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HELIN Cataloging Policies and Procedures Manual

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HELIN Cataloging Policies and Procedures Manual

Compiled by the HELIN Cataloging Affinity Group
October 26, 2011 Revision
"The more information, the richer the record"

I. General Principles

A. Statement of Mutual Understanding.

As management of our individual and collective resources (analog and digital) continues to evolve, Cataloging Affinity Group members agreed that harnessing our collective knowledge and experience through regular and ongoing

conversations about our respective institutional implementations of new services and/or tools will mitigate direct or indirect negative impact to individual and collective workflows and workloads.

B. Statement of Cataloging Cooperation.

In order to appropriately share the cataloging work in a consortial environment, special attention should be paid to the provisions in Section IV.A.1., on general editing principles, and on Section VI.B.4., on handling duplicate records. In brief, catalogers should only delete records solely held by their own institution, and should only transfer attached records (e.g., item, order, checkin, etc.) that belong to their own institution. When in doubt about editing or replacing bibliographic records with attached records belonging to other institutions, catalogers at the affected institutions should be contacted.

C. HELIN bibliographic and authority records are added and maintained in accordance with the following general principles:

1. **National cataloging and authority control standards are followed.** (See *Appendix A*). OCLC and SkyRiver are the authorized bibliographic utilities used in the HELIN catalog.

2. While catalogers should conform to the current cataloging standard, there are records from several cataloging standards present in the catalog. No attempt has been made to replace records from older standards with records created under newer standards. However, fields under authority control are maintained according to the principles of the current cataloging code.

3. While RDA has not been officially implemented, RDA records may be used. However, certain fields need to be checked in order for these records to work well with the other records in the catalog. RDA-specific fields (such as 3XX fields) should not be deleted from the record, as they will be needed when RDA is implemented.

   a. Indexed headings must be checked (personal and corporate names). Only AACR2 headings should be used, since our authority file and our authority control vendor are using AACR2 headings. This is especially true for personal name headings.

   Using Ctrl+h to verify the headings is not sufficient; one must investigate the headings further.

   b. Non-book materials will need a 245 |h general material designation.

c. 505 notes will probably need to be edited. They typically begin with the phrase "Machine-generated contents note", and the note is often incorrect, or in caps, etc. Since the note is machine-generated, sometimes the words are nonsensical. Please review this field.

d. There are other differences between AACR2 records and RDA records; RDA records should be reviewed by catalogers.

D. Overlaying of HELIN MARC records is based on bibliographic utility control number, with the exception of special overlaying provisions made for vendor-supplied records. (See **Section III**).

With the adoption of SkyRiver (October 1, 2010) as a second bibliographic utility, HELIN MARC records may include more than one control number (i.e., 001 from OCLC and/or 001 from SkyRiver). When two control numbers exist, the OCLC control number will be the first control number listed in the bibliographic record. (See Section VI. Bibliographic Record Maintenance).

E. HELIN bibliographic records are shared by all libraries that contribute to the HELIN Catalog and should contain no local information. Local information should reside in attached records (e.g., item, checkin records.)

F. Duplicate records should be avoided (See **Section VI.B**).

G. Each authorized heading is represented by only one authority record in each authority file. Authority records are shared by all libraries that contribute to the HELIN Catalog and are visible to OPAC users. (See **Section VIII**).

H. The language of cataloging in the HELIN consortium shared bibliographic database is English. While descriptive information for materials in other languages must appear in those languages, there are certain fields in the record that must be in English:

- The general material designator (245 |h), if used;
- The physical description (300);
- All 5XX notes that are not quoted from the item;
- Subject headings

In the OCLC bibliographic utility, items cataloged in languages other than English are often identified with a subfield b in the 040 field, indicating the language of cataloging. Thus, an 040 of the form 040 FLD|bfre|cFLD has been cataloged by the institution FLD, and the language of cataloging is French.

HELIN libraries should follow the policy used by the bibliographic utility for creating parallel records in English, as necessary. (OCLC's instructions are here: http://www.oclc.org/bibformats/en/specialcataloging/default.shtm#BCGBAEHC.)

II. Types of Bibliographic Records Allowed.

A. MARC records added from a bibliographic utility or from HELIN authorized vendors through exporting or batch loading by the Central Office.

The cataloging affinity group is only in favor of loading records for patron driven acquisitions in the HELIN catalog if the purchases will be available for the entire consortium.

B. Non-MARC records added through KEY NEW RECORDS function in the Catalog Database Maintenance Subsystem. Limited to the following types: "On the fly" records; Reserves records; brief bibliographic records with attached order records; and vertical file records.

See *Appendix B* for a list of Innopac field tags used in non-MARC record keying.

C. Non-MARC records added through batch loading or GENERATE A DUPLICATE RECORD function. Limited to the following types: MARCIVE shipping records.

III. Overlaying of HELIN Bibliographic Records.

A. The default overlay is by bibliographic utility control number.

B. However, if the only bibliographic record in the HELIN Catalog is a non-MARC or brief MARC record with an attached order record, the overlay key may be the HELIN bibliographic record number or the order record number.

C. To overlay by bibliographic record number, add the following 949 field to the bibliographic record to be exported into the HELIN Catalog:

949------*ova=.b_____;

D. To overlay by order record number, add the following 949 field to the bibliographic record to be exported into the HELIN Catalog:

949------*ova=.o_____;

E. Brief MARCIVE shipping records are overlaid by full MARCIVE bibliographic records, supplied by GPO. The overlaying mechanism is the MARCIVE control number (035 field.)

F. Overlaying of Serials Solutions records (only by other Serials Solutions records) is accomplished via the 001 field, which contains the Serials Solutions record number.

G. 856 and 962 fields are protected from overlay. (For more information about updating 856 fields, see Section IV.A.2.)

H. When importing a record from a bibliographic utility, take note of the "Mat Type" (material type) field in the bibliographic record header. Some codes used for local Mat Types correspond to the Type code used in MARC21 fixed fields, but some do not, and they will need to be changed by the institution importing the record. For the list of current Material Types, check the bibliographic header in the record, or contact the HELIN Knowledge Management Librarian.

While theses and dissertations are traditionally cataloged with Type t (for unpublished manuscript), HELIN libraries change that code to Mat Type a (Books, etc.) in HELIN, since it is more likely that users would look for theses under the books facet than the manuscript facet (excepting theses published in other formats, such as videos or software programs).

IV. Selection and Editing Policies.

    A. General Policies.

        1. Recommended Changes and Enhancements.

            a. In order to keep the HELIN Catalog consistent with OCLC input standards the following changes to MARC records added to the HELIN Catalog from a bibliographic utility are allowed:

            (1). Upgrading fixed field information
            (2). Adding/changing call number
            (3). Changing 049 to appropriate location code
            (4). Completing missing data in CIP records
            (5). Adding titles or other added entries
            (6). Adding/correcting subject headings

(7). Adding/changing notes applying to the bibliographic record
(8). Changing obsolete headings
(9). Deleting obsolete fields that would not be caught by the exporting parameters
(10). Correcting typographical errors
(11). Correcting coding errors
(12). Upgrading to International Standard Bibliographic Description   (ISBD)
(13). Adding missing/new access points (010, 020, 246, 730, etc.)
(14).   Adding/editing 856 fields

b. Changes to batchloaded records loaded by the Central Office should be kept to a minimum and monitored by the Knowledge Management Librarian at the Central Office. If a cataloger notices any egregious errors in a batchloaded record used with ERM, the HELIN Knowledge Management Librarian should be notified. The record will need to be edited by the vendor so that the error is not downloaded in a future batchload.

2. Maintaining URLs. **See also specific instructions on URLs included in Section IV.B. Policies Concerning Electronic Resources.**

a. URLs in Bibliographic Records

When a bibliographic record added to the HELIN Catalog is the first representation of a particular title, any URL in the record for a service not subscribed to by the library responsible for adding the record, should be moved from the 856 field to a 530 field.

b. Uncorrectable URLs

If a URL in a bibliographic record is uncorrectable or dead, contact the inputting library.

c. URLs and PURLs

When a bibliographic record contains both a URL and a PURL for the same resource, the PURL should be retained in the 856 and the URL should be moved from the 856 to a 530 field.

d. Language in subfield z of the 856 field.

