

Expert Working Group for Cataloguing

Recommendations for Cataloguing Standards on the New Zealand National Union Catalogue

July 2009



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1. Introduction

This document contains recommended cataloguing standards for the National Union Catalogue. It has standards for bibliographic and holdings records and includes requirements for batch processed records and WorldCat.

These revised standards were developed by the Expert Working Group for Cataloguing and approved by the Te Puna Strategic Advisory Committee (TPSAC) in 2009. The Expert Working Group for Cataloguing was commissioned by TPSAC and consisted of representatives from the National Library of New Zealand, University of Auckland, University of Canterbury and Wellington Public Libraries.

These standards revise two documents first published by the National Library of New Zealand Te Puna Mātauranga o Aotearoa in 2000 entitled: "Standards for USMARC bibliographic records" and "Standards for USMARC holdings records"

Three Quick Guides with recommendations are included in this document:

1. Quick Guide for minimum level bibliographic records
2. Quick Guide for abbreviated records
3. Quick Guide for holdings records

The bibliographic and holding records Quick Guides each have a recommendation section introducing the guides. The "Quick guide for minimum level bibliographic records" contains sections on OSMOSIS and WorldCat requirements.

2. Recommendations: NUC Bibliographic Records

| | |
|--|---|
| <p>Why have recommendations for cataloguing</p> | <p>When creating and editing records for the National Union Catalogue (NUC) using the Te Puna cataloguing client and Webcat a good level of cataloguing helps users search and find information and assists the deduplication process when new bibliographic records are batch loaded to the NUC.</p> |
| <p>AACR2r and levels of cataloguing and the NUC</p> | <p>Cataloguers are encouraged to create catalogue records in the National Union Catalogue that meet catalogue standards for:</p> <ul style="list-style-type: none"> • Anglo-American Cataloguing Rules. 2nd ed. 2002 rev., 2005 update (AACR2r), and, • MARC 21 Format for Bibliographic Data <p>Full level catalogue records meet requirements of the second level of description in AACR2 (AACR2, rule 1.0D2)</p> <p>Minimum level cataloguing meets requirements of the first level of description in AACR2 (AACR2, rule 1.0D1).</p> <p>Abbreviated level cataloguing does not meet the requirements of the first level of description of AACR2 and can be encoded as such with an appropriate MARC21 encoding level.</p> <p>A Quick Guide is available for the Te Puna cataloguing client describing summary requirements for AACR2r 1.0D1 first level of description. A Quick Guide is also available for Webcat describing an abbreviated level of cataloguing. MARC21 tags are provided in the guides.</p> <p>It is possible to create bibliographic records on the NUC using the full range of encoding levels as described in the MARC21 standard.</p> |
| <p>Creating full level bibliographic records: Te Puna cataloguing client</p> | <p>Cataloguers are expected to create full level bibliographic records that meet AACR2r 1.0D2 second level of description (encoding level #) when using the Te Puna cataloguing client. Examples of full level records can be found on the Library of Congress website.</p> <p>It is also possible to create less than full bibliographic records that meet AACR2r 1.0D1 First Level of description and these should be encoded with the appropriate MARC21 code. The Quick Guide for Minimum Level Bibliographic Records meets the AACR 1.0D1 First Level of description, and can be used for as a basis for all MARC21 encoding level except #. The guide is suitable for all format types.</p> <p>On the Te Puna cataloguing client it is possible to create bibliographic records using the full range of encoding levels as described in the MARC21 standard.</p> |
| <p>Creating abbreviated level bibliographic records: Webcat</p> | <p>Cataloguers create abbreviated bibliographic records on Webcat.</p> <p>The Quick Guide for Abbreviated Bibliographic Records is based on AACR2r 1.0D1 description at a very basic level. It is suitable for all format types and is encoded as MARC21 encoding level 3 for Abbreviated Records.</p> <p>This Quick Guide for Abbreviated Bibliographic Records may be used for the Te Puna cataloguing client when library workflows require it.</p> |

