# UKB

# Metadata Management in WorldCat

Version 1.1 – May 2020

# Contents

## History

| Version | Date | Changes | Authors |
|---------|------|---------|---------|
| 0.1 | 14/05/2018 | First concept | ML, AC |
| 0.2 | 25/05/2018 | Additions and text corrections | AH, FK, AC |
| 0.3 | 04/06/2018 | Additions and text corrections | HD, ML, AC |
| 0.4 | 06/09/2018 | Additions and text corrections | AH, AC |
| 1.0 | 13/11/2018 | Final additions after Expertisegroup Metadata meeting 24 Oct 2018 | HD, AH, FdG, AC |
| 1.1 | 01/05/2020 | Revision to 4.3 | HD, AC |

# 1   Introduction

In 2014, the UKB kwartiersmakers-group published the *UKB-Application profile for Metadata Management in WorldCat*. [updated several times, final version Version 3.0 – February 2017]. The document was "intended as a change management tool for guiding libraries towards cataloguing in WorldCat in a uniform and consistent manner, and so supporting shared collection management". It was used by libraries to prepare their metadata for migration, to prepare personnel for their new environment, and to review internal workflows to comply with the new environment.

In February 2017, the project "UKB migration to the WorldShare Platform" was officially completed. With that, the usefulness of the 'change management tool for guiding libraries towards cataloguing in WorldCat' has come to an end.

The focus of this document is the management of bibliographic and item metadata at record level. The core audience is cataloguing staff, metadata specialists and back office management.

It

1) States the core principles for metadata management practices in WorldCat

2) Defines a standard framework for managing library collections with strategic partners, and

3) Explains key strategies for creating and managing metadata in WorldCat.

It does not include

   a. Detailed instructions on how to use applications or apply specific cataloguing rules.

   b. Metadata management strategies for the Knowledge Base or the Digital Collection Gateway.

   c. Detailed information published or readily available elsewhere.

## 2   Joint UKB Metadata Policy: core principles

The following core principles define the strategies for creating and managing metadata on the WorldShare Platform:

### 01.    Use open international standards
Adopt international formats and content standards for the description of libraries diverse collection types.

### 02.    Shared metadata management through WorldShare platform
Identify and choose for strategic partnerships in Metadata management in order to gain efficiencies in back office processes.

### 03.    'about-ness' instead of 'of-ness'
De-emphasize the descriptive cataloguing effort and re-emphasize authorities and controlled vocabularies.  Libraries should transition from managing the description of things to managing content and data that supports linked data models and what end users need – address their needs at their points of discovery.

### 04.    Accept a hybrid situation ('trendbreuk') in (local) Discovery systems or catalogues
Accept that a change from past practices will result in a hybrid catalogue – as that is simply evidence of different standards at different times.
For work created on the WorldShare Platform, adopt international standards and seek out strategic partners (see 01). Accept legacy data[1] in WorldCat 'as is'.

---

[1] Legacy record or Legacy data: Bib record or Local- or LHR-Data that were created in the previous cataloguing system (GGC) and have been converted to WorldCat in the WorldShare Migration project.

# 3   Standards Matrixes

## 3.1   Collections, standards and partners

The following matrix lists the standards and vocabularies that can be used on the WorldShare Platform when creating and managing metadata.

| Publication Category | Format Standard | Content Standard | Vocabularies, rules, schemas | Strategic Partners |
|---|---|---|---|---|
| National Bibliography | MARC21 | RDA-NL([2]dut) STCN (eng) MMDC *(eng)* | NTA/ISNI (dut) KB Corporatie thesaurus/ISNI (dut) STCN/ISNI Drukkersthesaurus (eng) Brinkman Trefwoorden Thesaurus (dut) STCN Trefwoordenlijst (eng) | KB |
| Institutional Academic output | Dublin Core Others pending | | DAI/ISNI (dut/eng) | |
| Academic information | MARC21 | RDA-PCC-BSR (eng) RDA-PCC-CSR (eng) NACO/SACO | LCNAF LCSH FAST DAI/ISNI (dut/eng) NLM | PCC |
| Cultural Heritage | MARC21 EAD | RDA-PCC-BSR (eng) RDA-PCC-CSR (eng) DACS (Archives and Collections) CCO DCRM | LCNAF LCSH FAST DAI/ISNI AAT (eng/dut) LCC | PCC RBMS DACS CCO |
| Digitized collections | Dublin Core Others pending | | | |