When the URL in a bibliographic record leads to an electronic version of the same title cited in the 245 field, do not reiterate the title in the subfield z.

Information regarding the technical aspects of accessing a resource (e.g."In PDF format") normally should not be included in subfield z. Place this type of information in note (5xx) fields. Exceptions might be federal government publications.

When the URL leads to supplementary material, use:

|z View [teaching guide, examples, etc.] online

e. Publisher supplied 856 fields.

Delete publisher supplied 856 fields. Publisher-supplied 856 fields to be deleted may include Table of Contents, Publisher Description, Contributor Biographical Information, and so forth.

f. Overlay protection for 856 fields

856 fields are protected from overlay. Any record downloaded from OCLC which overlays a record currently in the catalog will not contain the current OCLC 856 field. The original 856 field in the HELIN catalog will be retained. Any editing of the 856 field for an overlaid record must take place in the HELIN catalog.

3.Classification policies

Call numbers should not be deleted from bibliographic records. They are not indexed and are suppressed in the OPAC. When a change is made in an item record call number, it is not necessary to make a corresponding change in the bibliographic record.

4.Notes fields.

a. Local notes normally placed in 590 fields of OCLC records should be placed instead in item note fields.

b. Edit or delete 520 fields whose sole purpose is to market the described resources.

5. Form Subdivisions and 655 Genre Headings

a. Form subdivisions indicate what an item **is** rather than what it is about. Items can be assigned form subdivisions because of their physical characteristic, the particular type of data they represent, the arrangement of information within them, their style, technique, purpose, or intended audience, or a combination of these factors. A subject heading may contain multiple subfield v fields. The

Library of Congress began assigning subfield |v to bibliographic records on Feb. 17, 1999.

It is not necessary to go back into the HELIN database to update old form subfields, but records being added should include the correct subfield headings.

Note: The subfield heading "Databases" is only used for datasets. It is *not* used to indicate article 'databases', as they are commonly known in libraries.

b. 655 Genre Headings are subject-like terms describing what the material IS rather than what it is ABOUT. Allowing users access to these terms should increase their ability to find particular kinds of literature, films, etc. As a local policy, HELIN only accepts 655 fields utilizing LCGFT, GSAFD, and LCSH, i.e. 655_7 Historical fiction. 2 gsafd.

Genre headings are indexed with subject headings.

6. Serial Title Changes or Ceased Serial Publications

When a serial ceases or a title changes, close out the record for the old title by making the following changes, if possible:

008 Change publication status to "d" (dead)
008 Add correct ending date
260 Add closing date in subfield "c"
300 Add the number of bibliographic volumes
362 0_ Add volume, number, and date of last issue (last issue in hand)
                 OR
362 1_ Add "ceased in xxxx" if last issue is not in hand or known
785 00 Add link to later title, if appropriate

7. Suppression of Bibliographic Records

If only one HELIN library holds a particular bibliographic entity, then that library may suppress the bibliographic record from public view by changing the bcode3 to 'n'. Add the word SUPPRESSED at the end of the 245|a , 020|a and 022|a fields to clearly indicate that the record is suppressed. Remove the 001 field.

Bibliographic records are typically suppressed only if they are vendor-supplied brief acquisitions records (see Section V.D.) or if the records were created for tracking order and/or checkin information that is not to be displayed to the public.

If more than one HELIN library holds the bibliographic entity, a particular library may suppress its own attached records (item, order, check-in) but not the bibliographic record itself. **WARNING**: a library's symbol will remain listed in the location field of the bibliographic record and will show in an index display in the OPAC, even if the attached records are suppressed.

8. Downloading from Bibliographic Utilities.

a. Bibliographic Fields That Export into the HELIN Catalog.

The listing of fields and subfields that are captured in HELIN MARC records and item records can be viewed by looking at the MARC Load Tables category in the HELIN online system. To access these Tables, the Telnet client is required. Make the following choices at the HELIN Main Menu: Management Information > Information about the System > Codes used.

b. 949 Field Subfields for HELIN Item Record Creation:

|a : Call number
|b : LC call number cutter number (tag is optional)
|c : Volume information, free-text
|d : Volume designator. Repeat for each volume designation (Ex. |dv.)
|e : Volume number. Follows volume designator (Ex. |e1)
|f : Call number prestamp (Ex. |fREF)
|g : Copy number (for copy 2 and higher)
|i : Bar code number
|k : Call number poststamp (Ex. |k Oversize)
|l : Holding location code (5-letter code)
|m : Short message (limited to 15 characters), visible to users. Input as a one-character code. Codes determined by HELIN consortium. (Ex. |mk ; k = "With CRC kits")
|n : Variable-length note, visible to staff only (Ex. |n Lib. sends superseded editions to the English Department)
|o : Variable-length note, visible to users. (Ex. Author's autograph presentation copy)
|p: Price
|q: Icode1, any number from 0-32767, value determined by each library
|r: Icode2, single digit code, value determined by each library. Exception: n = suppress
|s : Status of item. One-character code. Codes determined by HELIN consortium. Default code is " - " ("Available")
|t : Item type. Default code is "0" ("Circulating"). "1" should be used for a non-circulating item which is shelved in a circulating collection.
|u : Variable-length message, visible to staff checking in or checking out items in Circulation Mode. (Ex. Check for 4 pieces in box)
|z : Call number type. MARC tag types are used (060,086, 090, 096, 098, 092, 099)

9. Record Selection for Non-Electronic Serials.

  a. A single bibliographic record should be used to represent the paper and microform editions of the same serial title.

  b. The bibliographic record for the serial title in paper form should be used in preference to the microform record. To ascertain whether or not a HELIN MARC record for the title in paper form already resides in the HELIN Catalog, search the Catalog before downloading a record for the title in microform. If the title for the paper form does reside in the HELIN Catalog, add an item record for the microform edition to this bibliographic record.

  c. If a MARC bibliographic record for a serial title in paper form does not reside in the HELIN Catalog, a MARC bibliographic record for the microform edition of the title may be downloaded into the catalog.

  d. In compliance with prevailing standards, the practice of using successive title entry (versus latest title entry) should be followed for representation of serial titles in the HELIN Catalog.

  e. A single bibliographic record should be used to represent a serial title whose various publishing frequencies (e.g., monthly, annual, biennial) in the same format are represented in a bibiliographic utility by more than one valid bibliographic record. The bibliographic record that represents the greatest publishing frequency (e.g., record for monthly issues rather than the record for the annual) should be used.

10. Record Selection for Federal Government Documents.

  a. Several HELIN libraries receive their bibliographic and item records from MARCIVE, which in turn obtains these records from GPO. GPO catalogs paper and microformat on different bibliographic records, so the HELIN Catalog complies with this policy. Brief MARCIVE shipping list records are overlayed with full bibliographic records, when GPO or one of GPO's contracting agencies has cataloged these titles.

  b. Libraries not using MARCIVE should attach their holdings to bibliographic records supplied by MARCIVE, as long as they own the same bibliographic entities. If there is no bibliographic record in the HELIN Catalog, the appropriate record should be downloaded from a bibliographic utility. (See Section IV.B.2 for information pertaining to electronic government documents.)

c. Duplicate bibliographic records for government documents will be merged.

