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A Publication of the Minitex Digitization, Cataloging & Metadata Education Unit

DIGITIZATION, CATALOGING & METADATA MAILING

September/October

General

Part 2: Everything You Always Wanted to Know About OCLC Governance, But Were Afraid to Ask

Sara Ring, Minitex/DCME

I interviewed Wilbur Stolt, Director of Libraries, Chester Fritz Library, University of North Dakota, about his recent election to the OCLC Americas Regional Council as Chair Elect/Vice-Chair. Part 1 was published in the July/August *Mailing*. Read on for Part 2!

Q: What are some of the initiatives of the OCLC Americas Regional Council on the horizon?

Being now a global cooperative, communicating both within the regions and across the regions continues to be a focus and a challenge. Areas in Europe are particularly involved with OCLC ILS products, purchasing licenses to ILSes that are owned through OCLC. Whereas, in the Americas, we have been traditionally involved in OCLC through the building of the WorldCat database and resource sharing. So the contributions and participation of libraries is different in different places.

How we communicate to our membership and do that more effectively is a focus. During the last year, the changes in the credits and incentives program and the changes in how you can become an OCLC member were important actions. This coming year, within ARC, we're very cognizant of the need to communicate to our broader membership to the people who are doing the cataloging and doing the resource sharing, what these changes mean as we go forward.

As information comes out from OCLC, we are also very interested in seeing how we can get members to provide input and express opinions about products and services. Communication goes both ways, or sometimes in a circle; there are all sorts of discussion, and we think for the good of the organization, ARC needs to be facilitating and promoting more of that communication. What new directions are OCLC staff thinking about, and what new products are coming out? What are the issues facing libraries, and where should we be going with products and services in the future?

Under the previous governance structure, membership on OCLC Members Council was really tied to the regional networks. So, you had defined areas of representation, just like our government. Previously, you were a delegate from Minitex or from Solinet or from Palinet. Now, when you're elected as an ARC delegate, that's not necessarily the case. You may be elected because of your professional affinity, a k-12 librarian or a special librarian or an academic librarian. And, you can have a number of delegates from the same area. Trying to help delegates identify roles and how we can provide the best representation across the region is something that we're looking at. I think during the last election, nominees were paired off more by affinity-- an academic against an academic and the like. The nomination committee

tries to look at geographical area too. But, that might be something we'll look at.

Other projects we want to expand include the OCLC Ambassadors program, which has been in development over the last couple of years. The program provides non-delegates, any OCLC member, an opportunity to participate in OCLC. An ambassador may represent other members at a regional or a state library professional meeting. An ambassador from an OCLC library may host a coffee in the morning to provide the opportunity for OCLC librarians to talk about what's going on. It's not a sales pitch or anything like that, its members talking to other members. An opportunity for them to share their OCLC experiences with other members or with potential members in their area and it also a facilitates discussion. An ambassador may have some information about OCLC, but can also gather really valuable information about what our peers are thinking about.

Another idea we're looking into: how can we promote opportunities to view the programs or presentations sponsored by OCLC?

Not everybody gets to go to ALA or SLA or PLA, and OCLC puts on some wonderful programs, which are recorded. And, how can we get those out to communities where they can have viewing parities or a local event where you could participate virtually and, then, have local discussions? Again, OCLC has this wonderful history of public programs and research, and we hope we can broaden the impact of those.

Finally, Skip Pritchard is the new OCLC President and CEO, and we're looking forward to working with him in the coming year and seeing what this transition time, if it is indeed a transition time, how we can participate or help move the cooperative forward.

Q: We've heard that OCLC will be phasing out credits in July 2014. Can you talk about this change and how it impacts OCLC member libraries?

Well, first, there will be more information coming out, so I will not get into a lot of detail. The credits and incentives program was developed by OCLC before the subscription billing program was put into place. In other words, when it was first set up, everything was based on transactions, and the credits and incentives helped to offset costs of individual transactions during a time when technology counted things differently. With the subscription program and the transactions, it really was two different concepts on how to handle costs. OCLC, in looking at it, wanted to standardize more on the subscription line. In discussing reasons for incentives, it was interesting that the majority of responses (I don't want to say all of them, but the

majority of responses) indicated members were not motivated to participate in cataloging and resource sharing because of the incentives. Some people said it really helped, but that wasn't the reason they did it. It was because of the value of the shared resources both in the catalog and to share amongst the collections. And again, this was not everyone. We were impressed with the amount of reaction coming back saying that incentives weren't the key to their participation.

