SWAN Cataloging Advisory
Group/Serials User Group Joint Meeting
Notes
August 23, 2018
9:30 a.m. – 12:00 n.
RAILS Burr Ridge
Main Meeting Room

Agenda

1. Introduction

Serials
   2. Serial Control Cleanup
   3. MARC Holdings Updating
   4. Call number analytics for serials items
   5. Open Discussion

**BREAK**

Cataloging
   6. Final eBook Record Purge
   7. DISCARD Changes
   8. 977/Date Cataloged Concerns
   9. Bringing Back a Local Note Option
  10. Cataloging Reminders
      a) Serial vs. Monograph records
      b) Multiple 035 tags
  11. Open Discussion

The next Cataloging Advisory Group Meeting will be Thursday, November 30th at the RAILS Burr Ridge Main Meeting Room.
1. Introduction
This was the first meeting of the combined Cataloging Advisory Group and Serials User Group, which was called to assuage scheduling difficulties and discuss the final proposal for the change to serial call number analytics. The following are the notes from this meeting. Please stay tuned for final documentation regarding the call number decision.

Following these notes are a selection of questions submitted to SWAN Bibliographic Services for the Cataloging SOS Panel that took place at this year’s SWANx event. We have done our best to provide brief answers to these and include them here for your general interest.

2. Serial Control Cleanup
SWAN has received a lot of tickets about control records that have disappeared, moved, or all merged onto one bibliographic record. This is related to the deduplication process that occurred after the N19 migration. SWAN Member Services demonstrated how to review these controls and remove the ones that are no longer needed. It is important to remove MARC holdings prior to removing your control records. Unneeded controls can be removed on a case-by-case basis as staff see them, but SWAN will also be conducting a large-scale Serials Data Cleanup Project and will provide more information on that soon.

3. MARC Holdings Updating
SWAN Member Services provided an overview of MARC Holdings, including where they are located, how to modify them, and how to remove them. All libraries are encouraged to review their MARC Holdings and modify any control records presently generating 863 holdings tags when this is not the desired result. The two settings in a control record that cause the creation of 863 holdings tags are in the OPAC Display tab and in the Distribution tab.

4. Call Number Analytics for Serials Items
We have decided to move forward with the change to call number analytics for serials items that has been discussed at prior Cataloging Advisory Group meetings through the course of this year. Please refer to the supplemental materials to these notes for a PowerPoint presentation that was presented to summarize the proposed changes. This PowerPoint does contain a few pending questions that were resolved at the meeting.

In the coming days, SWAN will release a final version of the documentation to accompany this change, but here are the main points to be aware of:

- We will no longer be using enumeration in most serials item call numbers.
- This affects only consumer and trade/B2B publications. Academic journals and comic books will to follow the former SWAN practice of including both enumeration and chronology.
- The change will begin for items with issue date January 1, 2019 and later.
- If a special decision or clarification is required for a specific title, it will be expressed in field 591 of the bibliographic record.

The necessary documentation will be posted the support site and sent as a SWANcom.
5. Open Discussion (Serials)
A library requested the ability to remove or modify MARC Holdings records in the Modify Title wizard. This is activated by making a change to the behaviors of the Modify Title Wizard that is applied to all users at your library. If you would like this option, please send a ticket to the attention of Bibliographic Services, and we can set this up for you.

We also discussed Serials Report templates in WorkFlows. SWAN staff is currently working on moving all list or count reports from WorkFlows to BLUEcloud Analytics (BCA). Now that Serials data has been added to BCA, SWAN staff will focus their efforts on building new, more robust reports here rather than adding report templates temporarily to WorkFlows.

6. Final eBook Record Purge
SWAN will be performing another purge of e-resource records from our catalog in accordance with our bibliographic policy of using MARC records only for those resources that do not require authentication to access. Most of our libraries’ e-resource collections through the major vendors require OpenAthens authentication, and therefore should be accessible through eResource Central or the library’s website.

This purge will take place gradually throughout September and October and consists of two phases:

1. Removal of MARC records for applicable materials and their associated items.
2. Removal of 856 links to alternative access to physical materials requiring authentication (e.g. a Hoopla link on a record for a physical CD).

7. Discard Changes
We discussed the changes to the Discard process

SWAN has been experiencing extremely long processing times on Saturday nights following the system-intensive Discard processes that takes place during the day. This has led to reports being run late in the day Sunday and in certain cases, not being run at all.

We have identified that part of the problem lies in the number of records being edited by Discard reports. The Convert Discard reports run on discards for the previous week, and the Remove Discard report processes items from 6 weeks prior. This doubles the number of records being edited. For example, if we discard 15,000 items per week, the Convert report processes this week’s 15,000 items, and the Remove report processes the 15,000 items from 6 weeks previous, for a total of 30,000 items requiring nightly processing.

In response, we are applying the same 6-week delay to the Convert discard report that exists on the Remove discard report. This means that items will remain charged to Discard users for 6 weeks. They will then be converted (discharged) and removed on the same day. This process will still take place every Saturday.