B. Policies Concerning Electronic Resources

1. General information.

a. The policies described in this section reflect HELIN-established practices for cataloging electronic resources of the following types:

Audiovisual Files
E-resources (pre-1900)
E-resources (other)
Databases/Websites
E-Books
E-Journals
Online Music
Online Videos
Online Spoken Audio
Web Gov't Docs

Sections for other types of resources will be added, as needed.

b. In the charts below, information for each material type is divided into the following topical sections:

Criteria for Inclusion
Sources for Bibliographic Records
Edits to Bibliographic Records
Peripheral Records
Classification
Maintenance and Deletion

c. In the charts below, three general types of access are identified for each material type.
These are:

HELIN proprietary Access (purchased by consortium)
Institution-specific Access (purchased by institution)
Universal Access (no fee paid; see also Section e below)

d. In general, HELIN observes the "multiple records" approach to cataloging electronic resources, whereby a separate record is required to represent the electronic version of a given work. The

extent to which this record will describe the characteristics specific to the format may vary. However, minimum encoding, descriptive and access point requirements are included in these policies. Provider-neutral e-monograph records are used when catalogers add e-monographs to the collection. If a cataloger intends to add an e-monograph to the catalog and there is already an e-monograph record for that title, the existing record should be modified to function as a provider-neutral e-monograph record. However, if the existing record has letters in the 001 field, then it is from a batch load from the Central Office. Such records should not be modified, and a separate provider-neutral e-monograph record should be added to the catalog. See the Provider-Neutral e-monograph MARC record guide.

e. Consortium members are required by HELIN policy to attach and **suppress item records for Universal Access e-resources**. In order to make catalog users aware of the accessibility of these resources, distinctive location codes assigned to member institutions are inserted in item records. Government documents are not considered Universal Access resources. Therefore, item records for government documents are not suppressed.

f. Refer to Section IV.A.2 for more information about maintaining URLs (856 fields) in HELIN records.

g. For supplemental information on national and international cataloging standards please refer to the following documentation:

Cataloging Electronic Resources: OCLC-MARC Coding Guidelines
http://www.oclc.org/support/documentation/worldcat/cataloging/electronicresources/default.htm

ISBD(ER): International Standard for Bibliographic Description of Electronic Resources / International Federation of Library Associations & Institutions
http://www.ifla.org/VII/s13/pubs/isbd.htm

Module 31: Remote Access, Electronic Serials (Online Serials) / Library of Congress, Cooperative Online Serials (CONSER)
http://www.loc.gov/acq/conser/Module31.pdf

OCLC Bibliographic Formats and Standards
http://www.oclc.org/bibformats/en/default.shtm

SkyRiver Formats and Standards Manual (available in the SkyRiver client)

PCC Standing Committee on Automation (SCA) 2nd Task Group on Journals in Aggregator Databases Final Report (October 2001) / Library of Congress, Program for Cooperative Cataloging (PCC)
http://www.loc.gov/catdir/pcc/sca/aggtg2final.html

Metadata Application Profile (MAP) for the Provider-Neutral e-monograph record
(Use in conjunction with *MARC21 Format for Bibliographic Data*)
Based on the "Provider-Neutral E-Monograph MARC Record Guide" published by the Program for Cooperative Cataloging (PCC). HELIN-specific guidelines are in red:

M = Mandatory   A= Mandatory if applicable   O=Optional   X=Not used

Leader		M	System-supplied except as below
06 Type of record		M	Use the code appropriate to the type of material, according to the MARC 21 guidelines (e.g., language material and manuscripts published online should be coded type "a")
07 Bibliographic level		M	(Default code currently = "m")
006	Fixed-length data elements – additional material characteristics	A/O	First byte is mandatory. Use code "m". Optionally, add an additional 006 field with the appropriate first byte value when the resource is an online reproduction of a manuscript. The code used will vary according to the type of reproduction (e.g., "t" for a reproduction of manuscript language material, "a" for notated music manuscript, etc.)
007	Physical description fixed Field	A	First two bytes are mandatory. Use codes "c" and "r"
008	Fixed-length data elements – general information	M	Code as for any online monograph. Use code "s" for Form of item in byte 008/23 for Books and all other formats except for Cartographic and Visual materials which use byte 008/29

010	LC control number	A	Do not include print LCCN here but move it to the 776 field instead
020	ISBN	A	If there is an electronic ISBN (e-ISBN) as well as other ISBNs, record the e-ISBN in field 020 $a as the first ISBN, record other ISBNs in 020 $z, and copy the print ISBN (p-ISBN) to field 776 $z. If it is unclear which format the ISBN represents—as often occurs with simultaneously issued versions—then use $z for any ISBN in the e-version record. RECORD ALL ISBN NUMBERS IN $a WITH PARENTHESES TO INDICATE PRINT OR ELECTRONIC. COPY PRINT ISBN TO 776
040	Cataloging source	M	Assign the MARC code for the original/transcribing cataloging agency creating the e-resource record in $a. Do not assign the MARC code from the 040 $a of the print/other format source record
050/060/082/086	Classification numbers	O	Use of classification strongly encouraged but not required. If using 050/060, set first indicator to blank and second indicator to 4
245	Title	M	Use subfield "h [electronic resource]" after subfields "a" "n" or "p"
246	Varying forms of titles	A	Use if applicable Example: 246 1_ $i Available from some providers with title: $a <title>
250	Edition	A	Record only edition statements originating from the original publisher/society; ignore statements that pertain to specific provider versions
256	Computer file	X	Do not use

	characteristics		
260	Publication, distribution, etc.	M	Record first named publication information that applies to all known instances of the online resource. If the eresource being cataloged is an online reproduction of a print monograph, usually the publisher/distributor information will come from the original print/other format source record
300	"Physical" description	M	Use "1 online resource" in $a. If available, include the pagination in parentheses followed by any illustrative matter, e.g., 1 online resource (25 p.) : $b ill. Exclude the original subfield "c". Examine any subfield "e" in the record, to make sure it is still applicable
490	Series statement	A	Record series as it applies to all known instances of the online resource. When the e-version is being used as the basis of the description and only one ISSN appears in the resource being described, record that ISSN in the 490 field. If both a print ISSN (p-ISSN) and an electronic ISSN (e-ISSN) appear in the resource being described, record the e-ISSN. When the print version is being used as the basis of the description, use whatever ISSN appears on that record. If no ISSN appears in the existing record, do not add any ISSN to the 490 field
500	Source of title	M	Use as first note; do not use if "Description based on print/other format version record" (DBO) note is

			present. Prefer field 588 for this information, once it has been implemented by OCLC
500	"Description based on print/other format version record"	A	Use when provider-neutral record is based on the print or other format version record; add a 776 field for that version. Example: 500 Description based on print version record. Prefer field 588 for this information, once it has been implemented by OCLC
500/550	Issued by [package provider]; Issued as part of [package provider]; Issued in [package provider]	X	Use package/provider names, if desired, in local record only
506	Restrictions on access	A X	Use only for records for DLF Registry of Digital Masters and other digital preservation projects. For other resources – use restrictions information, if desired, in local record only
516	Type of computer file	A X	Generally do not use unless e-resource has unusual properties
530	Additional physical form	X	Generally do not use; prefer subfield "i" in the 776 field
533	Electronic reproduction	A X	Use only for records for DLF Registry of Digital Masters and other digital preservation projects. Use with subfield "5"
534	Original version	X	Do not use, unless the e-resource being described is a part of a larger original resource but is sufficiently different to warrant a separate record. (e.g., the eresource is one poem scanned from a book of poems). In this case, record the provider information in the 260 and 008/7-10 fields, and record the

			information of the original resource in the 534 field
538	Systems requirements	A X	Use only for records for DLF Registry of Digital Masters and other digital preservation projects. Use with subfield "5"
540	Terms of use	X	Do not use
583	Action	A X	Use only for records for DLF Registry of Digital Masters and other digital preservation projects. Use with subfield "5"
700/710/711 /730	Added entry	A O	Use if applicable to all known instances of the online resource. Do not use for package/provider names (records for DLF Registry of Digital Masters and other digital preservation projects excepted) . HELIN LIBRARIES CAN CHOOSE TO ADD PROVIDER NAMES IN 710 AND 730 FIELDS. THE EXISTENCE OF PROVIDER NAMES IN 856 FIELDS WILL BE CONSIDERED JUSTIFICATION FOR THIS OPTION.
773	Host item entry	X	Do not use
776	Other format IF OTHER FORMAT EXISTS	A M	Often used in conjunction with a 500 "Description based on print/other format version record" note. If cataloging in the OCLC environment, prefer OCLC's "insert from cited record" technique. Use 776 subfield "i" rather than 530 field to describe the type of resource recorded in the 776 field, e.g., 776 08 $i Print version: $a
800/810/811 /830	Series added entry	A	Use the authorized print form of the heading when

			providing an added entry for a series that exists in print as well as online. For series that exist only online, use the authorized form of the online series. Do not use for package/provider series (records for DLF Registry of Digital Masters and other digital preservation projects excepted). When OCLC implements 8XX $x for series ISSN, use the print ISSN rather than the online ISSN for series that exist in print as well as online. The ISSN for the online version should be used for series that exist only online
856	Electronic location and access	A M	Use subfield "u" for URLs that are general (not institution specific). Do not use subfield "z" for information that is institution specific

