used as the UC-wide cataloging standard.

In extenuating circumstances (such as extraordinary expense, lack of language expertise, etc.) and with prior approval from HOTS, records lower than the BSR may be accepted from vendors or shared system-wide by UC cooperative cataloging projects. Exceptions may be for specific fields (e.g. classification, or subject analysis) for a specific group of records or general exceptions for all records coming from a specific vendor or specific UC cooperative cataloging project (e.g. SCP).

1. To request an exception, an email containing the project name, the group or person responsible for the project, the number of records affected, a list of the specific BSR fields that will not be present, and a brief explanation of the need for an exception, should be sent to the UC Libraries Heads of Technical Services at UCLIBHOTS-L@LISTSERV.UCOP.EDU. HOTS will either approve the exception or not.
2. Record of all requests will be retained on the HOTS internal website/wiki for future reference.

Full Level

The Program for Cooperative Cataloging's BIBCO and CONSER Standard Records serve as a baseline for UC cooperative and vendor cataloging for all material formats. These records are not required to be coded as PCC records (meaning that the 042 field is not required and the encoding level should be "K" or "I") and therefore, supporting national-level authority records are not required.

In assigning subject, genre and/or form access fields, follow BIBCO Standard Record recommendations: "use judgment in assessing each item. As appropriate, assign a complement of headings that provides access to at least the primary/essential subject and/or form of the work at the appropriate level of specificity. Assign such headings from an established thesaurus, list, or subject heading system recognized by the MARC 21 Format for Bibliographic Data. Follow the conventions of the particular subject heading system being used."⁷

1. Use this standard for both copy and original cataloging.
 - 1.1 Cataloging copy that does not meet this standard should be enhanced at the network level to meet the BSR level.
2. UC cooperative efforts, such as the UC Shared Cataloging Program or UC shared print, etc. should use this standard.
 - 2.1 Additional fields may be added to identify or track these materials (e.g. hooks, preservation data, ownership data, etc.), however additional descriptive elements are not necessary.
 - 2.2 Although it is preferred, records for remote access electronic resources are not required to have LC classification.
3. Implementation of the BSR also extends to records obtained from vendors (e.g. via shelf ready, contract cataloging, etc.).
 - 3.1 In working with vendors to establish shelf ready or the delivery of bibliographic records, profiles should be set to conform with the BSR.

Abbreviated Level

The Abbreviated Level standard is to be implemented at the campus level. The Abbreviated Level serves as a cataloging option to move backlogged, low priority, or otherwise neglected campus materials out of Library catalog departments or temporary storage and into the UC discovery system (Melvyl). Examples

⁷ See 6XX: http://www.loc.gov/aba/pcc/bibco/documents/BSR_TM_3Sept-2010.pdf

of application: materials falling outside of a library's primary collection scope, materials where a campus has limited or insufficient language expertise, large gifts where analysis of individual titles is desired.

Subject, genre and/or form access fields are not required nor recommended for abbreviated level cataloging.

1. Use of this standard is not intended for UC collaborative or vendor cataloging (see Exceptions to Full Level Cataloging, above).
2. The OCLC Level 3 standard is the basis for this level of cataloging, and records for materials cataloged using it should be included in the WorldCat database. However, as not all backlogs are of equal value or importance, a campus may decide to use the Abbreviated Level standard -- or alternatively, the Collection Level standard defined in section C below.
3. Abbreviated Level cataloging does not require classification.

Collection Level

The term "collection level" in this context refers to records emphasizing the description of multipart groups of items or aggregations of materials. It is not intended to prescribe a particular level of arrangement and description of the resource described, within an archival descriptive context -- which may range from collections, series, record groups, files, etc.

This particular standard leverages archival control to describe materials to produce a collection level record. Use of archival control to describe materials may be seen as a preferred alternative to bibliographic description. Archival control may be applied to collections or items of any format, and it does not require that the material be under the administration of an archival or special collections unit. For repositories in the US, archival control entails the application DACS rules of description. To reiterate, archival control -- i.e., the application of DACS descriptive rules -- can be used to describe materials that are not necessarily archival records or manuscript collections and that might range from collections of photographs to aggregations of ephemera or published materials that are in the custody of many different kinds of repositories. It is particularly useful when access to a group of materials via an abbreviated-level descriptive record can be provided equally well in toto versus in part.