The goal of the change going into July 2014 is to have minimal impact on members' budgets. Everything I've heard about this and all the projections are that for most libraries, again not all of them, but for most libraries, there will be minimal impact, or it will be revenue neutral. In other words, the incentive piece will be considered within the subscription cost moving forward. This is something we all have to watch, and I am interested as we get to July 2014 in hearing feedback from people. We should not see huge increases because of the elimination of the incentives program. As I said, there will be more information coming out, and ARC has been talking with OCLC staff about the importance of communications on on this topic. And, I appreciated the comments I received from Minitex members when the discussion about incentives came up, because it was very valuable to see where different people in the area stood and to hear what they felt was important.

Q: How can OCLC members in our region give feedback?
We have two delegates to Americas Regional Council in the Minitex region. What is fascinating is that they're both in North Dakota. Ann Pederson, who is librarian at Altru hospital in Grand Forks, is an ARC delegate to the Global Council, and I am also delegate to the Global Council. We are both available to answer questions and to discuss issues that might come up, and we welcome those comments and discussions. We do not serve as representatives of the OCLC sales force. We are members of OCLC, serving as representatives. We choose not to get involved in pricing and sales. There is an OCLC regional salesperson for that. Questions about training and other activities should go either to the sales force or to Minitex. Minitex does a great job with training in the region.

There's an OCLC webpage that has quite a bit of information (oclc.org/en-US/membership/governance. html). It has governance documents; it has information about the OCLC Global Council and delegates. Under the Americas Regional Council section, you'll find information about the Ambassadors program. One thing that OCLC is working on, is redesign of its website, and one of the areas that should be coming up shortly is a feature called OCLC Forum. We want the Forum to be a virtual meeting and discussion area where

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people who have an interest in a topic or want to explore an issue can "gather." There was a site a few years ago called the OCLC member-to-member site. The Forum has much of the same concept. We want to develop interest groups. Because these groups will be located on the OCLC website, it won't be limited to ARC. There will be opportunities for people from around the globe to get together if they want. So we're hoping that will be an area that will bring members and OCLC staff together.

In summary, talk to Ann Pederson or myself, send us an email or give us a call (Contact information listed at the end of this article).   Or, if you know an ARC delegate in Tucson, AZ, you are welcome to talk to them too. Or if you know someone who is a k-12 librarian on the Global Council and you want to talk to them, please do so. I should add, Ann Pederson is one of the few special librarians on the Global Council at the moment. All Global Council delegate contacts can be found here:

oclc.org/en-US/global-council-directory.html

Q: Any final comments you wish to make?

I think OCLC has been a strong base for a lot of what libraries do in this part of the world, as far as contributing to WorldCat and Resource Sharing programs. Minitex has had an important role in working with OCLC while it has changed over the years. I really think Minitex has one of the stronger relationships with OCLC.

I hope we continue to remind ourselves that OCLC is a cooperative, that it's our organization, that we have opportunities to make our library services better through it.

Wilbur Stolt (wilbur.stolt@library.und.edu, 701.777.2189)
Ann Pederson (apederson@altru.org, 701.780.5187) ■

Cataloging & Metadata

New RDA Webinars for Late 2013

Mark K. Ehlert, Minitex/DCME

Minitex continues hosting "RDA Basics" webinars for experienced copy catalogers through 2013. Two new sessions are scheduled that cover serials and music scores. For full training descriptions and registration information, point your browser to the links below.

RDA Cataloging: Basic Serials
Tuesday, November 12 (10:00 a.m. – 1:15 p.m., Central)
www.minitex.umn.edu/Training/Details.aspx?SessionID=508

RDA Cataloging: Basic Music Scores
Tuesday, December 10 (10:00 a.m. – 1:15 p.m., Central)
www.minitex.umn.edu/Training/Details.aspx?SessionID=509 ■

Cataloging & Metadata

Upcoming ALCTS Opportunities

The ALA Association for Library Collections & Technical Services has a number of continuing education opportunities. Highlighted below is a list of their upcoming webinars. Visit the website to learn more:

www.ala.org/alcts/confevents/upcoming/webinar

• Electronic Resources Workflows and Tools (Oct. 23)
• MOOCs: Copyright Management for Online Courses? (Nov. 6)
• Evaluating Print Book & E-Book Patron-Driven Acquisitions (Nov. 13)
• Assessment Strategies for Cataloging Managers (Nov. 20) Floating Collections for Public Libraries (Dec. 4)
• MOOCs: Here to Stay or Flash in the Pan? (Dec. 11) ■