2. Audiovisual Files, E-Resources, Online Music, Video, Spoken Audio, Web Government Documents

a. Criteria for Inclusion

Inclusion in the catalog is at the discretion of each HELIN library. Permission to store digital files on the HELIN server must be authorized by the HELIN Executive Director in conjunction with the HELIN Board.

b. Sources for Bibliographic Records

Only authorized bibliographic utilities are to be used for records added individually. Permission to load record sets from these utilities or an alternative source must be authorized by the HELIN Executive Director in conjunction with the HELIN Board.

c. Minimal Requirements for Bibliographic Records:

Field	HELIN Proprietary	Institution-Specific	Universal Access
Bib Loc	HELIN	Institution symbol	Institution symbol
Mat Type	Code as appropriate	Code as appropriate	Code as appropriate
006	Mz	Mz	mz
007	Optional	Optional	Optional
008/Form	s	S	s
245|h	[electronic resource]	[electronic resource]	[electronic resource]
300	N/A	N/A	N/A
500	(x min.) Describe as appropriate.	(x min.) Describe as appropriate.	(x min.) Describe as appropriate.
506	Describe access restrictions in general (optional)	Describe access restrictions in general (optional)	**Describe nature of access (i.e. unlimited)**
710	Corporate heading for provider	Corporate heading	Corporate heading
856|u (Universal access)	N/A	N/A	URL
856|u (IP recognition and remote access through HELIN proxy)	0-<host site server URL>.helin.uri.edu/<rest of host site URL>	0-<host site server URL>.helin.uri.edu/<rest of host site URL>	N/A
856|u (password access)	N/A	URL from provider	N/A
856|z (Universal access)			View online
856|z (IP recognition and remote access through HELIN proxy)	Brief, free-text phrase indicating nature or scope of access	**View online ; Access limited to <Institution bib symbol>**	N/A

856|z (password access)	N/A	**View online ; Access with password limited to \<Institution bib symbol\> ; Ask at Reference Desk**	N/A

d. Peripheral Records – Item

	HELIN Proprietary	**Institution-Specific**	**Universal Access**
Attach	No	Yes	Yes (Suppressed)
Location	N/A	Institutional E-R code	Institutional No-fee E-R code
Status	N/A	Available (-) or Limited (h)	Available (-)
Call number (c)	N/A	Discretionary	Discretionary

e. Peripheral Records – Order

	HELIN Proprietary	**Institution-Specific**	**Universal Access**
Attach	No	Optional	NA

f. Classification :

Classify materials according to institution's practice. See Best Practices appendices for discussion and examples.

g. Maintenance and Deletion of Bibliographic Record:

	HELIN Proprietary	**Institution-Specific**	**Universal Access**
Connectivity	Verified by HELIN staff	Verified by institution staff	Verified by institution staff
Deletion	HELIN staff only	Last holding institution	Last holding institution

Electronic government documents: If a cataloger wishes to add an online federal government document to the catalog for a freely available resource that was not included in a Marcive bib load, the item record should be assigned the location code of HGOV, and the 856\|z should be "View online". Also, the Mat type in the bibliographic record

would need to be changed to h for textual material only, which will allow the Web Gov Doc icon to display in the catalog. (Mat types for non-textual material such as video or map should not be changed.)

For online state government documents that are freely available, the cataloger should assign the location code of HGOV in the item record, and use the 956|z of "View online". However, the Mat type in the bib record should be changed to "n" (e-resource (pre-1900)) or "t" (e-resource (other). We do not want to use h in this instance, since it results in a federal depository icon displaying in the OPAC.

Federal and state online government documents are also treated differently so that statistics may be gathered separately on the two classes of material.

3. Reference databases/Websites

a. Criteria for Inclusion

Inclusion in the catalog is at the discretion of each HELIN library.

b. Sources for Bibliographic Records

Only authorized bibliographic utilities are to be used for records added individually.

c. Minimal Requirements for Bibliographic Records:

Field	HELIN Proprietary	Institution-Specific	Universal Access
Bib Loc	HELIN	Institution symbol	Institution symbol
Mat Type	Code as appropriate *	Code as appropriate *	Code as appropriate *
006	Code as appropriate *	Code as appropriate *	Code as appropriate *
007	Optional	Optional	Optional
008/Form	S	S	s
245|h	[electronic resource]	[electronic resource]	[electronic resource]
300	N/A	N/A	N/A
506	Describe access restrictions in general (optional)	Describe access restrictions in general (optional)	**Describe free availability of resource.**
710	Corporate heading for provider	Corporate heading…	Corporate heading…

856|u (remote access through HELIN proxy)	0-<host site server URL>.helin.uri.edu/<rest of host site URL>	0-<host site server URL>.helin.uri.edu/<rest of host site URL>	N/A
856|u (password access)	N/A	URL from provider	N/A
856|z	Brief, free-text phrase indicating nature or scope of access	**View online ; Access limited to <Institution bib symbol>**	View online
856|z (password access)	N/A	**View online ; Access with password limited to <Institution bib symbol> ; Ask at Reference Desk**	View online

*Please refer to the section of "Type of Record" Coding (Fixed Field Type) and "Type and File" Coding in
http://www.oclc.org/support/documentation/worldcat/cataloging/electronicresources/ for guidance. Mat Type coding is HELIN-specific; consult the drop-down menu in the Mat Type field in the catalog for a list of codes.

AskRI databases: Individual institutions may (or may not) add an electronic item record to the bib record for a database provided through an AskRI subscription, using that institution's own electronic resource location code. However, instead of listing each institution's name in the 856\|z, the 856\|z should say: View online ; access limited to HELIN.

d. Peripheral Records – Check in record (no card)*

	HELIN Proprietary	**Institution-Specific**	**Universal Access**
Attach	No	Optional*	Optional*
Location	N/A	Institutional E-R code	Institutional No-fee E-R code
Lib Has	N/A	Electronic Access	Electronic Access
Call number (c)	N/A	Discretionary	Discretionary

e. Peripheral Records – Item

	HELIN Proprietary	Institution-Specific	Universal Access
Attach	No	Optional*	Optional* (Supressed)
Location	N/A	Institutional E-R code	Institutional No-fee E-R code
Status	N/A	Limited (h)	Available (-)
Call number (c)	N/A	Discretionary	Discretionary

f. Peripheral Records – Order

	HELIN Proprietary	Institution-Specific	Universal Access
Attach	No	Optional*	NA

*A minimum of one peripheral record per institution is required to maintain bibliographic location codes.

g. Maintenance and Deletion of Bibliographic Record:

	HELIN Proprietary	Institution-Specific	Universal Access
Connectivity	Verified by HELIN staff	Verified by institution staff	Verified by institution staff
Deletion	HELIN staff only	Last holding institution	Last holding institution

4. Electronic Books

a. Criteria for Inclusion

Inclusion in the catalog is at the discretion of each HELIN library. Permission to store digital files on the HELIN server must be authorized by the HELIN Executive Director in conjunction with the HELIN Board.

b. Sources for Bibliographic Records

Only authorized bibliographic utilities are to be used for records added individually. Permission to load record sets from bibliographic utilities or an alternative source must be authorized by the HELIN Executive Director in conjunction with the HELIN Board. **For individually cataloged items, please refer to the following chart.**

c. Minimal Requirements for Bibliographic Records:

Field	HELIN Proprietary	Institution-Specific	Universal Access
Bib Loc	HELIN	Institution symbol	Institution symbol
Mat Type	@	@	@
001			
006	m d	m d	m d
007	c r preferred	c r	c r
008/Form	S	S	S
245|h	[electronic resource]	[electronic resource]	[electronic resource]
300	N/A (if included, must add 533)	N/A (if included, must add 533)	N/A (if included, must add 533)
506	Describe access restrictions in general (optional)	Describe access restrictions in general (optional)	**Describe free availability of resource.**
533 (With 300 field)	Electronic reproduction note when appropriate	Electronic reproduction note when appropriate	Electronic reproduction note when appropriate
710 (optional)	Corporate heading for provider	Corporate heading…	Corporate heading…
856|u (remote access through HELIN proxy)	0-<host site server URL>.helin.uri.edu/<rest of host site URL>	0-<host site server URL>.helin.uri.edu/<rest of host site URL>	N/A
856|u (password access)	N/A	URL from provider	N/A
856|z	Brief, free-text phrase indicating nature or scope of access	**View online ; Access limited to <Institution bib symbol>**	View online

856|z (password access)	N/A	**View online ; Access with password limited to <Institution bib symbol> ; Ask at Reference Desk**	View online

d. Peripheral Records

A minimum of one peripheral record per institution is recommended to maintain the presence of bibliographic location codes. In cases where records are batch-loaded and batch-deleted by HELIN staff the inclusion of peripheral records must be approved and coordinated by HELIN staff.

e. Item Records

	HELIN Proprietary	**Institution-Specific**	**Universal Access**
Attach	No	Optional* +	Optional* (Suppressed)
Location	N/A	Institutional E-R code	Institutional no-fee E-R code
Status	N/A	Limited (h)	Available (-)
Call number (c)	N/A	Discretionary	Discretionary

*One attached record required to establish holding library.