## 3.2   Material types & content standards

| Type of Material | Descriptive Cataloging Standard and Code Used |
|---|---|
| Books | RDA-BSR, add $e rda to 040 |
| Serials | RDA-CSR, add $e rda to 040 |
| Graphic materials | RDA-BSR, add $e rda to 040 |
| Notated music | RDA-BSR, add $e rda to 040 |
| Sound recordings | RDA-BSR, add $e rda to 040 |
| Moving image materials | RDA-BSR, add $e rda to 040 |
| Cartographic materials | RDA-BSR, add $e rda to 040 |
| Electronic resources | RDA-BSR : add $e rda to 040 If following provider neutral guidelines, add $e rda and $e pn to 040. |
| Computer files | RDA-BSR : add $e rda to 040 |
| Rare materials (following local policy/cataloger's judgment) | Use the appropriate DCRM manual and RDA • Books DCRM(B) add $e rda $e dcrmb to 040 • Cartographic materials DCRM(C): add $e rda $e dcrmc to 040 • Graphic materials DCRM(G): add $e rda and $e dcrmg to 040 • Notated Music DCRM(M):  add $e rda $e dcrmm to 040 • Serials DCRM(S): add $e rda $e dcrms to 040 |

---

[2] The required language of cataloguing is indicated in parentheses when relevant to the standard listed.

| Collection level records for archives/manuscripts | RDA and DACS : add $e rda and $e dacs to 040 |
|---|---|
| Manuscripts (individual) | *Status pending on formal decisions regarding RDA and the incorporation of manuscripts material specific instructions.*<br><br>RDA add $e rda to 040<br>or following local policy/cataloger's judgment: RDA and DACS/DCRM(MSS)/AMREMM as appropriate:<br>add $e rda and $e dacs<br>add $e rda and $e dcrmmss (for modern manuscripts (after ca. 1650))<br>add $e rda and $e amremm *(for pre-modern manuscripts (before ca. 1650)) |

# 4   Data Creation & Maintenance on WorldCat

There are several ways for data creation and maintenance on WorldCat. Most of the libraries create and update records directly in WorldCat. The non-WorldShare Management Services (non-WMS) libraries create and update records in another system (Alma or GGC) and load these records into WorldCat.

## 4.1   Creating new records

When creating new records in WorldCat, follow OCLC instructions for Bibliographic Formats and Standards (BIBFAS).

Official OCLC-documentation:
OCLC's [Bibliographic Formats and Standards](#) guidelines

## 4.2   Upgrading records

When upgrading existing records in WorldCat, follow OCLC instructions for Bibliographic Formats and Standards (BIBFAS).

Official OCLC-documentation:
OCLC's [Bibliographic Formats and Standards](#) guidelines
OCLC's [Quality Assurance](#) guidelines
The [Expert Community: Guidelines for Experts](#)
The [OCLC RDA Policy statement](#)

## 4.3   Encoding levels

When creating a new record in WorldCat, UKB libraries will use Encoding Level 7 or higher.

Official OCLC-documentation:
[ELvl: Encoding Level](#)

## 4.4   Language of cataloguing

When creating a new record in WorldCat, UKB libraries will apply Language of cataloguing 'eng'.

There are two exceptions:
-   The KB will be cataloguing in Dutch.
-   The Brabant Collection of the Tilburg University will be catalogued in Dutch.

## 4.5  Minimal level record requirements

Libraries will create bibliographic records in accordance with the Core requirements established in the standards listed in Material types & content standards.

For most material types this will be the RDA Core element requirements as listed in the PCC RDA BIBCO Standard Record (BSR) Metadata Application Profile (PCC-RDA-BSR).
The BSR follows RDA 0.6.1 in its approach of core requirements.