3. Recommendations: OCLC Bibliographic Records

| | |
|---|---|
| <p>Creating cataloguing records using Connexion</p> | <p>On the OCLC Connexion browser and Connexion client it is possible to create bibliographic records using the full range of encoding levels as described in “OCLC Bibliographic Formats and Standards”. OCLC specifies a minimum level of AACR2 for the OCLC-MARC the following encoding levels:</p> <ul style="list-style-type: none"> • Full-level cataloguing. Records that meet the requirements of second-level description (AACR2, rule 1.0D2). • Core-level cataloguing. Records that meet the requirements of first-level description (AACR2, rule 1.0D1) and some of the requirements of second-level description (AACR2, rule 1.0D2) • Minimal-level cataloguing. Records that meet the requirements of first-level description (AACR2, rule 1.0D1) • Abbreviated-level cataloguing. Brief records that do not meet the requirements of Minimal-level cataloging specifications (ELvl code 3) • Dublin Core. All records created in Dublin Core (ELvl code 3). <p>The <i>Quick Guide for Minimum Level Bibliographic Records</i> can be used for the Minimal-level cataloguing and <i>The Quick Guide for Abbreviated Level Bibliographic Records</i> can be used when creating Abbreviated-level cataloguing when creating records on OCLC’s Connexion cataloguing service.</p> |
| <p>CatExpress</p> | <p>CatExpress is a copy-cataloguing client and cannot be used to create and edit bibliographic records. CatExpress is used for local bibliographic data and holdings maintenance for a local library catalogue.</p> |

Special Requirements for WorldCat when cataloguing on the NUC

After libraries create or modify bibliographic records on the NUC they are sent onto OCLC so that WorldCat can be updated with the holdings of New Zealand libraries. Sometimes errors occur in the load and match process to WorldCat because of errors in the bibliographic records. This can mean your holding is added to an incorrect record in WorldCat. To prevent this:

- Do not remove the OCLC number in the 035 when editing bibliographic records (035 \$a(OCoLC)100000035 or
- Do remove the OCLC number in the 035 when using a bibliographic record as a basis to create another, otherwise known as cloning or creating a template. \$a(OCoLC)100000035
- Ensure consistencies in fixed fields, for example, when describing an item as a video ensure the 007 is correct for a video
- Ensure there is sufficient and correct information in the bibliographic record to match it with a potential duplicate record
- Avoid typographical errors.

4. Quick Guide for Minimum Level Bibliographic Records

This guide is based on AACR2r 1.0D1.

The table contains the MARC21 fields and tags that meet the first level of description of AACR2r 1.0D1.

The MARC21 fields marked mandatory (M) must be included in bibliographic records.

Those marked "A" are included in a bibliographic record if applicable to the item being catalogued.

MARC21 fields that are necessary for duplicate detection and search limiting are included.

| Field | MARC Tag | M = Mandatory A = Mandatory if applicable or available O = Optional | Repeatable | Required for Search limiting | Required for duplicate detection /OSMOSIS |
|-------------------------------------|-----------|---|------------|---|---|
| Leader | 00-23 | M | NR | /06 Type of record /07 Bibliographic level | /17 (Encoding level) |
| Physical description fixed field - | 007/00 | M (for non-books) | NR | Yes | |
| Fixed fields - Language | 008/35-37 | M | NR | Yes | |
| Fixed fields - Date | 008/06-10 | A | NR | Yes | |
| Fixed fields - Cataloguing Source | 008/39 | M | NR | | |
| Fixed field - Maps | 008/25 | M | NR | | |
| Fixed field – Visual materials | 008/33 | M | NR | | |
| Fixed field - Music | 008/20 | M | NR | | |
| Fixed fields – Continuing Resources | 008/34 | M | NR | | |
| Fixed fields - Visual materials | 008/33 | M | NR | | |
| | | | | | |
| ISBN | 020 | A | R | | Yes |
| ISSN | 022 | A | R | | Yes |
| Other standard number | 024 | A | R | | |
| Publisher number | 028 | A | R | | |
| Category of Scale | 034a | A | R | | |
| Cataloguing Source | 040 | M | NR | | Yes |
| Main Entry | 1XX | A | NR | | |
| Title proper | 245 a | M | NR | | Yes |