If you experience issues calling up a Discard user due to a high volume of checkouts, please send in a ticket and we will work with you to find a solution.
A SWANcom regarding this change was sent during the week of 8/27.

8. 977/Date Cataloged Concerns
This topic concerned the number of factors that affect the 977 PRE-CAT field in MARC records as well as the Date Cataloged. We reviewed the processes that are currently in place to maintain these fields including the Acquisitions process that adds the 977 to existing records and the daily report that removes it from records with a Date Cataloged. SWAN will be performing some clean-up work on these fields where possible.

We have also encountered a situation wherein Dates Cataloged are being removed from full MARC records by some background process. We have not yet identified what is causing this.

Cataloging Libraries may feel free to mark records with Dates Cataloged (use TODAY) or remove or add 977 fields if they encounter any suspect situations. Use your best judgment to determine if a record is full or not.

9. Bringing Back a Local Note Option
Since 590 was adopted to hold our local format data, we have not had a bibliographic-level local note field. SWAN proposed bringing back this practice. We discussed the possibilities and determined that the 591 field – currently undefined in Symphony – would be a good place to house this. The field will not be displayed to the public and will be a method of communication between our libraries to comment on specific MARC records. We can record call number analytic practices, clarifying information on editions that appear similar, standards for using monograph vs. continuing resources records, etc. It can also be helpful on pre-cats to communicate OCLC numbers or clarifying notes for SWAN to use while overlaying. It will not be a place to hold item-specific information.

Once we get the field set up in Symphony, we will circulate a brief rundown of this field and how it might be used.

10. Cataloging Reminders
In this portion of the discussion, we simply reminded catalogers of two SWAN cataloging issues:

1. In 2017, SWAN changed their cataloging practices for travel guides and other serially published monographic materials. All titles published after January 1, 2017 should appear on monograph records for their specific edition. Even if a serial record exists for older editions, it should no longer be used for items published after that date. See our documentation for more information.

2. The 035 field can be a bit of an eyesore in MARC records, but it does provide vital information regarding the history of a record’s overlays. Please keep these fields in tact. The exception to this is that repeated 035 fields containing identical data may be deleted.

11. Open Discussion (Cataloging)
Due to time constraints, cataloging open discussion was limited to topics that were submitted beforehand, which were made into the official agenda items above. Additional submitted questions have been addressed in the Q&A below.
Questions from the Membership for SWANx Cataloging SOS Panel

1- When is it better to request an ISBN to be added to an existing bib record vs. creating a new one? Sometimes it is difficult to balance the standard cataloging rules vs. what is most useful for patrons in our consortium (fewer bibs vs. more specific bibs, etc).

SWAN’s guidelines are based on OCLC guidelines, [https://www.oclc.org/bibformats/en/input.html](https://www.oclc.org/bibformats/en/input.html)

Add an ISBN to an existing record if:

- The only difference in edition is related to binding or publisher imprint, hardback versions of children’s materials, (paperback ed., Turtleback, Paw Prints, etc.)
- Reprint editions by the same publisher
- Absence or presence of book club discussion questions or excerpts of upcoming releases
- Minor variations in pagination
- Minor variations in dimensions
- Absence or presence of supplemental physical material in library copy (e.g. A book is published with an accompanying CD that has been lost from your local copy).

2- How can the 690 be used for local collections?

Local subject headings can be used to denote special collections within your institution. All local subjects should appear in the 690 field, using consistent terminology with a period at the end of the field. If using a new local subject heading, please inform SWAN Bibliographic Services. We can also assist with adding local subject fields to a large batch of records if necessary.

For local authors, we recommend using the 655 tag:

655 _7 Local author |z Illinois. |2 local

677_7 Local author |z Illinois |z Westmont. |2 local

3- How should we handle Blu-ray and DVD combo OCLC records that record the discs together in the 300 subfield |a as opposed to recording the DVD in subfield |e?

The 300 tag for combo records should be displayed as follows:

300 1 Blu-Ray disc (approximately ... min.) : |b color, sound ; |c 4 3/4 in. + 1 DVD video (or videodisc)

4- What happens after we create pre-cats? How long does the process usually take? If we create a pre-cat should we look at the record again at a future time to make sure it has been turned into a full a full record?

Pre-cats (hand-keyed and acquisitions records) display in our Pre-Cat report. SWAN works through the report chronologically from older to newer pre-cats; however, some records will get overlaid faster either by SWAN or Cataloging Libraries. Foreign language materials that require original cataloging may take longer, very popular items will be cataloged faster, etc. It is hard to predict how long a record will remain as a pre-cat, but you do not need to go back and check if it has been overlaid by a full record.
SWAN has made great headway on our backlog, and the time between pre-cat creation and overlay is decreasing on average. We expect to be nearly caught up within a year or so.