+Coordination with original cataloging institution is required when attaching to a bibliographic record previously lacking a peripheral record.

f. Order Records

	HELIN Proprietary	**Institution-Specific**	**Universal Access**
Attach	No	Optional*	NA

g. Maintenance and Deletion of Bibliographic Records:

	HELIN Proprietary	**Institution-Specific**	**Universal Access**
Connectivity	Verified by HELIN staff	Verified by institution staff	Verified by institution staff
Deletion	HELIN staff only	Last holding institution	Last holding institution

5. Electronic Serials

    a. Criteria for Inclusion

    Inclusion in the catalog is coordinated with holdings documented in the Serials Solutions Journal Locator for each subscribing institution, as well as government publication item selections for depository libraries.

    b. Sources for Bibliographic Records

    Serials Solutions, when available; MARCIVE for federal government serials received by contracting libraries; or an authorized bibliographic utility, when records are not available from Serials Solutions or through MARCIVE.

    c. Minimal Requirements for Bibliographic Records:

Field	HELIN Proprietary	Institution-Specific	Universal Access
Bib Loc	HELIN	Institution symbol	Institution symbol
Mat Type	g	g	g
001			
006	m d	m d	m d
007	c r	c r	c r
008/Form	s	s	S
245|h	[electronic resource]	[electronic resource]	[electronic resource]
300	N/A	N/A	N/A
506	Describe access restrictions in general (optional)	N/A	**Describe free availability of resource.**
710	Corporate heading for provider	Corporate heading…	Corporate heading…
856|u (remote access through HELIN proxy)	0-<host site server URL>.helin.uri.edu/<rest of host site URL>	0-<host site server URL>.helin.uri.edu/<rest of host site URL>	N/A

856|u (password access)	N/A	URL from provider	N/A
856|z	**View available full-text for <Institution bib symbol>**	**View available full-text online; access limited to <Institution bib symbol>;** **Serials Solutions: View available full-text for <Institution bib symbol>**	**View available full-text**
856|z (password access)	N/A	Ex.: Ask at Reference Desk	N/A

d. Peripheral Records – Checkin record (no card)*

(1). No checkin record should be attached to a Serials Solutions bibliographic record.

(2). Checkin records should be added to bibliographic records downloaded from an authorized bibliographic utility or provided by MARCIVE, in accordance with the following practices:

	HELIN Proprietary	Institution-Specific	Universal Access
Attach	No	Yes	Yes
Location	N/A	Institutional E-R code	Institutional No-fee E-R code
Lib Has	N/A	Vols. & dates (if known) Electronic access (if unknown)	Vols & dates (if known) Electronic access (if unknown)
Call Number(c)	N/A	Discretionary	Discretionary

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e. Peripheral Records – Item

(1). No item record should be attached to a Serials Solutions bibliographic record.

(2). Item records should be attached to bibliographic records downloaded from an authorized bibliographic utility or provided by MARCIVE, in accordance with the following practices:

	HELIN Proprietary	Institution-Specific	Universal Access
Attach	No	Optional *	Optional * (Suppressed)
Location	N/A	Institutional E-R code	Institutional No-fee E-R code
Status	N/A	Limited (h) Gov. pub: Available (-)	Available (-)
Call Number(c)	N/A	Discretionary	Discretionary

*A minimum of one peripheral record per institution is required to maintain bibliographic location codes.

f. Peripheral Records – Order

(1). Order records may be attached to a Serials Solutions bibliographic record, for the internal tracking of order information by individual libraries; or a second, suppressed bibliographic record may be created to which an order record could be attached.

(2). Order records may be attached to bibliographic records downloaded from an authorized bibliographic utility, in accordance with the following practice:

	HELIN Proprietary	Institution-Specific	Universal Access
Attach	No	Optional *	NA *

* A minimum of one peripheral record per institution is required to maintain bibliographic location codes.

g. Maintenance and Deletion: for Serials Solutions Records

	HELIN Proprietary	**Institution-Specific**	**Universal Access**
Connectivity	Verified by HELIN staff	Verified by HELIN staff	Verified by HELIN staff
Deletion	HELIN staff only	HELIN staff only	HELIN staff only

h. Maintenance and Deletion: for non-Serials Solutions Records

	HELIN Proprietary	**Institution-Specific**	**Universal Access**
Connectivity	Verified by HELIN staff	Verified by institution staff	Verified by institution staff
Deletion	HELIN staff only	Last holding institution	Last holding institution

6. Multiple Manifestations of Electronic Serial Titles.

a. When a bibliographic utility record and a Serials Solutions record for the same electronic serial title are found in HELIN, the Serials Solutions record is preferred. The institution that obtained the utility record should consider adding this journal to its library's Serials Solutions Journal Locator and delete the utility record. The library's holding symbol and 856 field will appear in the catalog with the next month's updated records from Serials Solutions   Order records may be attached to Serials Solutions electronic journal records.

b. Occasionally, a Serials Solutions record and a MARCIVE record may be present for the same electronic serial title in the HELIN Catalog. Both records should be retained if the Serials Solutions record is present, because that title is available in an aggregator database.

c. When a MARCIVE record and a bibliographic utility record for the same electronic serial title are found in the HELIN Catalog, transfer to the MARCIVE record all peripheral records attached to the utility record, and delete the utility record

d. When multiple bibliographic utility records representing the same electronic serial title are found in HELIN, merge the records into one, as follows:

(1) Select the fullest of the records to serve as the remaining record, taking into consideration such elements as completeness and accuracy of note fields, as well as number of access points.

(2) Add vendor-specific information from records to be deleted into the remaining record, as noted in (3) below.

(3) Be sure to edit certain fields in the remaining record as follows:

(a) Field 001. If attaching an OCLC record to a Sky River record, be sure to add the OCLC number into the first 001 field.

(b) Field 130. Parenthetical qualifier should only include the term "online" and any other qualifying term used in the corresponding title for the paper version.

(c) Field 362. Cite earliest available volume noted in any of the records.

(d) 5xx fields. Check all notes to ensure that the information therein applies to all providers represented. Delete the term, "back issues," since some providers do not provide such access. Remove notes that cannot be edited to pertain to all providers.

(e) Field 710. Add for any provider represented in an attached 856 field.

(f) Field 856. Include for each provider. In addition to the subfield u, provide a subfield z with the wording:

"View online ; access limited to [library holding code(s)]"

If access restrictions must be included in the subfield z, create a separate 856 field for the library requiring those restrictions.

Format URLs for these proprietary serials as follows:

http://0-<host site server address>.helin.uri.edu/<rest of host site URL>

(4) Transfer all peripheral records from the bibliographic records to be deleted to the remaining record, and delete all but the record to be retained.

7. The ISSN from the paper format of a serial title may be added to the record for the electronic version to facilitate linking between the HELIN Catalog and the journal databases.

V. Bibliographic Standards for Non-MARC Records.

A. On-the-Fly Records.
Use the following procedures for on-the-fly conversion:

1. Select the CREATE or SEARCH option.

2. Fill in all information for which you are prompted.

"COPY # : 1"	Press <Return>, if copy 1. Otherwise, enter the correct copy number.
"I TYPE : 0"	Press <Return>. [0 is the code for circulating material.]
"PRICE : $0.00"	Press <Return>.
"LOCATION: zzzz"	Replace z's with location code. See local listing.
"STATUS : - "	Press <Return>.
"CALL #"	Enter according to standardized format. See local guide sheet.
"VOLUME"	Enter volume number and other designators, such as ser., suppl., etc. See local guide sheet.
"AUTHOR"	Enter last name, first name, middle initial. Capitalize the first letter of each name and place a period after the middle initial. Do not include titles such as Sir,Maj., Mrs., etc
"TITLE"	Enter the first six (6) significant words of the title. Do not count initial articles. Capitalize only the first word.