Cataloging & Metadata

RDA Notes
Mark K. Ehlert, Minitex/DCME

On Hybrid Records

You may have seen the term *hybrid record* bandied about on e-mail discussion lists over the past few months, not to mention in recent issues of the *Mailing*. Put simply, a hybrid record is any non-RDA bibliographic record, like those built following AACR2, that incorporates some RDA-only information and/or follows select RDA instructions. One popular set of RDA-only data are the 336, 337, and 338 fields, whereas the select RDA instructions include those that employ spelled-out forms of words and phrases like *black and white* and *pages*—terms normally abbreviated under older cataloging rules. And not all permissible RDA practices need be followed for a record to be dubbed *hybrid*.

A little background before pressing forward. The Program for Cooperative Cataloging (PCC) assembled a pair of task groups to look into how older bibliographic records may

be enhanced with RDA information. Beyond the content of records, one other point closely considered by the groups was how to harness automation to perform many of these enhancements on a large scale—think OCLC's WorldCat database. In fact, you may have already seen one such outcome of this automation in WorldCat: 336, 337, and 338 fields popping up in non-RDA records. [1] Future large-scale mechanical changes may include, among others:

- replacing *[et al.]* with the English *[and others]*

- incorporating relationship designators (e.g., *author*, *singer*, *illustrator*, *director*) to some name headings

- spelling out many traditional cataloging abbreviations in 300 fields and elsewhere while still avoiding this change in fields that house transcribed information, like the 250 and 490 fields

- eventual removal of the 245 $h (the *general material designation*) in records with the 336–338 fields

This last one won't apply until March 2016 at the earliest.

Notwithstanding the list above, automation on its own cannot produce "pure" RDA records as there are other aspects of cataloging that can only be accomplished through human judgment and intervention. No hybrid record is therefore *truly* RDA until a cataloger has made it so by hand.

Various discussions on this topic focus attention on how OCLC will tackle all of this in their WorldCat database. But the effects will be felt at a local level too.

- Copy catalogers are bound to encounter hybrid records soon, if not so already. Cataloging departments should look into establishing local policies: Let these records stand as they are? Fully convert the local record to RDA since the piece is in hand? Or, fully back to AACR2?

- Those records that appear in WorldCat Local systems are the very master records in OCLC's database, not copies in a local catalog. Thus, a larger number of hybrid records will appear to those who use WorldCat Local—both the public and library staff. What changes in display and search and indexing will result from the proliferation of hybrid records?

- And, as OCLC takes steps to hybridize records, some libraries may follow their lead by incorporating these same changes into their own catalog records, whether by calling on an outside vendor to do the work or having staff take care of this internally.

One outcome of this hybridization is to establish a more consistent, if not completely uniform, experience for the user across the catalog, irrespective of the cataloging code origins of any particular record.

But, back to the mechanics. The PCC followed up on the task groups' reports in early 2013, culminating in a trio of hybrid record guidelines: one for monographs, another for serials, and a third for integrating resources. (Links to these are below.) Unfortunately, it appears that separate groups were responsible for each class of material because the guidelines between these aren't synchronized. Editing edition statements, for instance, is handled differently to one degree or another. The integrating resource model is more flexible than the serial and monograph models, with the latter the most strict of the three.

Table 1 on page 5 itemizes the recommended PCC practices for the more popular MARC fields based on the hybrid record guidelines just mentioned. This is not a comprehensive listing, of course; fuller accounts are found in the original documents. Nor are you, gentle cataloger, obligated to revise or create hybrid records unless you so choose. [2] These guidelines are primarily directed at PCC catalogers. At the same time, it's important to note that their work trickles down to many other libraries through their PCC-encoded records (e.g., 042 field with *pcc*). Remember too that OCLC continues to accept original cataloging based solely on AACR2 or RDA.

In addition to the table, I've pulled together an example that illustrates the similarities and differences between AACR2, hybrid, and RDA records. The bibliographic records on pages 6-7 represent the same book as described using the two major cataloging manuals and the hybrid model. [3] As you look over these records, recall that computer automation can transform the AACR2 original into the hybrid record in part; the designators *author* and *translator* would have to be inserted manually, for instance, though perhaps in the future some automation might help out here (e.g., converting $4 MARC codes to spelled-out $e designators). Either way, I'd confirm these by eye when performing real-world cataloging.