For serials see: CONSER Standard Record (CSR) Metadata Application Profiles.


## 4.6  Separate vs Single records

Observe the agreement to create separate records for print- and online-versions of the same text.

Official OCLC-documentation:
Cataloguing Electronic Resources: OCLC MARC Coding Guidelines


## 4.7  Provider neutral records

When creating records for electronic resources, observe guidelines for Provider neutral records.

Official PCC-documentation:
Provider-Neutral E-Resource MARC Record Guidelines


## 4.8  Multipart works, Series, and Parts of series

The MARC21 format supports linking via the encoding of information that identifies related bibliographic items. These are referred to as the linking entry fields, and additionally the series field.
But, linking and search expansion functionality is currently not available in all Discoveries. In WorldCat it is on the development roadmap. It is still too early to determine how linking will function in the new discovery interface or if/how links will be populated and deployed. In particular, how WorldCat records might use or be enriched with link keys already available from GGC and other data sources.

The Expertise Group Metadata has created a document (published on the Record Manager Community Center) with guidelines how to record multipart works in a comprehensive or in an analytical way.


## 4.9  Transliteration standards

WorldCat does not prescribe the use of specific transliteration standards but as the majority of titles in WorldCat are from US libraries, the most encountered standard is ALA-LC Romanization, which is consistent with adherence to the PCC guidelines.  Data from European libraries (with the exception of the British Isles), rarely use ALA-LC.

Scholarly transliteration standards are typically used in UKB libraries. For example, Russian Cyrillic titles (from the University of Amsterdam and Leiden) mostly use ISO/R9 1968, though sometimes it is difficult to observe. Other standards could be in use.

UKB libraries' transliteration practices and standards on the platform will be linked to the choice of standards and strategic partners used for different collections and publications (as indicated in the Collections, standards and partners matrix).

Note that: Legacy transliterations and standards do not need to be corrected nor always changed in preference to ALA.

## 4.10 Duplicate Detection and Resolution (DDR)

Be aware of DDR, and how to minimize the risks.

Records merged via DDR can be undone under certain conditions. To action and remove duplicates Libraries can send requests to: bibchange@oclc.org or complete and submit the WorldCat and Authority Record Quality Control Request form. OCLC staff investigate these and when appropriate, restore (un-merge) the bibliographic record and move LHRs accordingly. A response is sent to the original reporter and if needed, recommendations about preventing incorrect merges in the future.

Material such as 'proefschrift'-'handelsuitgave' can be protected from DDR by applying the relevant marctags and coding: Guidelines for the description of Dutch theses.

A document by Daniel van Spanje of OCLC about the DDR-process is in progress.

Official OCLC-documentation:
Cataloguing Defensively

## 4.11 Communication

Libraries that wish to correct or change records have the option to send requests to: bibchange@oclc.org or complete and submit the WorldCat and Authority Record Quality Control Request form.

Requests regarding changes to NLGGC-legacy records should be sent to the Leiden office: Support-nl@oclc.org.

Questions on cataloguing policies, standards, and practices can be addressed to the WorldCat Quality Control Team: AskQC@oclc.org

Questions regarding bugs, etc. should be sent to Support-nl@oclc.org.

# 5  Creation & Maintenance of Authority Files

Authority control of headings in bibliographic records means that names in 'author' fields will be validated against authority files.

As indicated in the [Collections, standards and partners matrix](#) the use of an authority file and the language of cataloguing are linked. For example, when the language of cataloguing is English the Library of Congress Name Authority File (LCNAF) must be used.

In GGC records (legacy and new from the KB) with the language of cataloguing Dutch the Nederlandse Thesaurus van Auteursnamen (NTA) is used. New NTA terms cannot be created on WorldCat.

In order to create or upgrade an authority record in the LCNAF, a library must be a member of NACO (or SACO for Subjects).

At present, UKB is considering the various options for becoming a NACO- and SACO-member, either individually of through a consortium construction.