3. Answer the question, "Edit record (y/n)," as appropriate to your situation.

B. Reserve Materials Records.

When materials to be placed on reserve are not owned by the HELIN library, Reserves staff may enter brief bibliographic records for these materials through the HELIN Catalog Database Maintenance Program.

C. Vertical/Pamphlet File Bibliographic Records.

Each HELIN library desiring to maintain one or more vertical or pamphlet
file records in the HELIN Catalog may do so as follows:

> 1. Create a bibliographic record through the KEY a RECORD function
> and include the following fields, exemplified by this record provided by
> CCRI:

>> AUTHOR: Flanagan Campus
>> TITLE: a CCRI pamphlet file - Lincoln Campus
>> PUBL INFO: CCRI, 1998-
>> NOTE: Pamphlet file is located near photocopier.
>> SUBJECT: Abortion.

> 2. Make note of the bibliographic record number assigned to the record.

> 3. As needed, add item records for pieces to be circulated from the
> vertical/pamphlet file to the vertical/pamphlet file bibliographic record.
> Each item should include a bar code number, keyed to the barcode label
> on the piece. SUPPRESS THESE ITEM RECORDS.

D. Order Records.

> 1.Order records can be created in two ways:

>> a. Processed individually, and manually attached to a bibliographic
>> record imported from a bibliographic utility, or attached to existing
>> bibliographic record, as when another institution already owns the
>> item.

>> b. Generated along with a brief bib record *automatically* via a
>> process from a vendor, and imported into the catalog.

> These two creation methods require different procedures. Records created
> automatically via a vendor process have very little bibliographic
> information associated with them (usually just a title, author and ISBN),
> and are used simply as placeholders until the item arrives. Moreover, it is
> possible that several institutions will be using automation simultaneously
> for the same item. Suppressing the record until the item arrives and is
> cataloged is meant to cut down on patron confusion.

> 2.When records are created manually:

>> a. Manually created order records should be visible to patrons. A
>> "copy on order for [institution name]" will appear when the bib

record is displayed to the public.

b. Order records should be attached to HELIN bibliographic records which have been exported from a bibliographic vendor whenever possible.

c. Manually keying brief bibliographic records to which order records are attached is permitted, when no bibliographic records are found for the titles in the HELIN Catalog or the bibliographic utility at point of ordering.

d. For any such brief record, once the item arrives, a bibliographic control number (001 field) must be added before a full record is found and imported, in order for the brief record to be overlaid. Alternatively, all attached records must be transferred to a bibliographic record with a valid bibliographic utility number.

3. When records are automated from a vendor file:

a. The brief bibliographic records that accompany automatically-created order records are NOT displayed to patrons. This is accomplished by turning on the SUPPRESSION indicator in the bib record (fixed field BCODE3 is set to value "n"). The load table used to import automated records controls this setting.

b. When the item is delivered from the vendor, it is accompanied by another electronic file that contains a complete bibliographic record for each attached order record. When this file is imported into the catalog, a match is made on the order record number, and the brief bibliographic record is completely overlaid The SUPPRESSION indicator is removed, and the record is then visible to patrons.

4. The following instructions apply to all order records, regardless of method of creation:

a. Any bibliographic record created for the purpose of ordering should ultimately be overlaid or replaced by a full bibliographic record for the received titles in a timely manner.

b.Order records should be suppressed from public view after appropriate item or checkin records have been added to the HELIN Catalog for the received and cataloged titles. Order record suppression is accomplished by adding the cataloged date to the order record.

VI. Bibliographic Record Maintenance.

    A. Deletion of Records.

        1. Bibliographic and Item Records.

            a. If a HELIN library is deleting or transferring the last item record attached to a HELIN MARC or non-MARC bibliographic record, the bibliographic record should be deleted as well.

            b. ***Bibliographic records are deleted only by the owning HELIN libraries.***

            c. For deletion of duplicate bib records see [Section VI.B](#)**.**

        2. Order Records.

        Refer to the *HELIN Acqusitions Manual.*

        3. Checkin Records.

            a. For checkin records attached to monographic bibliographic records, delete the checkin record when the set is either complete or cancelled.

            b. Refer to the *HELIN Serials Manual* for other policies relating to the deletion of checkin records.

    B. Handling Duplicate Bibliographic Records and Transfer of Attached Records.

        1. Each bibliographic title should be represented in the HELIN Catalog by only one bibliographic record. It is each HELIN library's responsibility to transfer its order, item, or checkin records from brief bibliographic records or duplicate bibliographic records to existing HELIN MARC bibliographic records at the point of cataloging.

        2. Duplicate bibliographic records are determined by control number (in the 001 field) and/or if the following fields in the duplicated records match:

            a. Author
            b. Title
            c. Publisher or Distributor (except for serials)
            d. Latest copyright date

e. Edition statement
f. Collation
g. Series (except for serials)
h. Illustrator or translator

* ISBN numbers are NOT a primary duplication designator, as some records may contain duplicate ISBN numbers for print and ebook manifestations.

3. When the same bibliographic entity is treated as a serial by one HELIN library and as a monograph by another and these occurrences are represented by bibliographic records with different control numbers, both bibliographic records may co-exist in the HELIN Catalog.

4. When duplicate HELIN MARC bibliographic records with different bibliographic control numbers (e.g., OCLC control numbers recorded in a 019 field, or the equivalent in SkyRiver) are found, the following procedures should be followed to eliminate the duplication:

a. If the records have been merged in the bibliographic utility and only one institution has records attached to the bibliographic record in HELIN, the new record should be downloaded and the institution's attached records should be moved to the new record. The old record should be deleted. Before deleting, transfer all unique access points from the record to be deleted to the record to be retained.

b. If the records have been merged in the bibliographic utility and several HELIN institutions have records attached to the bibliographic record in HELIN, the new record should be downloaded and the cataloger who downloads the new record should notify other HELIN catalogers to move their attached records to the new record. (Catalogers should not move records belonging to other institutions.) The cataloger who downloads the records should transfer all unique access points from the record to be deleted to the record to be retained. The last institution to remove attached records from the old record will delete the old record.

c. If two records still exist in OCLC and one is a DLC record, transfer the attached records from the non-DLC record to the DLC record and delete the non-DLC record.

d. If neither record is a DLC record, transfer attached records to the higher quality bibliographic record and delete the less desirable record. If, according to OCLC standards, the records are equally

valid, the least preferred HELIN MARC bibliographic record would be the one with fewest attached records.

e. If a HELIN SkyRiver MARC bibliographic record exists, follow the same procedures outlined in b and c above with respect to "DLC preferred" and/or "higher quality", and include the following additional steps: 1) attach order, item and check-ins records to SkyRiver bib and 2) find record in OCLC, which represents the item to update OCLC institutional holdings.

f. When overlaying a SkyRiver record with an OCLC record (see criteria in 4a and 4b above to determine overlay decisions), insert OCLC number as first 001 in bibliographic record to be overlaid and close record to be overlaid. Export record from OCLC. OCLC export processing should indicate "1 record overlaid." Check the catalog to verify success using the control number indicated in OCLC export/overlay processing.

5. Duplicate records with the same bibliographic utility control numbers

a. When duplicate HELIN MARC bibliographic records with the same OCLC numbers and the same content are found, the records should be merged. The retained bibliographic record would be one of the following, in successive order of preference: (a) record with the fullest bibliographic description; (b) record with the greatest number of item or checkin records.

b. When duplicate HELIN MARC bibliographic records are found, one from OCLC and one from SkyRiver, the records should be merged. The retained bibliographic record would be one of the following, in successive order of preference: (a) record with the fullest bibliographic description; (b) record with the greatest number of item or checkin records. The merge record should include both control numbers (i.e., 001) with the OCLC 001 listed first in the MARC bibliographic record.

