

## SWAN Bibliographic Minimum Standards **\*\*DRAFT\*\***

The SWAN Bibliographic Services team in conjunction with that Cataloging Libraries, have agreed on these minimal standards for records considered complete in our shared database. This document will explain Encoding Level, RDA Core Standards, and MARC fields SWAN has chosen to require.

### Minimum Standards

The standards below are designed to ensure that all SWAN catalog records provide access to materials by the following methods:

- Titles and authorized headings
- Subject and Genre Headings
- Format, carrier, and form
- Series statements and authorized headings
- Creators and contributors and authorized headings
- Standard numbers
- Fields that enhance keyword searching

### RDA Core

When creating new records, Cataloging Libraries and the SWAN Bibliographic Services team agree to abide by RDA Core guidelines. The elements that constitute RDA Core cataloging are described in the RDA documentation in [Sections 0.6.5-0.6.12](#). Rather than summarizing the RDA guidelines, this document will present them in conjunction with their MARC tags.

When performing copy cataloging, RDA conversion is not required. AACR and AACR2 records may be imported into SWAN. These records will undergo RDA conversion via our monthly MARCIVE bibliographic processing.

{{LC RDA Core Elements? [https://www.loc.gov/aba/rda/pdf/core\\_elements.pdf](https://www.loc.gov/aba/rda/pdf/core_elements.pdf)}}

### RAILS Cataloging Working Group

This document also takes into account the [RAILS Cataloging Working Group recommendations](#), presented to the RAILS Consortia Committee on October 16, 2017.

### Encoding Level

When contributing records to the OCLC database, though you are following SWAN cataloging standards, please use your judgment when selecting an Encoding Level that reflects the completeness of the record you have created. An outline of Encoding Levels can be found on the OCLC website: [Bibliographic Formats and Standards – Elvl: Encoding Level](#).

Encoding Level becomes an important tool when performing copy cataloging. Please take note of the Encoding Level of any record you intend to import to get a sense of what level of enhancement it may require. While it is often the case that an Encoding Level may underrepresent the completeness of a record (i.e. a record encoded as “Minimal Level” may be substantially more complete), it is best to err on the side of caution. Here are some recommendations when evaluating a record based on Encoding Level:

Elvl	Approach to Copy Cataloging
NULL, I, 1	Full-level cataloging. Note that Level 1 records have not been examined physically and should be checked for accuracy with the item in hand.
2, 4	Less-than-full, but greater-than-minimal. Level 2 records have not been examined physically and should be checked for accuracy with the item in hand. Level 4 is an obsolete level indicator but may be found on legacy records. These records may appear complete, but please check them against SWAN core standards for fields that may require enhancement.
7, K	Minimal-level cataloging. These records may appear complete, but please check them against SWAN core standards for fields that may require enhancement.
3, 5, 8	Partial, abbreviated, and prepublication records. <b>Do not import these records into SWAN without proper enhancement.</b> Not only are require fields missing, but those that exist must be checked for accuracy.
M	These records were imported through a batch process and vary widely in quality. Use judgment when approaching these records. Please check them against SWAN core standards for fields that may require enhancement.

SWAN does encourage libraries to submit record upgrades to the OCLC database when possible, but that is ultimately at your discretion.

### Core Element List by MARC Tag

The following elements are considered Core in the SWAN consortium and are required if applicable or unless otherwise noted.

001	OCLC Number	Core – SWAN	SWAN records sources from OCLC should have the OCLC number transcribed to the 001.
020	ISBN	Core – RDA	SWAN encourages inclusion of \$q to distinguish formats and parts of multi-part sets. Do not include numbers for alternate formats that would require a new record or e-books. Include invalid ISBNs (\$z) only when they appear on the item being cataloged.
022	ISSN	Core – RDA	
024	Other Standard Identifier	Core – RDA	SWAN encourages inclusion of \$q to distinguish formats and parts of multi-part sets.
028	Publisher or Distributor Number	Core – RDA	Subfields \$a and \$b are required. SWAN encourages inclusion of \$q to distinguish formats and parts of multi-part sets.
040	Cataloging Source	Core – SWAN	Subfields \$b and \$e are required in RDA cataloging, but not required for pre-RDA copy.
041	Language Code	Core – SWAN	Not required if 041 consists of a single \$a duplicating Lang value (008/35-37).

100,110,111	Main Entry – Creator	Core – RDA	SWAN encourages use of \$e relationship designators where possible.
130, 240	Main Entry – Preferred Title	Core – RDA	Required if preferred title differs from title proper.
245	Title Statement	Core – RDA/SWAN	RDA Core applies to Title Proper and Statement of Responsibility. SWAN Core includes parallel titles, and other title information.
246	Alternate Title	Core – SWAN	Include title statements for all variant titles that appear on an edition as well as titles to spell out numbers and abbreviations included in the title proper. Cataloger’s judgment may be required.
250	Edition Statement	Core – RDA	SWAN require additional use of edition statement for video game console and Blu-ray/DVD combo pack information.
264	Production, Publication, etc.	Core – RDA	Only the first place and publisher are required.
300	Physical Description	Core – RDA/SWAN	RDA Core requires only Extent if the item is complete. SWAN requires full 300 field information, including physical details, dimensions, and accompanying material statements.
336	Content Type	Core – RDA	Not required in pre-RDA copy cataloging. Include subfields \$a, \$b, and \$2.
337	Media Type	Core – SWAN	Not required in pre-RDA copy cataloging. Include subfields \$a, \$b, and \$2.
338	Carrier Type	Core – RDA	Not required in pre-RDA copy cataloging. Include subfields \$a, \$b, and \$2.
340	Physical Medium	Core – SWAN*	Required only for Large Print materials. Recommended for art and archival materials.
344-347	Sound/Projection/Video/Digital File Characteristics	Core??	<i>Discuss with Cataloging Advisory.</i>
362	Sequential Designation	Core – RDA	Required for serials.
490	Series Statement	Core – RDA	Include both series and numbering if available. Always pair with an 800, 810, 811, or 830 field.
505	Contents Note	Core – SWAN	Formatted contents notes preferred for title access.
508	Creation/Production Credits	Core – SWAN	Required for audiovisual materials for differentiation.
511	Participant or Performer Note	Core – SWAN	Required for audiovisual materials for differentiation.
520	Summary	Core – SWAN	
533	Reproduction Note	Core – SWAN	Required for identification.

546	Language Note	Core – SWAN	Required for non-English and multilingual materials.
600, 610, 611, 630, 650, 651	Subject Heading	Core – RDA	One subject heading is required. SWAN encourages the use of multiple subject access points.
655	Genre/Form	Core – SWAN	<i>Proposed, but discuss with Cataloging Advisory.</i>
700, 710, 711, 730	Contributor Added Entry & Title Added Entry	Core – SWAN	Provide entries for primary, non-principal contributors within reason. Provide access to related works. SWAN encourages use of \$e relationship designators where possible.
780, 785	Preceding Entry/Succeeding Entry	Core – SWAN	Required for serials undergoing name changes.
800, 810, 811, 830	Series Added Entry	Core – SWAN	Required for records with a 490 statement. Include both series and numbering if available.

#### Notes on Select Optional Fields

586	Award	Optional	SWAN uses the 690 local subject heading to encode AISLE Awards, and the 586 is not required for these awards.
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