Use cases for applying this standard include bulk collections, extensive gifts of monographs where analysis of individual titles is not desired, backlogs of materials sharing common provenance, topic, or form (e.g., playbills, microfilm packages, Indonesian gamelan scores, etc.)

Subject, genre and/or form access fields are not required to meet the Collection Level recommendation for archivally controlled materials.

1. Use of this standard is not intended for UC collaborative or vendor cataloging (see Exceptions to Full Level Cataloging, above).
2. The BIBCO Standard Record for Archival Collections and the "Single-Level Minimum" guideline contained in DACS are the basis for this level of cataloging, and records for materials cataloged using this standard should be included in the WorldCat database.

For complete specifications on utilizing this standard, including MARC21 and EAD encoding guidance, see Appendix B.

Appendix A. Bibliographic Fields for UC Shared Print Projects

The Full Level standard supersedes all previous standards for shared print, and other UC collaborative collection projects. All bibliographic fields as recommended in the SOPAG Shared Print in Place Task Force Report: Appendices. Policies⁸ (March 22, 2011) Section 1c: Adopt the Bibliographic Standards for Shared Print Monographs are present in the Full Cataloging Standard in Section II. Full Level, above. As stated in this report (Section II. Full Level) BSR standards are to be used by UC cooperative projects and by vendors. This includes shared collections projects that use vendor supplied bibliographic records.

⁸ See http://libraries.universityofcalifornia.edu/sopag/Report_Appendices_Policies_3-22-2011.pdf hosted on the “SOPAG Activities and Task Groups (2009 – current)” webpage at: http://libraries.universityofcalifornia.edu/sopag/task_groups.html

Appendix B. Collection Level Records

I. Scope

This section defines a minimum set of data elements required for materials under archival control, within the context of a collection level record. The term “collection level” in this context refers to records emphasizing the description of multipart groups of items or aggregations of materials. It is not intended to prescribe a particular level of arrangement and description of the resource described, within an archival descriptive context -- which may range from collections, series, record groups, files, etc.

The data elements conform to the “Single-Level Minimum” recommendations outlined in DACS. This specification also provides recommendations for formatting records using MARC21 and EAD encoding standards.⁹ It includes references to additional resources, for guidance on encoding additional descriptive data.

Use of archival control to describe materials may be seen as a preferred alternative to bibliographic description. Archival control may be applied to collections or items of any format, and it does not require that the material be under the administration of an archival or special collections unit. For repositories in the US, archival control entails the application DACS rules of description. To reiterate, archival control -- i.e., the application of DACS descriptive rules -- can be used to describe materials that are not necessarily archival records or manuscript collections and that might range from collections of photographs to aggregations of ephemera or published materials and that are in the custody of many different kinds of repositories.

Within this usage, the objective is to support the following:

- baseline control and discovery of materials.
- basic uniformity in record structure and encoding to support UC system-wide delivery services and interoperability between records.
- access to materials in a timely and cost-effective manner.

This specification may be useful in establishing a minimal descriptive record for unprocessed collections, backlogs, new accessions, and materials that would not otherwise be described. Other use cases for applying this standard include bulk collections, extensive gifts of monographs where analysis of individual titles is not desired, backlogs of materials sharing common topic or form (e.g., playbills) or provenance, microfilm packages, visual resource slides, audio collections, etc. It is particularly useful when access to a group of materials via an abbreviated-level descriptive record can be provided equally well in toto versus in part.

While this specification defines an absolute minimum set of data elements, repositories are encouraged to include additional descriptive data elements, such as subject headings, added entries, notes, and/or links between different encodings of the same description (e.g., a link between an abbreviated EAD record and an abbreviated MARC record for the same entity); or to amplify the minimal records at later stages, as resources allow and to meet local needs and requirements.

⁹ Formatting of data elements using other common encoding standards are not provided within this document. Note, however, that the required data elements are independent of any particular encoding standard, and can be formatted using MARCXML, MODS, or other data structure standards, as necessary.

