

## One Cataloger's NACO Participation: Comparing Funnel Participation and PCC NACO Classroom Training

by Peter H. Lisius, Music and Media Catalog Librarian  
Kent State University Libraries and Media Services

This is a personal story of involvement in the Name Authority Cooperative Program (NACO) of the Program for Cooperative Cataloging (PCC). At Kent State University, I am an active contributor to the NACO-Music Project (NMP), a NACO funnel project in which participants contribute music and music-related name and name-title authority records to the LC/NACO Authority File (LC/NAF). I have been a member of the NMP since spring 2001, starting in my previous position at the New York Public Library (NYPL). I also contribute to the NACO-AV funnel project, which is the funnel project organized by the Online Audiovisual Catalogers group. I began actively contributing records to the NACO-AV funnel in December 2007. In September of 2007, I also underwent the week-long PCC NACO training hosted by the Library of Congress (LC), which reinforced skills I had learned in the two funnel projects. In this article, I will provide background on each project, and then, based on my personal experiences, compare and contrast the two funnels and participation gleaned from receiving the week of NACO classroom training as well.

NACO participants contribute authority records for personal and corporate names, uniform titles, and series to the LC/NACO Authority File (LC/NAF), maintained by the Library of Congress. Records contained in the LC/NAF have wide distribution through the Library of Congress online catalog and through vendors such as OCLC. NACO program participants agree to follow established standards and guidelines—including the *Anglo American Cataloging Rules, 2<sup>nd</sup> edition* (AACR2) and the *Library of Congress Rule Interpretations* (LCRI)—when creating or changing authority records in the LC/NAF.

NACO participants usually undergo standardized PCC NACO training in a five-day course either at their home institution or at a host institution. Designated NACO trainers from PCC libraries (including LC) instruct in a classroom setting. After the week of instruction, a trainee submits new and changed authority records from his or her home institution via a special

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review file, and a designated NACO reviewer suggests corrections before the trainee contributes the authority record to the LC/NAF. The goal of the five-day course is to prepare a set of catalogers from an institution for independent status as a full PCC NACO institutional member and contributor.

NACO participants may also join funnel projects specializing in a particular subject area, format, non-Latin character language, or geographic orientation. For example, the NACO-Music Project (NMP) is a funnel project in which participants contribute music and music-related name and name-title authority records to the LC/NAF. The name authorities created or changed by catalogers in the NMP are reviewed by an experienced music cataloger. Some funnel members contribute records of sufficient quantity and quality to achieve "independence" from further review. Other funnel members remain indefinitely under the expert guidance of their reviewers. Funnel participation is an option for NACO contributors working in specialized collections.

NMP participants are assigned reviewers, and, after a time, can elect to achieve independent status in contribution in either name or name-title authority records. To gain independence, the reviewer and contributor agree on a methodology by which the contributor is tested. Once independence is achieved, the participant is then allowed to contribute authority records without submitting them for review first. Ralph Papakhian, Head of Technical Services at the Indiana

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University Music Library, is my reviewer. We arranged for me to take two "tests," one in which I contributed 80 name-title records, and another in which I contributed eighty name (including personal and corporate names) records. Both had to be at an error rate of five percent or less. This began in spring 2006.

I came to Kent State University in February 2007 with independence in contributing music name-title records, having achieved that at NYPL in September 2006. I achieved independence in name contribution here at Kent State University, in May 2007. I have remained an active contributor to the NMP since.

Because I am both the music and the media catalog librarian at Kent State, I became interested in the NACO-AV funnel as well. Participants in the NACO-AV project catalog audiovisual materials at their institutions. In

June 2007, I traveled to the University of Akron to meet the assistant coordinator of the project, David Procházka, the music/special materials cataloger at the University of Akron. He agreed to be my reviewer, and I began contribution to the project in December 2007. In the NACO-AV project, contribution is limited to personal and corporate name heading contribution.