Cataloguing Standards for the NUC (2009)

| | | | | | |
|---|-----------|------------------------------------|----|--|-----|
| Filing indicator | 245 ind.2 | M | NR | | |
| First statement of responsibility if different from main entry in form or number or if there is no main entry | 245 c | A | NR | | |
| General material designation | 245 h | A (not used for printed materials) | NR | | Yes |
| Edition statement | 250 | A | NR | | |
| Musical Presentation statement | 254 | A | NR | | |
| Cartographic mathematical data (Statement of scale) | 255 | A | R | | |
| Computer file characteristics | 256 | A | NR | | |
| Place of publication | 260 a | A | R | | |
| First publisher | 260 b | A | R | | |
| Date of publication | 260 c | A | R | | |
| Extent of item | 300 a | M (for monographs) | R | | |
| Volume dates or designation | 362 | A | R | | |
| Reproduction notes | 533 | A | R | | |
| System details note | 538 | A | R | | |
| Linking entries | 76X-78X | A | R | | |
| Electronic location and access | 856 | A | R | | |
| <i>The MARC21 fields listed below can be added to minimum level, but it is important to recognise that they are optional, and not part of the minimum standard.</i> | | | | | |
| Other title information | 245 b | O | NR | | |
| Series | 490,8XX | O | R | | |
| Note | 500 | O | R | | |
| Subject headings | 6XX | O | R | | |
| Added entries | 700-740 | O | R | | |

4.1. OSMOSIS recommendations for matching

4.1.1. Match Fields

Match keys are used to determine whether incoming bibliographic records to the National Union Catalogue are new or a match for another record.

| Field | MARC21 tag | Notes |
|--------------------------|---------------|---|
| OCLC number ¹ | 001 or 035\$a | Must be unique; OSMOSIS Gfixes will normalise |
| ISBN | 020a | Must be only one \$a in 020; ISBN must be unique (not in another, non-matching record); must be normalized--OSMOSIS Gfixes will normalize |
| ISBN | 022a | Must be only one \$a in 022; ISSN must be unique (not in another, non-matching record); must be normalized--OSMOSIS Gfixes will normalize |
| LCCN | 010a | Must be only one 010; must be only one \$a in 010; LCCN must be unique (not in another, non-matching record); must be normalized--OSMOSIS Gfixes will normalize |
| System number | 035\$a | Must be unique |

4.1.2. Crosscheck Fields

Where an incoming bibliographic record is found to be a likely match to bibliographic records on the National Union Catalogue a further process is used which checks more fields in the bibliographic record.

| Field | MARC21 tag | Notes |
|-----------------------|-----------------------------------|-----------------------------------|
| System Control number | 001 | Must not be repeated |
| Leader | 000/05 Record status | Must be a valid, correct code |
| Leader | 000/06 Record Type | Must be a valid, correct code |
| Leader | 000/07 Bib Level | Must be a valid, correct code |
| Fixed field | 007 | Must be present for non-print |
| Fixed field | 008 | 008 must be of the correct length |
| Fixed field | 008/23 Form code [BK,SE,MU,MX] | Must be a valid code |

¹ For both WorldCat and NZNUC matching, OCLC numbers will be found if they appear in:

001 -- formatted as:

ocmxxxxxxxx

ocnxxxxxxxx

035\$a -- formatted as:

(OCoLC)xxxxxxxx

(OCoLC)ocmxxxxxxxx

(OCoLC)ocnxxxxxxxx

Numbers shorter than 8 digits, must be zero-filled to be 8 digits.

| | | |
|--------------------------------|--------------------------|--|
| Fixed field | 008/29 Form code [MP,VM] | Must be a valid code |
| Title proper | 245a | Must not be repeated |
| GMD | 245h | Must be a valid AACR term |
| Publisher | 260b | Must be present (except for SE) |
| Date of publication | 260c | Must be present (except for SE) |
| Extent of item | 300a | Must be present (except for ER and SE) |
| Cartographic mathematical data | 255 | Must be present for maps |
| Scale note | 507 | Must be present for maps |

4.1.3. Recommended Crosscheck fields

These additional fields will enhance accuracy of crosschecks when matching.

| Fields | MARC21 tag | Notes |
|-------------------------|----------------|--|
| Date of publication | 008/07-10 | More dependable than 260\$c for crosschecking date of publication |
| Publisher Number | 028 | Useful for MU, VM |
| Edition statement | 250a | Must be present, if applicable; use abbrev |
| Place of publication | 260a | Useful for resources published in different countries |
| Dimensions | 300c | Useful for checking Big books/Little books, and for all non-print (e.g., DVD vs VHS) |
| Accompanying material | 300e | Useful for special items |
| Series number | 4XXv | Useful to verify other differences |
| Names | 1XX and/or 7XX | Should be the authorized form of name from an Authority record |
| Part numbers and titles | 245n and p | Be consistent in using |
| Subtitles | 245b | Be consistent in using |

Abbreviations:

- BK = books
- ER = electronic resources
- MP = maps
- MU = music
- MX = mixed material
- SE = serials
- VM = visual material

4.2. Editing Bibliographic records and Worldcat

| Field | MARC21 tag | Notes |
|-------------|----------------------------|--|
| OCLC number | 035\$a a(OCoLC)<number> | The OCLC number is very important for matching library catalogue records in the National Union Catalogue and WorldCat and for the deep linking of library holdings. Only remove the OCLC number when a catalogue record is being used as a template or clone to create another bibliographic record. |

5. Quick Guide for Abbreviated Records

This guide is based on AACR2r 1.0D1 with minor variations.