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Table 1.

MARC	Monographs	Serials	Integrating Resources
Desc (LDR/18)	Leave as-is	Leave as-is	Leave as-is
040	Do not add ‡e rda	Do not add ‡e rda	Do not add ‡e rda
1xx/240	Generally do not add or delete; align with form in authority record	Generally do not add or delete; align with form in authority record	Retain main entry if correct under earlier rules; align with form in authority record
245	Leave as-is; do not remove ‡h (GMD); in $c, may include full list of names if more than three	Leave as-is; do not remove ‡h (GMD)	Do not remove ‡h (GMD); if updating record, may follow RDA
250	Do not spell out abbreviations or transcribe ordinal numbers in word form	May spell out abbreviations and transcribe ordinal numbers in word form if present on the piece	If updating record, may follow RDA
260	May flip to 264 field; may flip "S.l." and "s.n." to RDA forms; retain other abbreviations, etc.	Edit as necessary; may flip to 264 field; may flip "S.l." and "s.n." to RDA forms; retain other abbreviations, etc.	If updating record, may follow RDA (no mention of the 264 field)
300	May spell out abbreviations; do not remove brackets indicating unnumbered pages/leaves	May add field if missing	Retain pre-RDA abbreviations; if updating record, may follow RDA
336/337/338	May add to the record	May add to the record	May add to the record
490	Edit as necessary	Add/edit as necessary	—
5xx	Add/edit as necessary	Add/edit as necessary; prefer 776 ‡i over 530	Edit 516 and 588 as necessary
7xx	Add new entries as necessary; do not remove existing ones	Add new entries as necessary; do not remove existing ones	May add new entries; do not remove existing ones
76x–78x	—	Add as necessary	Format should match content of target record
Relationship designators (1xx/7xx ‡e/‡j and 7xx ‡i)	May add ‡e, ‡j or ‡4 to the record	May add ‡e, ‡j or ‡4 to the record	May add to the record

Originating webpage, under the "PCC RDA Bibliographic Description" section:

z.umn.edu/h11

Direct links (all point to MS Word documents):

- Monographs
  z.umn.edu/h12
- Serials
  z.umn.edu/h13
- Integrating resources
  z.umn.edu/h14

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2 For the record, this is my own preferred practice: should I have the piece in hand and want to revise an existing record away from AACR2, I prefer going all the way with RDA rather than only half-way down the road with a hybrid record.

3 These records have been adapted slightly from the original. The forms of the name headings match those in the Library of Congress name authority file.

Example 1.1 (AACR2 Record)

```
Type: a      Elvl: I      Srce: d      Audn: j      Ctrl:       Lang: eng
BLvl: m      Form:        Conf: 0      Biog:        MRec:       Ctry: nyu
             Cont:        GPub:        LitF: 1      Indx: 0
Desc: a      Ills: a      Fest: 0      DtSt: s      Dates: 1958,

040 -- XXX ‡b eng ‡c XXX
 ...
049 -- XXXA
100 1- Cooney, Barbara, ‡d 1917-2000.
245 10 Chanticleer and the fox / ‡c by Geoffrey Chaucer ; adapted and illustrated by
       Barbara Cooney.
250 -- Inner sanctum ed.
260 -- New York : ‡b Thomas Y. Crowell Co., ‡c c1958.
300 -- [36] p. : ‡b col. ill. ; ‡c 27 cm.
500 -- Art techniques used: pre-separated ill.; black and white drawings on scratchboard
       with color on Dinobase.
500 -- "Adaptation of the 'Nun's priest's tale' from the Canterbury tales, translated by
       Robert Mayer Lumiansky"--T.p. verso.
520 -- A sly fox tries to outwit a proud rooster through the use of flattery.
586 -- Caldecott Medal, 1959
 ...
700 1- Lumiansky, R. M. ‡q (Robert Mayer), ‡d 1913-1987. ‡4 trl
700 1- Chaucer, Geoffrey, ‡d -1400. ‡t Nun's priest's tale. ‡l English.
```