Testing for independence via the NACO-AV project is divided differently than it is for the NMP, with distinctions made between personal and corporate names. Because of my existing independence in the NMP, David and I agreed to two separate "tests" of 40-50 names each, for both personal

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and at the *TechKNOW* mirror site at Kent State University Libraries and Media Services at <http://www.library.kent.edu/techknow>. For more information, to submit articles or book or product reviews, or to be placed on an e-mail announcement list for new issues please contact Margaret

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and corporate names. I began my "test" for independence in personal names in January 2008, and achieved it by April 2008. I have been contributing corporate names to the project during the entire period discussed above, but have not yet gone for independence—it is my goal to achieve this by the end of 2008 or early 2009.

In contrast, PCC NACO classroom training is an intensive, five-day course. The first day focuses on providing information about the project, as well as the basic structure of the authority file itself. The emphasis here is on the fixed field coding, commonly used MARC 21 authority fields, subfields within each field, and standard citation practice. The second through fourth days focus on specific types of authority records. The second day covers personal name authorities, the third day covers corporate name authorities, and the fourth day covers both geographic names and uniform title authorities. On each of these three days, the relevant AACR2 rules and LCRI are presented side to side; the selection of the authorized form of heading as prescribed in AACR2 Chapters 22-25 is covered first, and the

formulation of any references prescribed by AACR2 Chapter 26 is presented next. The day on corporate names is the most intensive, due to the vast number of types of corporate headings that are possible. The basics of uniform titles are covered, excluding disciplines like music and art (which have their own specific funnels). On the fifth day, changes to existing name authority records (NARs), and the circumstances surrounding those changes, are discussed, as well as the reporting mechanism for those

**"In principle, and in terms of training, funnels are very different from the PCC NACO classroom training I attended at LC."**

changes. Following this training, catalogers are assigned to a reviewer, who will review their records before they achieve independence.

In principle, and in terms of training, funnels are very different from the PCC NACO classroom training I attended at LC. But there are more specific similarities and differences among the three projects. For me, perhaps the most obvious similarities and differences can be seen between the two funnels, since they directly relate to my specific duties as both music and media catalog librarian. In the NMP, as I stated before, specific tests in name (including personal and corporate names) and name-title authorities are given to achieve independence. This is slightly different than NACO-AV, where specific tests in personal and corporate names are given instead. The reason why name headings are lumped together in the NMP is because there are very few types of corporate names that have to be established, and most of these are for musical groups. In audiovisual cataloging, tracing production and distribution companies is prescribed by the rules, and IS also common. Therefore the number and types of corporate names needing establishment are far greater. Thus a need to divide the test between personal and corporate names is far more important. I might also add that the NACO-AV project does also allow contribution of name-title and uniform title authorities, but does not have an official testing mechanism for achieving "independence" for those types of headings.

## Terry Reese Workshop: Save the Date

The TS Division and OHIONET are planning to bring Terry Reese to Columbus on May 20, 2009 for a MarcEdit workshop. Well known for creating and distributing the MarcEdit shareware, Reese holds the Gray Chair for Innovative Library Services at the Oregon State University Library. The focus of his work is finding innovative ways to access and improve the delivery of information. He has a "genius for thinking up automated solutions to time-consuming manual activities." He then also freely shares those solutions with the library community. We all benefit from this generosity. Save the date for this practical and innovative continuing education event.

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According to my reviewer, this is because back in 1996, when the funnel was established, LC's policy was not to create NARs for films or television programs. That is why, even as these rules changed in subsequent years, those headings are not added as frequently as part of the NACO-AV funnel.

That said, this is a good place to segue into the differences/similarities between the funnels and PCC NACO classroom training. For example, I have noticed that the rules for establishing headings in the NACO-AV project more closely mimic the rules presented in the five-day PCC NACO classroom training. Taking a cursory glance of the AACR2 rules and LCRIs, there are many special LCRIs for establishing music name-title

NARs and references, but for AV, there are almost no special prescriptive LCRIs (just the general ones used for all materials). The NMP has their own exhaustive supplemental handbook of examples of how to cite sources and report changes relating to headings. The NACO-AV project does have a very useful list of AV cataloging tools on the OLAC Web site, but they do not have their own handbook. The Z1 section of the *Descriptive Cataloging Manual* (available via Cataloger's Desktop) and *NACO Participant's Manual*, used by all NACO contributors, are sufficient supplements to AACR2 and LCRIs in this regard.