# 6 Rare materials

The term "rare materials" refers to any materials that repositories have chosen to distinguish from general materials by the ways in which they house, preserve, or collect them. Rarity in the narrow sense of "scarcity" may or may not be a feature of these materials.
(DCRM manuals I,1)

Discussions are under way to align DCRM with RDA. See the DCRM information pages for updates and planning. Until the RBMS Policy Statements to RDA are complete, UKB libraries creating DCRM records should proceed as directed here.

In the meantime, use the content standards recommended in the Standards Matrix.

# 7   GGC Specifics

## 7.1   Legacy data, BIB level

GGC Legacy records are identified by cataloguing source (040 $a) NLGGC.

As long as no other institution has touched such a record in WorldCat, i.e. as long as the only 040 $c is NLGGC), any changes in the record made in the GGC-environment will be synchronised to WorldCat.

At present, there are a number of repair reloads considered or planned by OCLC; in order for these repairs to be successful, libraries are discouraged from changing NLGGC-records in WorldCat. There is no synchronisation of  NLGGC-records from WorldCat back to GGC.

## 7.2   Legacy data, LDB level

There is no synchronization of GGC Legacy LBD level from WorldCat back to GGC.
UKB has no general restrictions for libraries.

## 7.3   Local Holdings Record (LHR)

For those University Libraries that have arranged to synchronize their holdings to GGC:

In order to synchronize LHRs to GGC the following MARC fields are required: Leader,  Directory, 001, 004 and 852 ($a and $b).

The 008 coded data fields for Lending (008/20) and Reproduction (008/21) policy should be coded specifically as this information is used within WorldShare ILL for automated deflection of loan requests. Avoid coding these positions as "unknown".
Non-WMS libraries will register local Item lending policies in accordance with their own LMS.

Marctag 583 0_ $aSEL<xxx>  $c<yyyymmdd> $5 <Institution code> will convert to selection key (KMC 700X).  When no 583 is present, KCM 700x (a required field in GGC) will be generated automatically from the ingest-date and Institution code: (DD-MM-JJ: Institution code).

When creating an LHR in WorldCat for monograph or single part items only the 852 field is required.
For serial or multipart items use fields in the ranges 85X & 86X to capture information about captions, patterns, enumeration and chronology according to the instructions available in the OCLC Local Holdings Format and Standards.

*Refer to the Level 2 (exemplaar niveau), to LHR (Local Holding Record) and OCLC LHR to GGC Level 2 mappings (updates and new mapping documents pending).*

# 8 References

The following tables contain links to documentation that libraries should consult to further their understanding of WorldShare data management and International bibliographic standards.

| Documentation | Decription |
|---|---|
| Batch load Documentation | Documentation on how to order and prepare data files for Batch load directly to WorldCat. |
| Cataloguing Defensively | Presentations on Duplicate Detection and Resolution (DDR). |
| Cataloguing Documentation, Practices, and Programs | Contains links to all relevant OCLC cataloguing documentation, practices and programs. |
| Cheat sheet Record Manager | Overview of pages on OCLC website about Record Manager. |
| Cheat sheet Resource Description and Access | Simple instructions for implementing RDA created by the University of Amsterdam Library. |
| Digital Collection Gateway | Self-service tool for uploading metadata related to digital content or repositories. |
| Index values and MARC fields in WorldCat.org and WorldCat Local | How WorldCat.org builds index values from MARC fields to get formats/facets. |
| Jennifer Schaffner, 2009: The Metadata is the Interface: Better Description for Better Discovery of Archives and Special Collections, Synthesized from User Studies. | An essay which is part of a series of OCLC Research projects which concludes that Aboutness and relevance matter most for discovery of special collections and argues for changes in description practices. |
| Local data in WorldCat Local | Describes indexes that are applicable to LBD and LHR data. |
| MarcEdit | OCLC Developer network site that describes uses for MarcEdit and provides additional links. |
| OCLC Email and Discussion Lists | A site to discover and subscribe to OCLC's Internet lists. |
| OCLC Glossary | Glossary and explanation of OCLC terms and acronyms. |