5- How do we deal with records with full records with date cataloged “NEVER”?

Every now and then someone will SmartPort a record and forget to add a date cataloged. It is also possible that the date was removed by an automated process. This is a known error SWAN is working on. If the record appears complete and accurate, simply add a date cataloged of ‘TODAY.’

As a rule of thumb, SWAN always double checks for any record enhancements in OCLC.

6- 977 PRE-CAT is showing up in fully cataloged bib records that also have a date in the Control tab date cataloged field.

Acquisitions adds the 977 and a nightly script should remove it from records that have a date cataloged, however, occasionally this fails. If the record is full, simply delete the 977.

7- How do we handle audiobook OCLC records that place “Retail edition” in the 250 instead of the 020 subfield |q . In my opinion, saying “Retail edition” for an Audiobook is like saying “Library binding” for a Book and this information isn’t an edition statement.

If everything else matches, the “Retail edition” statement can go between parentheses in the 020 tag. This is the equivalent of adding Paw Prints or Turtleback ISBNs to records for their paperback counterparts.

8- Do we follow the same rules for skipping indicators in the 245 tag for non-English records?

Yes, the same rules are applied to foreign language materials. Unfortunately, it is not always clear if the character is an initial article and should be skipped. When in doubt, search for a resource that lists the initial articles for the language in question. Do not rely on Google Translate or other automated translation tools.

The Library of Congress MARC 21 Format for Bibliographic Data – Appendix F is a good site to bookmark for this purpose.

9- RDA seems to include minor changes, such as parentheses around the 020 |q subfield. But then MARCIVE updated all of the non-RDA records to RDA standards and there aren’t any parentheses in those records. Should we be using parentheses or not?

We do not reinforce the parentheses rule, even though most of the cataloging libraries seem to adhere to it.

10- Do we follow OCLC or LC guidelines, and how are we updated when there are changes we should be aware of?

SWAN follows RDA guidelines for cataloging; however, we also refer to OCLC and LC frequently for guidance without specific precedence given to any one practice. Major
updates requiring significant changes to library practice will be communicated to the membership, but we recommend referring to RDA Toolkit, OCLC Bibliographic Formats & Standards, LC’s PCC Policy Statements and other online documentation frequently.

11- Does SWAN have any guidelines about encoding audience in the fixed fields in the consortium context? Should the field always be left blank? Are there certain types of materials that should always be “j” or certain items (i.e., R-Rated movies) that should have an “e”?

The audience field should be filled out accordingly, since it can be used as reference when assigning Category 2. There are no guidelines at a consortium level besides using cataloger’s judgment. The ‘audience level’ facet in Enterprise is driven by item category 2; it does not come from the MARC record at all.

12- Which version of the OLAC guide for Blu-rays and DVDs should be followed in regard to the 3XX fields? And do we keep or remove the 346 $a?

The latest OLAC version is an excellent resource for audiovisual materials. Some OCLC records contain the 346 tag and that information is retained. In the absence of the 346 tag, the record broadcast standards should be entered in the 538 tag.

In general, SWAN does not advocate the removal of any 3xx information, but we also do not require its inclusion outside of the 33x fields for content type, media type, and carrier. Even if it is not used for search and display at present, the more data we accumulate over time, the better primed we will be to start using it.

13- Are the 599 tags needed? What are they used for?

In Symphony, 599 tags are automatically generated for serials. Each holding library gets a line representing its most recently checked in issue, so it is connected to Serial Control/MARC Holdings. They are system generated and shouldn’t be deleted.

14- How does SWAN determine which record to use when merging records?

SWAN compares the records to verify which one has the most complete, accurate and updated information. We do not have a checklist, and all pairs are judged individually. We will often copy fields we wish to retain during a merge to create a record that contains the best of both.

15- What 856 fields should always be removed from bib records?

Bibliographic records which include an authenticated/gated link are not appropriate for the catalog due to the confusion patrons experience when encountering these titles in Enterprise and must be removed. Records which contain a universal 856 link which anyone can access (e.g. historical archives, publication by the institution) are acceptable.

16 - When DVDs are reissued, should they go on an old existing record or create a new record?
If everything else matches including supplemental content, it can be attached to an existing record. If you are not a cataloging library, please submit the UPC number and publisher number to be added to the record.

17- **When is it appropriate for subject headings to be in field 650 vs. 655?** For example, *Children’s films*, *Television series*, *Television programs*, *Foreign language films*.

As a rule, follow the following rule of thumb:
- **655 – Genre**: Describes what the item *is*.
- **650 – Subject heading**: Tells you what the item *is about*.

For example, an animated film on DVD can take the heading:
- 655 _7 Animated films |2 lcgft

Whereas a book about animated films would take the following:
- 650 _0 Animated films.

Genre and subject headings do not always share the same terminology. Library of Congress Subject Headings (LCSH) and Library of Congress Genre/Form Terms for Library and Archival Materials (LCGFT) are separate thesauri.