6. When duplicate HELIN MARC bibliographic records with the same OCLC numbers but different content are found, further investigation is needed. For instance, if two HELIN MARC bibliographic records have the same OCLC numbers, title transcription, and LCCNs, but they have differing collations and the lack of agreement does not appear to stem from simple typographical error, holding libraries should be contacted to resolve the duplication. If the duplication cannot be resolved by the holding libraries, the HELIN Cataloging Affinity Group should be asked to address the issue.

VII. Attachments to Bibliographic Records.

A. Item Records.

1. Multivolume item records may be created to indicate ownership of material. Local call numbers, holdings statements, and location information may be entered into the call number or volume fields.

2. Use of delimiters in the call number field is not required. Each institution may set its own policy.

3. Appropriate MARC tag types for call numbers are:

060	:	National Library of Medicine Call Number
086	:	Government Document Classification Number
090	:	Locally-assigned LC-type Call Number
092	:	Locally-assigned Dewey Call Number
096	:	Locally-assigned National Library of Medicine Call Number
098 24		Swank Classification Call Number
099	:	Local Free-text Call Number

B. Checkin Records.

1. Checkin records may be attached to monographic bibliographic records for current standing order titles but should be suppressed from public display. When the set is completed or cancelled, the checkin record should be deleted.

2. For more information on checkin records refer to the *HELIN Serials Manual*.

C. Order Records.

Insert cataloging dates into order records after the appropriate item or checkin records have been added to the HELIN Catalog.

VIII. Authority Control Policies and Practices.

    A.   Each library will maintain its own in-house authority control procedures and perform full authority work on all original cataloging.

    B.   Standards for HELIN Bibliographic Records.

        1. Name and uniform title headings used in HELIN MARC bibliographic records should be formed in accordance with AACR2 (latest edition with revisions) and Library of Congress Rule Interpretations.

        2. Topical subject headings used in HELIN MARC bibliographic records should be formed in accordance with the latest edition of Library of Congress Subject Headings, the Library of Congress Subject Heading Manual and Medical Subject Headings.

        3. Normally, headings in HELIN and OCLC authority records have been formed in accordance with AACR2 and LCSH. However,pre-AACR2 forms do appear in the most current version of authority records in the OCLC Authority File. If only a pre-AACR2 form is found in an OCLC authority record, use that form in HELIN bibliographic records.

        4. Genre headings used in HELIN MARC bibliographic records should be from the Library of Congress Genre/Form Terms for Library and Archival Materials (*LCGFT) or* Guidelines on Subject Access to Individual Works of Fiction, Drama, Etc. (GSAFD)

    C. Outsourced Authority Control.

        1. The HELIN consortium retains an authority control vendor who maintains a record of all authority records resident in the HELIN Catalog.

        2. Each month, new bibliographic records added to the HELIN Catalog that contain a CATDATE within that month and an bibliographic utility control number (except those from Serials Solutions) are sent to the vendor for authority control work. The HELIN Knowledge Management Librarian also sends the vendor lists of control numbers of authority records deleted from the HELIN catalog that month as well as control numbers for authority records added that month from a bibliographic utility. The vendor returns, within two days, changed bibliographic records, as well as new name and subject (LC, MeSH, genre) authority records that support those bibliographic records.

        3. Additionally each month, the authority control vendor sends to HELIN changed name and subject authority records that, in most cases, overlay the existing authority records. The Knowledge Management Librarian

receives reports from the vendor each month of added and deleted authority records due to these changed records. These are checked against the HELIN Catalog and authority records are added/deleted, as necessary.

D.   Local Authority Control

1.The three situations in which staff may need to export, modify, or create authority records are:

a.When an authority record needs one or more cross-references, and these are not present in the authority record resident in the Library of Congress authority file,

b. When a series authority record for a title is desired to document volume and/or indexing decisions, or

c.When no OCLC authority record is found in the LC Authority File for a name, title, or topical subject heading that needs to be represented in the HELIN Catalog with cross-references.

2. The situations in which staff may choose to export an authority record from their bibliographic utility are:

a. When an authority record needs cross-references (cf. Section VIII. D.1.a), add these and export the authority record into the HELIN Catalog.

b. When a series authority record is needed (cf. Section VIII. D.1.b), export it into the HELIN Catalog.

c. When no OCLC authority record is found and an authority record is needed (cf. Section VIII. D.1.c), create the appropriate authority record in the HELIN Catalog according to the procedures noted in Section VIII. E below.

E. How to Create HELIN Authority Records.

1. If a name heading requiring cross-references appears both as an author and as a subject in HELIN bibliographic records, be sure that the name heading is represented in both the HELIN Name Authority and Subject Authority File. Often this will require copying a subject authority record from the name authority record already in the HELIN Catalog.

2. In general, create authority records only for headings that require cross-references.

3. Keying HELIN Name and Title Authority Records.

      a. Use only an AACR2 or an AACR2-compatible form in the 1xx field of an authority record.

      b. Use judgment in making cross-references from variant forms. See LCRI 26.

      Examples of headings for which cross-references are not needed:

(1) 100 1 Durling, Dwight Leonard |d 1899-

t.p. form: Dwight L. Durling

No cross-reference or authority record is needed, since the title page variant would be listed near the fuller form on a browsing screen and Durling is not a common name

(2) 110 1 Rhode Island. |b Racing Commission. (pre-AACR2 form noted in a bibliographic record)

AACR2 form: Rhode Island Racing Commission

No cross-reference or authority record is needed, since the AACR2 and pre-AACR2 headings would normalize to the same form. (AACR2 form should be substituted in the bibliographic record, of course.)

      4. Keying HELIN Authority Records for Topical Subject Headings.

      Develop subject heading authority records (requiring cross-references) only for those topical headings that do not have authority records in the Library of Congress Authority File. Use forms authorized in Library of Congress Subject Headings.

      5. Authority records for names, titles, and topical subjects keyed into the HELIN Catalog should include the appropriate 1xx field, 4xx and/or 5xx fields and a 670 field which shows the HELIN location symbol of the keying library, title in which the authorized form occurs, and publication date of the title.

Ex. 01 100 1 Hilton, Thomas Eric

02 400 1 Hilton, T. E.

03 670 RIC: Practical geography in Africa, 1964.

6. When an authority record is created for a heading with subdivisions, an authority record for the main heading should be created as well, if the main heading requires references from variant forms and does not yet appear in a HELIN authority record.

F. Only catalogers or their designees should make changes to HELIN authority records.

G. Global changes to name, title, and subject headings for the purpose of updating these headings to current Library of Congress authorized forms may be performed by the HELIN Knowledge Management Librarian and HELIN library catalogers.

H. The HELIN Knowledge Management Librarian will delete from the HELIN Catalog authority records that: (1) have been superseded by other authority records; (2) exactly duplicate other authority records; or (3) no longer have bibliographic records associated with them in the HELIN Catalog. This will be done after notifying HELIN's authority control vendor about these deletions. The automated authority control feature of the HELIN system does allow overlay of authority records (based on authority record number) in records that are downloaded from a bibliographic utility. This feature does not catch all duplicates, however, and it is always good practice to delete duplicate authority records.

I. Reports on Headings

1. The HELIN Knowledge Management Librarian runs all HELIN Catalog headings reports regularly, and errors noted in the reports are resolved at that time. Headings appearing in the DUPLICATE call numbers & other errors and the First Time Use reports are sent to the staff member in each library designated to handle these reports. The review file containing headings reports is emptied after the reports are run.

2. Categories of headings included in the Reports on Headings are:

F > Headings used for FIRST Time

[First occurrence in an indexable heading occurs in a bibliographic record]

I > INVALID headings used

[Heading in bibliographical record matches a 4xx in an authority record]

D > DUPLICATE call numbers & other errors

[Detects duplicate barcodes (name and item), utility control numbers, ISBN/ISSN numbers]

B > BLIND References

[1xx in authority record has no matches in bibliographic records]

R > Duplicate authority RECORDS

[1xx occurs in two different authority records]

U > Bibliographic UPDATES

[Indexable entry changed by automatic authority control module]

N > NEAR matches

[Indexable entry matches 4xx in authority record, but bibliographic record not changed]

L > BUSY matches

[Indexable entry matches 4xx in authority record but couldn't be changed]

X > Non-Unique 4XXs

[Same 4xx field occurs on more than one authority record]

3. Handling Blind References Reports.

a. Search the HELIN Catalog for occurrences of the form of name/title/subject listed in each field by pressing H (verify MARC headings).

b. If the name/title/subject is found in a bibliographic record in a form in a 4xx field, correct the bibliographic record to match the 1xx in the authority record.

c. If the form is not found as an access point in any HELIN MARC bibliographic record, the authority record will be deleted by the HELIN Knowledge Management Librarian after reporting it to the authority control vendor.

d. If the form in the 1xx field is found as an access point in any HELIN MARC bibliographic record, retain the authority record.