Probably the most significant reason why this difference exists is because of the emphasis on music name-title authorities in the NMP, which speaks to a very obvious difference between the

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## Musings: Fresh Air

Sometimes I'm working away, typing, concentrating, totally into the work at hand. [Okay, well, quite often this is the case.] So I'm into what I'm doing and somebody is standing there, on the other side of my desk, and out of the corner of my eye I notice an object is there, and as I turn my head, the (object or actually a) person is standing there looking at me talking like I can understand, which I can't, and I say, "Just a minute" as I push pause and take off my headphones. Yeah, like I was totally gone, into the work, into the music, into a typing-inputting-description mode grooving with the music and the fan is whirling, making, well, a fan sound, and my fingers hover in mid-air just over the keyboard and the information on the monitor awaits the next lil' piece of data and there they are, with a question, (usually) which is okay, but once I push pause and take off the headphones they've gotta start the sentence all over again. No problem for me. Occasionally I ask them, "So how long have you been standing there?" Not that it bothers me. No. That isn't the point. Point is that occasionally it makes me chuckle to think I was so focused and type-cruisin' along that I didn't even notice their approach, or the person standing there, or the voice of someone who apparently had a need. So what does this have to do with fresh air? Hey, I am a visual thinker. So this whole scenario reminds me of being under the water, coming up for air, and the moment your face breaks the surface of the water you can take in air, fresh air, and although it interrupts the swim it is a necessary factor. The water remains, the swim can be continued, but in that moment, the fresh air and a momentary glimpse at the life above the surface is kinda like a stabilizer. It is reality. I recognize there is life outside of the headphones and typing data into a computer-brain. So~~~ I breathe a little fresh air, answer questions, offer suggestions, (whatever) then I plunge back into the deep for another swim and I find my music-typing-assessing working mode is right where I left it. So every interruption is actually opportunity for a little bit of "fresh air."

by Jennifer Bull

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two funnels—using terminology borrowed directly from form/genre language in subject headings, music itself is a *genre*, while AV is a *form* (or *format*). In my experience, the training I have received for personal name authority contribution is the most uniform among the two funnels and the PCC NACO classroom training course. Having passed the name test in the NMP made it very easy for me to breeze through the *personal* heading test in the NACO-AV funnel.

That said, however, it has only been very recently that I began my test for independence in *corporate* headings in the NACO-AV funnel. In many ways, this was uncharted territory for me, as there are very few types of corporate headings needed in the NMP. As a result, I feel my recent work in contributing corporate headings through the NACO-AV funnel has been one of the most significant professional skill sets I have developed in the past year. As a corollary, no music name-title headings are required at all in the NACO-AV funnel—in fact, I was told by my NACO-AV reviewer early on, that if I needed to contribute a music name-title authority for an AV item, to contribute the heading through the NMP.

The differences between these two funnel experiences have also brought to light various challenges among the music and audiovisual formats. For example, I have recently been trying to interpret and apply the PCC practices prescribed by LCRI 25.5B, Appendix 1 in my work in the NACO-AV project—this LCRI came out in 2004 as a method to develop a standard way of differentiating between names of motion pictures and television programs from other resources. As I corresponded with various professionals through a week-long e-mail conversation, I came to the conclusion that this LCRI either needs to be prescriptive rather than optional, or it should be removed entirely. Many other libraries were already disregarding the standards prescribed by it, and, as I described above, there is not an official method of being tested on these records through the NACO-AV funnel. As I know from my own work, the AV records found in OCLC follow national standards to varying degrees, much more so than in music, where there is much more standardization. It seems that in the world of music cataloging, there is much more

standardization than in the field of audiovisual cataloging. I hope my experience in both worlds can contribute to stronger standardization in the AV cataloging community.