Example 1.2 (Hybrid Record)

```
Type: a      Elvl: I      Srce: d      Audn: j      Ctrl:       Lang: eng
BLvl: m      Form:        Conf: 0      Biog:        MRec:       Ctry: nyu
             Cont:        GPub:        LitF: 1      Indx: 0
Desc: a      Ills: a      Fest: 0      DtSt: s      Dates: 1958,

040 -- XXX ‡b eng ‡c XXX
 ...
049 -- XXXA
100 1- Cooney, Barbara, ‡d 1917-2000, ‡e author.
245 10 Chanticleer and the fox / ‡c by Geoffrey Chaucer ; adapted and illustrated by
       Barbara Cooney.
250 -- Inner sanctum ed.
260 -- New York : ‡b Thomas Y. Crowell Co., ‡c ©1958.
300 -- [36] pages : ‡b color illustrations ; ‡c 27 cm.
336 -- text ‡b txt ‡2 rdacontent
337 -- unmediated ‡b n ‡2 rdamedia
338 -- volume ‡b nc ‡2 rdacarrier
500 -- Art techniques used: pre-separated illustrations; black and white drawings on
       scratchboard with color on Dinobase.
500 -- "Adaptation of the 'Nun's priest's tale' from the Canterbury tales, translated by
       Robert Mayer Lumiansky"--Title page verso.
520 -- A sly fox tries to outwit a proud rooster through the use of flattery.
586 -- Caldecott Medal, 1959
 ...
700 1- Lumiansky, R. M. ‡q (Robert Mayer), ‡d 1913-1987, ‡e translator.
700 1- Chaucer, Geoffrey, ‡d -1400. ‡t Nun's priest's tale. ‡l English.
```

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Example 1.3 (RDA Record)

```
Type: a      Elvl: I      Srce: d      Audn: j      Ctrl:      Lang: eng
BLvl: m      Form:        Conf: 0      Biog:        MRec:      Ctry: nyu
             Cont:        GPub:        LitF: 1      Indx: 0
Desc: i      Ills: a      Fest: 0      DtSt: t      Dates: 1958,1958

040 -- XXX ‡b eng ‡e rda ‡c XXX
 ...
049 -- XXXA
100 1- Cooney, Barbara, ‡d 1917-2000, ‡e author.
245 10 Chanticleer and the fox / ‡c by Geoffrey Chaucer ; adapted and illustrated by
       Barbara Cooney.
250 -- The inner sanctum edition.
264 -1 New York : ‡b Thomas Y. Crowell Company, ‡c [1958?]
264 -4 ‡c ©1958
300 -- 36 unnumbered pages : ‡b color illustrations ; ‡c 27 cm
336 -- text ‡b txt ‡2 rdacontent
337 -- unmediated ‡b n ‡2 rdamedia
338 -- volume ‡b nc ‡2 rdacarrier
500 -- Art techniques used: pre-separated illustrations; black and white drawings on
       scratchboard with color on Dinobase.
500 -- "Adaptation of the 'Nun's priest's tale' from the Canterbury tales, translated by
       Robert Mayer Lumiansky"--Title page verso.
520 -- A sly fox tries to outwit a proud rooster through the use of flattery.
586 -- Caldecott Medal, 1959
 ...
700 1- Lumiansky, R. M. ‡q (Robert Mayer), ‡d 1913-1987, ‡e translator.*
700 1- ‡i Based on (expression): ‡a Chaucer, Geoffrey, ‡d -1400. ‡t Nun's priest's tale.
       ‡l English ‡s (Lumiansky)**
```

* Alternatively, the translator's name heading may also or only appear in the authority record for the translation, if there is one.

** RDA expects distinguishing the title heading of one translation from another, even if both are rendered into the same language; the Library of Congress would default to using "English" alone without parenthetical refinement. ∎

Cataloging & Metadata

Contract Cataloging News

Mark K. Ehlert, Minitex/DCME

A major staff change recently came to pass with the Minitex Contract Cataloging Program (MCCP). Effective October 1, Carla Urban, Minitex Assistant Director for DCME, took on the mantle of MCCP Manager. She is now the primary contact for new and ongoing cataloging projects. The logistics of this transition will be gradual, despite the firm date above; I will continue working in the background of the MCCP for the next few months.