Example:

In bibliographic record:

830 0 Studies in music (Ann Arbor, Mich.) ; v. 4

In authority record:

130 0 Studies in music (Ann Arbor, Mich.)

> e. If the name/title/subject is formed differently in the bibliographic record from the authorized form in the authority record, correct the entry in the bibliographic record, and retain the authority record. However, before correcting the bibliographic record, be sure that the authority record is accurate. When in doubt, check the Library of Congress Authority File for a DLC or other authoritative form.

Example:

In bibliographic record: 650 0 Peaceful coexistence

In authority record: 150 0 Peace

450 0 Peaceful coexistence

Change bibliographic record: 650 0 Peace

> J. Automated Authority Control [AAC] (III).
>
> After midnight, for each SEE FROM heading (MARC 4XX) in an authority record that has been added or edited that day, Millennium searches for a matching bibliographic heading in the same index. If a matching bibliographic heading is found, AAC changes the bibliographic entry to the valid form (MARC 1XX) in the authority record. If the heading in the bibliographic record is not an exact match with that in the authority record, the update won't be automatic, but several extra headings reports are generated which assist a manual review of near matches:

U > Bibliographic UPDATES

Lists all entries that have changed. Review for inappropriate changes (e.g., second occurrence of |k Selections and some mis-corrected musical headings)

N > NEAR matches

Lists all entries that match a 4xx but can't be changed (e.g. mis-tagged entries). Because of stripped-off diacritics and the spelling out of '&' to 'and,' the majority of this report is irrelevant.

L > BUSY matches

Records in use by the system at time of conversion. Correct the entry in the bibliographic record.

Appendices

NOTE: For the MARC Load Table, Fixed Length Codes for Item Records, and the Bibliographic Index Rules, which were included in Appendix C, Appendix F, and Appendix G, respectively, of the Spring 1997 Revision of this Manual, consult the "Codes used" listing provided under the category, "Information about the System," which can be accessed through "Management Information" on the Main Menu of the HELIN online system. Passwords are required to view the listings under "Information about the System." Alternatively, contact the HELIN Knowledge Management Librarian for codes.

Appendix A: Authorized Cataloging Standards

Anglo-American cataloging Rules, 2nd ed., latest revision

Library of Congress cataloging practice, as documented in the *LC Cataloging Service Bulletin* and in other Library of Congress documentation (for example, *Subject Cataloging Manual* and the *Bibliographic Description of Rare Books*).

OCLC *Bibliographic Formats and Standards*. http://www.oclc.org/bibformats/

OCLC *Technical Bulletins*:
http://www.oclc.org/support/documentation/technicalbulletins/

OCLC Authority File (available in the OCLC Connexion client)

Library of Congress *Name Authorities*: http://id.loc.gov/

Library of Congress *Subject Headings*: http://id.loc.gov/

Library of Congress Genre/Form Terms: http://id.loc.gov/

Medical Subject Headings (MeSH): http://www.nlm.nih.gov/mesh/

MARC *Code Lists*: http://www.loc.gov/marc/

Appendix B: Innopac Field Tags

Innopac Tag Bibliographic	Definition
A	Author
B	Add Author
C	Call Number
D	Subject
E	Edition
F	Faxon ID #
G	Govt. Doc #
H	Holdings
I	ISBN/ISSN
J	Marcive
L	LC card #
M	Uniform Title
N	Note
O	control number
P	Imprint
Q	Link
R	Description
S	Series
T	Title
U	Alt Title
V	Bib call #
W	Related to
X	Continues
Y	MARC
Z	Cont'd by
Item	
B	Barcode
C	Call #

M	Message
N	OPAC Note
V	Volume
X	Note

Appendix C: Abbreviations Authorized for the Volume Field in Item Records

NOTE: These abbreviations have been taken from *AACR2rev.*, Appendix B.9.

Term	Abbreviation
Appendix	app.
Book	bk.
Bulletin	bull.
Document	doc.
edition, -s	ed.
Index	index
Manual	manual
number, -s	no.
Opus	op.
part, -s	pt.
Report	rept.
Series	ser.
Supplement	suppl.
Tome	t.
Update	updt.
volume, -s	v.

Appendix D: HELIN Record Limits

Maximum size of:

Bibliographic record: 100,000 characters

Variable field in bibliographic record: 10,000 characters

Maximum number of item records that can be attached to a bibliographic record: 5,000

Maximum number of bibliographic records that can be linked to an item record: 1,000

Maximum number of checkin records that can be attached to a bibliographic record: 300

Maximum number of order records that can be attached to a bibliographic record: 200

Best Practices Appendices

Best practices for call numbers in individually-cataloged electronic items. (See section IV.B.2.f.)

QUESTIONS:
1) Do you create item record call #s for databases or free websites?
2) What form does it take? Do you create a class number only? Do you cutter beyond the class number? (e.g., |fInternet|aAE5|b.E573 1994; |fOnline|aAE5|b.E573 1994)
3) Why do you create item record call #s for databases or free websites? Do you use them for 'create lists?' (e.g., list of e-resources by subject class?)

PRACTICES

JWU:
Not presently cataloging databases and websites

PC:
Cataloging databases and free websites. Creating item record w/ full cutter (e.g., |fInternet|aAE5|b.E573 1994)

RWU:
RWU: Cataloging databases and free websites. Creating item record w/full cutter (e.g., |fOnline|aAE5|b.E573)

Salve:
Cataloging databases and free websites. Creating item w/ call # for databases, and websites -- pre-stamp |fInternet|a ... ending 'e' (full cutter).

Wheaton:
Cataloging databases and free websites. Do not classify databases or free websites – no item record w/ call #.

URI:
Cataloging databases and free websites. Do not create an item record w/ call # for databases and free websites

----

4. Electronic Books
PRACTICES

QUESTIONS
1) Do you create item record call #s for electronic books?
2) What form does it take? Do you create a class number only? Do you cutter beyond the class number? (e.g., |fInternet|aTJ163.2|b.J341 2010eb)
3) Why do you create item record call #s for electronic books? Do you use them for 'create lists?' (e.g., list of all "books" (analog or digital) by subject class?)

JWU:
Item records created with call number for individual e-book prefaced by the word "Online," (e.g., Online QA76.73.J39|bP69 2009) – full cutter

PC:
Creating item record w/ full cutter (e.g., |fInternet|aTJ163.2|b.J341 2010eb)

RWU:
Creating item record w/full cutter (e.g., |fOnline|aTJ163.2|b.J341 2010)

Salve:
Creating item record w/ call # -- pre-stamp |fInternet|a ... ending 'e' instead of 'eb' (full cutter).

Wheaton:
Creating call #s in the item records for e-books

URI:
N/A

REASONS/USES FOR CALL # IN ITEM RECORDS:

PC:
Collection reports organized by LC subject (i.e., LC Call #)

RWU:
To include electronic resources into collection development reports based on call number.

Salve:
1) Collection development reports that analyze content based on call number could include electronic resources in those analyses. It is also helpful for the purpose of

discussing content with selectors, since we partly delineate selector responsibility by call #.

2) run a list on all the items in a particular subject area by call number in mere minutes, and that is something that might not be possible – or at least would be a great deal more complicated – if I did not have call numbers in the records. Being able to find this information quickly has brought us financial gain in the past.

3) Possible future use, such as a shelf-browsing feature (like LibraryThing for Libraries ShelfBrowse: http://www.librarything.com/forlibraries/) or other future enhancements that would make having a call number useful.

Wheaton:
Possible future use

Best Practices on 440 series statements

Field 440 is obsolete. 440 fields have been converted into the appropriate 490/830 combination. When the series statement is traced, use 490 with first indicator 1 for the series statement transcribed from the item and 8xx fields for the series added entry, even when the statement in both fields is exactly the same. When the series statement is not traced, use only 490 with first indicator 0 without adding 8XX fields.