Lastly, I will discuss the differences between the funnels and PCC NACO classroom training. I begin this discussion with a caveat: Since the NMP and NACO-AV funnels cover all the headings my current position entails, my training at LC in September 2007 will most likely end there. There is no need, and perhaps no opportunity, either, for me to achieve independence separately from the funnels.

I did notice one major difference between my work in the funnels and from PCC NACO classroom training, and that is with the thoroughness of the 667, 670 and 675 citations. The funnels expect much more informative citations to exist on NARs. PCC NACO training takes a hard-line on AACR2 and the LCRI and stresses that citations need not be exhaustive. For example, the NMP encourages its participants to include main entry citation in 670s wherever possible, while PCC NACO training does not. NACO-AV always encourages its participants, when establishing corporate names, to search various sources to find founding date and location information, even when it is not necessary to find this information to break a conflict in headings. I did not get the sense from my classroom training that this was expected (and, in fact, it is not prescribed in either AACR2, the LCRI, or NACO training documentation).

In summary, I feel my training in the NACO Music and NACO-AV projects, as well as PCC NACO classroom training, has proven very beneficial to me professionally as a cataloger. The skills I have learned in all three training programs have given me a unique perspective into the differences among bibliographic treatment of formats, and perhaps also serve as a starting point into various research projects that could end up benefiting the library community as a whole.

Finally, I would like to thank Ralph Papakhian, David Procházka and the PCC librarians at the Library of Congress for taking the time to view this article and contribute useful suggestions for its improvement.

## Coordinator's Corner

by Ian Fairclough, George Mason University (Fairfax, Virginia)

Serving as Action Council Coordinator is a most interesting experience, particularly working with fellow OLC Technical Services Division Action Council members in our business meetings during the year. It is an office to which you might aspire—but first you have to get elected to the Action Council as a member-at-large. Our nominations committee will shortly seek people willing to run (or stand, as we Brits would say) for election. I think stand is perhaps a more appropriate term in our case, since one doesn't exactly run as in an electoral-style campaign. But imagine—suppose competition for one of the coveted spots were as fierce as in the national elections! Personally I think that service on the Action Council is a little less demanding than presiding over the American nation. The compensation is different too. Your travel expenses to meetings are reimbursed, you get a "free" lunch, and you can reflect on the benefit to mankind that your service provides, promoting library technical services in the State of Ohio.

Few states outside of Ohio have as excellent an organization to support professional development programs. The Ohio Library Council's permanent staff and full-time Director of Professional Development promote the biennial convention, chapter conferences, and numerous other events throughout the year. (Wayne: We'll miss you! But we are also optimistic that OLC will make an excellent selection for your successor.)

It's incumbent upon the Action Council to stay on top of developments within the field of librarianship, about which our constituency should be informed. Action Council members prepare programming that will be attractive to librarians and paraprofessionals and educate our colleagues working in other aspects of librarianship about technical services today.

As your coordinator for 2008 my experience has been somewhat out of the normal since for seven months of this year I was out of a job. When I was advised that my position would be terminated effective on January 19, 2009, my first response was to tell them that if I were in their position, I'd do exactly the same thing, so I could hardly complain. (What! Reduce technical services staffing—and concur?!) Fortunately my departure left two excellent coworkers as catalogers—I did not fear for the future of the Marion community.

But in interviewing for positions around the country, 11 onsite visits in total, I gained perspective on what technical services librarians are being hired to do today, and what qualifications are required, and necessary. It was an interesting experience, and my new position as Cataloging/Metadata Librarian at George Mason University is also just that! My chief regret in leaving Ohio libraries is that continued participation in OLC is not viewed as necessary beyond the end of the year by my new library. I do see their point, and accordingly have resigned effective December 31, 2008. My best wishes to all those who remain, for a prosperous and adventurous future in library technical services! I invite all readers to aspire to the high office of Action Council member.