I would like to publicly thank Carla for accepting this new role, and extend my gratitude to the front-line MCCP cataloging staff—Kay Beaudrie, Susanne Nevin, Kelly Wavrin—for their flexibility and continued hard work. ∎

Introduction to OAIS

Sara Ring, Minitex/DCME

If you have started to delve into digital preservation standards, you may have seen or read about the Open Archival Information System, or OAIS, as it is more commonly known. An OAIS is an archive, consisting of an organization of people and systems that has accepted the responsibility to preserve information and make it available for a designated community (It is "open" because it was developed using a public process, and the model is freely available).   OAIS became an ISO standard in 2003, and the OAIS model has been widely accepted as a key standard for digital repositories. Put another way, it is a conceptual model of what attributes a digital archive system should include. If you need to brush up on this standard, take a look at the following archived webinar "Introduction to OAIS." The recording is sponsored by the Council of State Archivists and the Institute of Museum and Library Services:
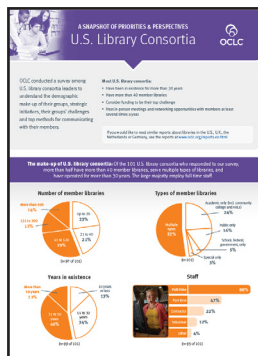
www.statearchivists.org/seri/STEP/SERI_Educational_Webinars.htm ■

OCLC

U.S. Library Consortia: Snapshot of Priorities & Perspectives

Valerie Horton, Minitex Director

The OCLC *U.S. Library Consortia: Snapshot of Priorities & Perspectives* study provides a good overview of the current situation in library consortia. The summary states that of the 101 library consortia that filled out the survey (including Minitex) more than half have over 40 members, most serve all types of libraries, and most have longevity. Consortia leaders reported that they focus on professional networking, collaboration, leadership, and resource sharing. The top three most used services are no surprise: ILL/resource sharing, shared online catalogs, and cooperative purchasing. It is reassuring to see that many consortia are still doing fine in these turbulent times. You can find the full report on the OCLC

website here:

www.oclc.org/reports/us-consortia.en.html

If you wish to read about other recent consortia survey, check out 'Industry Trends' in the Minitex Briefing Book at:

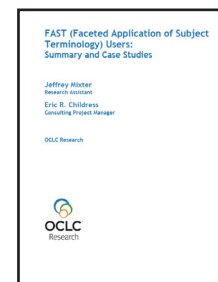www.minitex.umn.edu/About/BriefingBook.pdf

Or, read my editorial in the October 2013 issue of Collaborative Librarianship, entitled "Whither Library Consortia:"

www.collaborativelibrarianship.org ■

OCLC

FAST Users: Summary Case Studies

OCLC Research published a new report, *FAST (Faceted Application of Subject Terminology) Users: Summary and Case Studies,* written by Research Assistant Jeff Mixter and Consulting Research Project Manager Eric Childress.

The report includes case studies of 16 parties (nine adopters, seven non-adopters) in six countries that have expressed interest in FAST, an enumerative faceted subject heading schema derived from Library of Congress Subject Headings (LCSH). It also includes a profile of OCLC's own use of FAST. Minnesota State University, Mankato, and the University of North Dakota are two local libraries respondents. Here's a brief quote about how the University of North Dakota is using FAST:

The University of North Dakota began using FAST in 2004 to catalog digital images in CONTENTdm. Their CONTENTdm items (see a sample record display in figure 12) use a custom Dublin Core template, and FAST is used in conjunction with the Art & Architecture Thesaurus (AAT) and the Thesaurus for Graphic Materials in the creation of subject metadata for photos, pottery, and special collections.

Key highlights from the report include:

- Most cited FAST attributes: ease of use, simple syntax, and suitability for non-cataloger application
- Top three FAST facets used (of eight facets total): Topic, Geographic Names, Form/Genre

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- Publishing FAST as linked data under an open license has favorably advanced its adoption

The information presented in this report will broaden knowledge about who uses FAST and how FAST use has grown. OCLC encourages you to read the report, share it with others, and share your feedback with them:

www.oclc.org/research/publications/library/2013/2013-04r.html ■

Minitex Digitization, Cataloging & Metadata Mailing Contact Information

Digitization, Cataloging & Metadata Education (DCME)
612-624-4002, 800-462-5348, mino@umn.edu
Mark Ehlert, Sara Ring, Carla Dewey Urban
Services and resources pertaining to cataloging and metadata, digitization and digital preservation, and the OCLC Cooperative

Contract Cataloging Program (ConCats)
612-624-4002, 800-462-5348, ConCats@umn.edu
Carla Urban

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