| Documentation | Decription |
|---|---|
| OCLC-MARC Records:1993 November - Present | Describes the record structure, character sets, and formatting for OCLC-MARC records obtained via electronic file transfer and via export. |
| Provider-Neutral E-Resource MARC Record Guidelines (P-N/RDA) | PCC Guidelines and instructions on creating vendor neutral MARC records for E-resources (digital born as well as digitized materials) |
| Record Manager Online Help | Online help and user guide for Record Manager |
| Searching WorldCat Indexes | Comprehensive information about indexes used to retrieve records from WorldCat. OCLC services, including cataloguing and discovery/reference, use the same search indexes.  Shows MARC fields and subfields indexed for each WorldCat index, gives examples, and provides information about how each index works to help construct searches. |
| Working with Local Bibliographic Data | Explains how to create, maintain, and view LBD. |
| WorldCat Local: Quick Reference – Local Data For WorldCat Local | Explains how to take use WCL functionality and use their local bibliographic and local holdings data. |
| WorldCat Metadata API Integration in MarcEdit | Provides links, updates and information on the WorldCat Metadata API and MarcEdit interface. |
| WorldShare Record Manager workflows sharing forum | Information, such as best practices, or agreements within or between libraries on how to work together: e.g. cheat sheets, work instructions or application profiles. |

| Standards | Description |
|---|---|
| CCO: Cataloguing Cultural Objects: A Guide to Describing Cultural Works and Their Images | A data content standard for the cultural heritage community and is sponsored by the Visual Resources Association Foundation to promote cataloguing best practices for the museum, image collection, library, and archival communities. |
| Describing Archives: A Content Standard (DACS) | Output-neutral set of rules for describing archives, personal papers, and manuscript collections, and can be applied to all material types. Equivalent to ISAD[G] and ISAAR[CPF] for the description of archival materials and their creators. |
| Descriptive  Cataloguing of Rare Materials | Index page to published manuals, translations and supporting information of rare materials. |
| MARC 21 Specifications for Record Structure, Character Sets, and Exchange Media | Describes the structure of MARC 21 records, the character repertoires and encodings used, and the formatting of records for exchange. |
| MARC Code List for Organizations | Contains a short alphabetic code used to represent names of libraries and other kinds of organizations that need to be identified in the bibliographic environment. The section on requesting new codes provides further instructions on applying for an organization code. |
| OCLC Authorities: Format and Indexes | Provides details on selected topics that cataloguers need to identify and verify information in bibliographic and/or authority records via the OCLC ® authority file. |
| OCLC Bibliographic Format and Standards | A guide to machine-readable cataloguing records in WorldCat. It provides tagging conventions, input standards and guidelines for entering information into WorldCat. |
| OCLC Local Holdings Format and Standards | A guide to Local Holdings records in WorldCat. It provides tagging conventions, input standards and guidelines for entering information into WorldCat. |
| PCC RDA BIBCO Standard Record (BSR) Metadata Application Profile(RDA-PCC-BSR)  ALA-LC Romanization Tables | A metadata application profile that is based on RDA includes elements applicable to archival materials, audio recordings, cartographic resources, electronic resources (if catalogued in the computer file format), graphic materials, moving images, notated music, rare materials, and textual monographs. The RDA BSR is arranged along a baseline for RDA elements. |
| CONSER Standard Record (CSR) Metadata Application Profiles (MAPs) | A metadata application profile that is based on RDA applicable to textual serials in various formats. |
| Resource Description and Access | Guidelines and instructions on formulating data to support resource discovery.  RDA provides a comprehensive set of guidelines and instructions covering all types of content and media. |

| Standards | Decription |
|---|---|
| Source code for Vocabularies, Rules and Schemes | Source Codes identify controlled vocabularies of terms (e.g., subject terms), codes (e.g., language codes), identifiers (e.g., standard identifiers), or specific data formulation rules (e.g., RDA) or schemes (e.g., DDC).  The section on source code maintenance provides instructions on applying for a source code. |