### OLC Office has Moved

The Ohio Library Council's offices moved this fall. The new contact information is:

Ohio Library Council  
1105 Schrock Road., Suite 440  
Columbus, OH 43229-1174  
Phone: 614.410.8092  
Fax: 614.410.8098

Or visit

<http://maps.google.com/maps?f=q&hl=en&geocode=&q=1105+schrock+road,+columbus,+ohio&sll=41.477458,-81.726181&sspn=0.007701,0.019226&ie=UTF8&ll=40.102211,-82.9842&spn=0.003931,0.009613&t=h&z=17>  
to get a sneak preview. Directions and a map are also available on the OLC homepage.

# Eight Blogs Catalogers Should Know About

by Michael Monaco, Senior Catalog Librarian, Cleveland Public Library

There are scores, perhaps hundreds, of library and information science blogs. Some of them are extremely specialized, like the Dewey Blog, (<http://ddc.typepad.com/025431/>), many of them are more general, and a large number of them are personal blogs. At their best, blogs work as highly specialized news outlets. The blogs listed here meet this standard by providing solid news and by being maintained by reputable librarians and organizations. In order to help give a sense of how often one might want to visit these blogs, I rate the frequency of posts Low (a few per month), Moderate (once or twice a week), and High (more than three times a week).

Three blogs which are particularly good for keeping abreast of developments in the theory and practice of cataloging are:

## Cataloging Futures

<http://www.catalogingfutures.com/catalogingfutures/>

*Topics covered:* As the name implies, the focus is on the future of cataloging and library metadata.  
*Owner/maintainer:* Christine Schwartz, Cataloger at Princeton  
*Frequency of posts:* Moderate

It's difficult to keep up with RDA, FRBR, the future of MARC, and the debates about the future of cataloging in general. This blog is very helpful because it brings together news items of interest and reports on conferences and papers. Beyond the usual links to other blogs and category tags, this blog also has a great list of "key resources" so that visitors have handy access to important papers, committees, and project Web sites.

## The FRBR Blog

<http://www.frbr.org/>

*Topics covered:* FRBR (and FRAD)  
*Owner/maintainer:* William Denton, Web Librarian at York University.  
*Frequency of posts:* High

This is a great resource on an arcane topic that many catalogers would probably prefer not to worry about. Mr. Denton keeps on top of it for us, with reports on conferences, articles, books, and even discussion list threads. This is a great site for information on how work is progressing and the fascinating discussions and arguments surrounding the FRBR project.

## OCLC Research

<http://www.oclc.org/research/default.htm>

*Topics covered:* Announcements about OCLC's projects and products.  
*Owner/maintainer:* OCLC, Inc. (unspecified)  
*Frequency of posts:* Low

Research being done by OCLC staff is described here in press releases, and fledgling services and products can be accessed and tested. A bonus is that several OCLC employees have personal blogs which are prominently linked here as well. The personal blogs tend to ramble far afield of cataloging, libraries, and information science, but they also give some insight on where OCLC is going.

Several blogs are worth checking out as sources of news and commentary on our everyday cataloging tasks. Catalogablog covers many topics, and the other two focus on very specific aspects of cataloging.

## Catalogablog

<http://catalogablog.blogspot.com/>

*Topics covered:* "Library cataloging, classification, metadata, subject access and related topics"  
*Owner/maintainer:* David Bigwood, Librarian at the Lunar and Planetary Institute (Houston, Tex.)  
*Frequency of posts:* High

This is one of the oldest cataloging blogs, going back to 2002. This blog provides links to news

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items and Web pages of interest, usually with some commentary and opinion, often ranging beyond cataloging and metadata as Mr. Bigwood has a lot of other interests.

### **The Serials Cataloger**

<http://serialscataloger.blogspot.com/>

*Topics covered:* As one might expect, the focus here is on news and research relevant to serials catalogers.

*Owner/maintainer:* Lori Terrill, Principal Serials Cataloger at the University of Wyoming Libraries.