II. Summary of Required Data Elements

Element	DACS chapter reference	MARC21 analog	EAD analog
Reference Code Element: Local Identifier	2.1.3	099	<unitid>
Reference Code Element: Repository Identifier	2.1.4	040 \$a 852 \$a	<unitid> REPOSITORYCODE attribute
Reference Code Element: Country Identifier	2.1.5	The MARC21 format does not contain a straightforward mapping for this DACS subelement value	<unitid> COUNTRYCODE attribute
Name and Location of Repository Element	2.2	852, 524 (if the preferred citation indicates both the name and location of the repository)	<repository>
Title Element	2.3	245 \$a	<unittitle>
Date Element	2.4	245 \$f (\$g for bulk dates) , 260 \$c if recording data about formal publication	<unitdate>
Extent Element	2.5	300 \$a and potentially other subfields	<physdesc> and potentially other subelements (<extent>, <dimension>, <genreform>, <physfacet>)
Name of Creator(s) Element	2.6	100, 110, or 111; 700, 710, or 711 for names in addition to that of the predominant creator	<origination>
Scope and Content Element	3.1	520	<scopecontent>
Conditions Governing Access Element	4.1	506	<accessrestrict>
Language and Scripts of the Material Element	4.5	008/35-37, 041, 546	<langmaterial>

III. MARC21 Encoding for Required Data Elements

The MARC21 encoding recommendations outlined in the last column of the table in Appendix C are a subset of the BIBCO Standard Record for Archival Collections¹⁰ Note that BIBCO's documentation exceeds the baseline standard required for UC records for materials described using archival control. BIBCO also provides guidance

¹⁰ http://www.loc.gov/aba/pcc/bibco/documents/BSR_Archives_20110916.pdf

for encoding additional descriptive data – specifically, data elements conforming to DACS’ “Single-Level Optimum” requirements. Follow BIBCO’s documentation for MARC21 encoding of additional data elements.

IV. EAD Encoding for Required Data Elements

For recommendations on encoding required data elements in context within EAD, consult the RLG Best Practice Guidelines for Encoded Archival Description.¹¹ Note that RLG’s documentation also exceeds the baseline standard, and provides guidance for encoding additional descriptive data -- specifically, data elements conforming across a range of DACS requirements -- as well as formatting multi-level descriptions EAD (from “Single-Level Minimum” through “Multi-Level Added Value”).

¹¹ <http://www.oclc.org/research/activities/past/rlg/ead/bpg.pdf>

Appendix C: UC Cataloging Standards Compared

Coded fields are mandatory (M) or mandatory if applicable (A)

	UC Full-level cataloging (BSR) this example uses the BSR for textual monographs	UC Abbreviated Cataloging (OCLC EncLvl 3)	UC Collection Level Cataloging, including materials under archival control ("Single-level Minimum")
Type (LDR / 06)	M	M	M (p, t)
BLvl (LDR / 07)	M	M	M (c, d, m)
Ctrl (LDR / 08)			M (a)
Elvl (LDR / 17)	M (l, K)	M (3)	M (blank, 1)
Desc (LDR / 18)	M	M	M
DtSt (008 / 06)	M	M	M
Date1 (008 / 07-10)	M	M	M
Date2 (008 / 11-14)	A	A	A
Ctry (008 / 15-17)	M	M	M
Lang (008 / 35-37)	M	M	M
MRec (008 / 38)	M		
Srce (008 / 39)	M	M	M
Audn (008 / 22)			
Biog (008 / 34)			
Conf (008 / 29)			
Cont (008 / 24-27)			
Fest (008 / 30)			
Form (008 / 23)	M	A	
Gpub (008 / 28)	M		
Ills (008 / 18-21)			
Indx (008 / 31)			
LitF (008 / 33)			
007 / 00, 01	A		M
007 / 04, 05			M
010	A	A	
020	A	A	
024			
040			M
041	A		A
042	A (PCC records only)		
043			
044			
050 / 090 / 099	M	O	M
074			
1XX	A	A	A
240	A		
245	M (a) A (n,p,b,c,h)	M (a) A (b,c,h)	M (a,f)
246	A	A	
250	A	A	
260	M \$a, b, c	A \$a,b,c	
300	M (a) A(b,e)	A \$a	M (a)
351			
490	A	A	

500	A (source of title)		
501	A (with)		
502	A		
505	A		
506			M
520			M
524			A
530			
533	A		
534			
541			
544			
545			
546	A		A
555			
561			
6XX	A		
700, 710, 711	A (include one if applicable and if 1xx not applicable)		A
800, 810, 811, 830	A		
852			A
856	A		A