The table contains the MARC21 fields and tags for a level below that for the first level of description of AACR2r 1.0D1.

MARC21 fields marked mandatory (M) must be included in bibliographic records.

Those marked "A" are included in a bibliographic record if applicable to the item being catalogued.

MARC21 fields that are necessary for duplicate detection and search limiting are included

The Leader, Fixed Fields and the ability to repeat fields are included in this table if you catalogue to your local library system or use Te Puna cataloguing client and batch load records to the NUC.

They cannot be input into Webcat.

| Field | MARC Tag | M = Mandatory A = Mandatory if applicable or available O = Optional | Repeatable | Required for Search limiting | Required for duplicate detection /OSMOSIS |
|--------------------------------------|---|---|------------|------------------------------|---|
| Record Status | Leader character position 05 | M | NA | | |
| Type of Record | Leader character position 06 | M | NA | Yes | |
| Bibliographic level | Leader position 07 | M | NA | Yes | |
| Encoding level | Leader character position 17 (automatically set at 3) | M | NA | | Yes |
| | | | | | |
| ISBNISSN | 020022 | AA | RR | | Yes Yes |
| Other Standard Number | 024 | A | R | | Yes |
| Cataloguing Source | 040 a | M | NR | | Yes |
| Title | 245 a | M | NR | | Yes |
| | | | | | |
| Statement of responsibility (Author) | 245 c | A | NR | | |
| General material designation | 245 h | A | NR | | Yes |
| Filing indicator | 245 ind.2 | M | NR | | |
| Edition | 250 | A | NR | | |
| First publisher | 260 b | A | R | | |
| Date of publication | 260 c | A | R | | |

| <i>The MARC21 fields listed below can be added to minimum level, but it is important to recognise that they are optional, and not part of the minimum standard</i> | | | | | |
|--|-------|---|----|--|--|
| Other title | 245 b | O | NR | | |
| Volume designation | 362 | O | R | | |
| Place of publication | 260 a | O | R | | |
| Collation | 300 a | O | R | | |
| Series | 490 | O | R | | |
| Notes | 500 | O | R | | |
| Uncontrolled name | 720 | O | R | | |

6. NUC Holdings Records

| | |
|--|---|
| <p>About holdings records</p> | <p>Holdings records on the National Union Catalogue (NUC) describe which libraries hold an item and if it is a single part item, serial or multi-part work. Serials and multi-part works often include a statement of extent. The NUC contains MARC21 holdings records, which are linked to the related MARC21 bibliographic records.</p> |
| <p>Holdings and the Te Puna Cataloguing Client</p> | <p>Holdings records can be created in the Te Puna Cataloguing Client and the record structure is the “MARC21 Format for Holdings Data” (Mfhd). MFHDs contains a leader, a 008 fixed field and variable fields. A MFHD may also contain one 007 fixed field (optional).</p> <p>The Leader/06 (type of record) in the MARC21 holdings record contains information for three types of items and are identified by codes x, v, or y:</p> <ol style="list-style-type: none"> 1. Single part items - Leader 06, code x (e.g. a one volume book, a score, a CD-ROM) 2. Multipart items complete or intended to be complete - Leader 06, code v (e.g. a ten volume encyclopedia, a multimedia kit, a set of maps) 3. Serial items issued in successive parts and intended to be continued indefinitely - Leader 06, code y. <p>There are some special requirements for e-serials.</p> <p>The Quick Guide for Holdings Records is available based on “ANSI/NISO Z39.71, Holdings Statements for Bibliographic Items”. This standard applies to single part, multipart and serial records and to items in any physical or electronic medium. The data elements specified in ANSI/NISO Z39.71, can be mapped to corresponding MARC holdings format content designation.</p> |
| <p>Holdings and Te Puna Webcat</p> | <p>On Te Puna Webcat holdings information is entered into a web form. For information about how to add holdings see the Webcat manual p. 9-10, and Appendix A.</p> |