*Frequency of posts:* Moderate

Articles published in scholarly journals are reviewed, conference presentations summarized, and news items of interest are included.

### **Collocate and Disambiguate**

<http://collocate.wordpress.com/>

*Topics covered:* "Authority control and authority data"

*Owner/maintainer:* Lois Reibach, a cataloger who has worked at several academic libraries

*Frequency of posts:* Moderate

This is the newest blog on this list, having started

### **OH-Cataloging**

<http://www.oh-cataloging.blogspot.com>

Created by Andrea Christman (Dayton Metro Library), the OH-Cataloging Blog gathers together all sorts of materials of interest to Ohio catalogers. Continuing education opportunities, conferences, job postings and innovative happenings in the Ohio cataloging community are featured. Don't just stream this blog. Use it to post items of interest by e-mailing Andrea at mailto:[acchristman@hotmail.com](mailto:acchristman@hotmail.com). Check it out!

July 2008. It looks promising and is the only blog devoted solely to authority issues. The posts have been coming fairly quickly but this is a new blog so it is hard to tell how frequent the posts will be in the future.

The other blogs every cataloger should be aware of are special cases. The first provides no original content but harvests posts from most of the above and dozens of other blogs related to metadata, cataloging, indexing, and information science.

### **Planet Cataloging**

<http://planetcataloging.org/>

*Topics covered:* "Planet Cataloging is an automatically-generated aggregation of blogs related to cataloging and metadata"

*Owner/maintainer:* Jennifer Lang and Kevin S. Clarke. Both are librarians with blogs of their own.

*Frequency of posts:* Very high

This blog aggregates about 50 other metadata and cataloging blogs. The traffic is very high because duplicate news items and links are often posted by more than one of the blogs aggregated, and these will all show up as separate posts. But if you have to pick one blog to follow, this is certainly it.

The last blog every cataloger should be aware of is dedicated to your library's ILS. Most ILS providers have their own blogs – programmers and software designers seem to be naturally drawn to blogging. Such blogs can be very informative about where your ILS is going and how other library and information science developments are seen by the ILS providers. Most of the ILS-specific blogs post items of general interest, too.

### **What's Brewing** (Innovative Interfaces, Inc.)

<http://brewing.iii.com/>

### **Stephen's Lighthouse** (SirsiDynix)

<http://stephenslighthouse.sirsi.com/>

### **PanLibus** (Talis LMS)

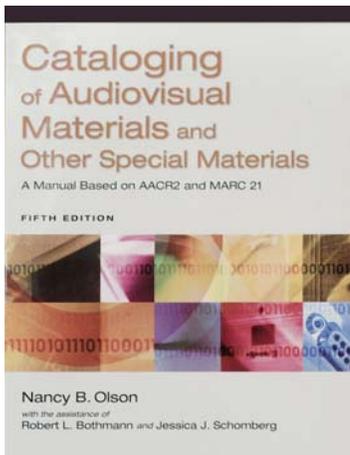
<http://blogs.talis.com/panlibus/>

### **Koha Community Blogs** (Koha)

<http://owu.towers.org.uk/planets/koha/>

### **Open-ILS Blog** (Evergreen)

<http://open-ils.org/blog/>



**Nancy B. Olson, with the assistance of Robert L. Bothmann and Jessica J. Schomberg. *Cataloging of Audiovisual Materials and Other Special Materials, A Manual Based on AACR2 and MARC 21.* Fifth edition. Libraries Unlimited, 2008. 311 p. ISBN: 978-1-59158-635-7. \$45.00**

Nancy Olson's storied stature in audiovisual cataloging is unquestionable. Not only is she a Margaret Mann

Citation recipient, but the OLAC Award recognizing librarians making "significant contributions" to audiovisual cataloging was renamed in her honor in 1999. She is Emerita professor, Mankato State University (Minnesota), but she is best known for her long history of outstanding contributions through publishing, presenting and teaching about audiovisual cataloging.