7. OCLC Holdings Records

| | |
|---|--|
| <p>About OCLC holdings records</p> | <p>OCLC WorldCat contains OCLC-MARC holdings based on the “OCLC Local Holdings Format and Standards” and are known as OCLC local holdings records (LHRs)</p> <p>OCLC local holdings records are linked to the related WorldCat bibliographic record. They provide holdings details beyond the OCLC institution symbol.</p> |
| <p>Holdings: Connexion and CatExpress</p> | <p>Local Holdings Records (LHRs) can be created, edited and deleted using the Connexion browser and client and CatExpress.</p> <p>EWG recommend the use of OCLC documentation when creating holdings records because some fields refer to OCLC lending policies and the terminologies for local holdings maintenance are specific to OCLC.</p> <p>The following resources are available for Local Holdings Maintenance:</p> <ul style="list-style-type: none">• A primer about the “Principles & Standards for Local Holdings Records” is available on the OCLC Website• Tutorials for instruction on local holdings maintenance.• A user guide for CatExpress is available on the ICLC for “OCLC Cataloging Express Service User Guide” |

8. Quick Guide for Holdings Records

8.1. Adding holdings using the Te Puna Cataloguing Client

8.1.1. Single part items

The minimum level for a holding is level 1 of the ANSI/NISO standard. The library symbol entered in the 852 \$b subfield is required.

The leader/06 should be set to x.

| Field | MARC21 tag | Subfield | Mandatory = M Not used = NA Optional = O |
|--|------------|----------|--|
| | 007 | | NA |
| | 008 | | NA |
| Institution symbol | 852 | b | M |
| <i>The MARC21 fields listed below are optional and not a requirement when adding holdings on the NUC</i> | | | |
| Call number prefix | 852 | k | O |
| Call number | 852 | h | O |
| Item part | 852 | i | O |
| Public note | 852 | z | O |

8.1.2. Multipart items

The minimum level for a holding is level 1 of the ANSI/NISO standard. The library symbol entered in the 852 \$b subfield is required. Optionally, the parts held may be entered in an 866 \$a subfield.

The leader/06 should be set to v.

8.1.3. Serial items

The minimum level for a holding statement is level 3 of the ANSI/NISO standard. The library symbol entered in the 852 \$b subfield, and an [extent of holdings](#) entered in the 866 \$a subfield are required.

The leader/06 is set to y.

The following information may be added:

| Field | MARC21 tag | Subfield | Mandatory = M Optional = O |
|--|------------|----------|-------------------------------|
| Institution symbol | 852 | b | M |
| Extent of holdings | 866 | a | M |
| <i>The MARC21 fields listed below are optional and not a requirement when adding holdings on the NUC</i> | | | |
| | 007 | | O |
| | 008 | | O |
| Call number | 852 | h | O |
| Public note | 866 | z | O |

8.1.4. E-serials

Libraries are encouraged to add holdings records for e-serial subscriptions even if the e-serial is not available for interloan.

The following information may be included in the holdings:

| MARC21 tag | Subfield | | |
|------------|----------------------|-----------------------|-------------------------------|
| 852 | b Institution symbol | h Electronic resource | z Interloan availability note |
| 866 | a Extent of holdings | | |

For more information see: [Guidelines for cataloguing e-serials on the NBD](#) p. 3-4.

8.2. Adding holdings using the Te Puna Webcat form

For information about adding holdings in Webcat see the [Webcat manual](#) p. 9-10, and Appendix A.

The following table has been reproduced from the Webcat manual.

| Name | Description |
|-----------------------|--|
| Location | This defaults to your own location. If you catalogue for more than one location, select from the drop down list. |
| Call number | Enter your call number (optional). |
| Classification Scheme | The default is 'No information provided'. Don't change this unless you intend to include a call number in which case select classification scheme from the list. |
| | Note: If you are adding a holding for a monograph you may choose to go no further than this. |
| Date of report | Leave blank. |
| Holdings | Use only for serials |
| Holdings note | Enter as appropriate. Examples: <i>Some issues missing; Ref only; N/A for interloan</i> |
| Record status | The default is 'New'. Don't change this. |
| Encoding Level | Choose Holdings level 3 for serials. Leave at level 1 for monographs. |
| Completeness | No need to select – you can leave at the default. |
| Retention | No need to select – you can leave at the default. |
| Physical form | No need to select – you can leave at the default. |
| Acquisition status | No need to select – you can leave at the default. |