This fifth edition of her classic publication on audiovisual cataloging features the assistance of Robert L. Bothmann and Jessica J. Schomberg for the first time. Bothmann is Associate Professor, electronic access/catalog librarian at Minnesota State University, Mankato. He has extensive cataloging experience and has been an active member of OLAC, most recently serving as OLAC President. Bothmann is also the honored recipient of the 2007 Esther J. Piercy Award from ALA for outstanding contributions to technical services librarianship. Schomberg is special formats catalog librarian at Minnesota State University, Mankato. She received her MLIS from the University of Washington, Seattle in 2000, and since then has focused her work on user-centered cataloging. Their expert contributions enhance an already authoritative publication.

The book's basic structure remains the same as for the fourth edition, but the focus has shifted, with less emphasis on more dated formats, the introduction of new material, and a restructuring based on more current AACR2 revisions. The three introductory chapters on the cataloging of audiovisual and special materials are followed by chapters on cartographic materials, sound recordings, motion pictures and video recordings, graphic materials, electronic resources, continuing resources,

three-dimensional artifacts and realia, microforms and kits. Each chapter provides format specific special rules, complete MARC coding and tagging, and lots of examples. The chief source is reproduced for many of these examples to help catalogers understand how to interpret problematic items. In fact, one of the best things about this book is the large numbers of examples scattered throughout. The information and advice are current and authoritative; the language is easy to understand. While the book is structured to maximize accessibility to specific questions, there is also a good index at the back.

This is a classic. It is highly recommend that even small libraries purchase this latest edition.

### ***OLAC Guide to Cataloging DVD and Blu-ray Discs 2008 Update is Available***

[http://www.olacinc.org/capc/DVD\\_guide\\_final.pdf](http://www.olacinc.org/capc/DVD_guide_final.pdf)

The DVD Cataloging Guide Update Task Force, Cataloging Policy Committee of the Online Audiovisual Catalogers, Inc. (OLAC) released the final version of their *Guide to Cataloging DVD and Blu-ray Discs Using AACR2r and MARC21, 2008 Update* this month. Intended as an update to their 2002 *Guide to Cataloging DVDs Using AACR2r Chapters 7 and 9*, the guide now also covers Blu-ray Discs, DualDiscs and DVD-Audio Discs. There is a good introduction that provides an overview of DVD technology and history. While the focus is on descriptive cataloging practice, and therefore subject headings and added entries are not included, there are lots of good examples in standard MARC format, and a list of useful resources for DVD cataloging. Check it out!

# IMHO: OCLC Policy for the Use and Transfer of WorldCat Records: What Are the Implications?

by Roman S. Panchyshyn, Catalog Librarian, Kent State University Libraries and Media Services

Late in October 2008, rumors were floating around the library community that OCLC was in the process of updating its *Guidelines for the Use and Transfer of OCLC-Derived Records*. These rumors proved true, because OCLC published the new policy on *Sunday*, November 2, 2008. An archival copy of the initial policy can be found at [http://marc.coffeecode.net/oclc\\_2008\\_11\\_02/](http://marc.coffeecode.net/oclc_2008_11_02/).

Swift and harsh reaction to this policy caused OCLC to remove the updated guidelines the following day. OCLC made some changes to the policy, and released a second version on November 19, 2008, available on the Internet at <http://www.oclc.org/worldcat/catalog/policy/recordusepolicy.pdf>. OCLC states on its Web site that the new policy will not become effective until mid-February 2009.

This policy has been discussed and defended by Karen Calhoun on OCLC's Metalogue (<http://community.oclc.org/metalogue/archives/2008/11/notes-on-oclc-s-updated-record.html>) and in an open letter to OCLC members by the OCLC Board of Trustees (<http://www.oclc.org/worldcat/catalog/policy/trusteesletter.pdf>). OCLC wants

## PCC Guidelines for Field 440

<http://www.loc.gov/catdir/pcc/Field440.pdf>

The Program for Cooperative Cataloging (PCC) has issued guidelines for implementing the decision to make series field 440 obsolete. This change was implemented in October by PCC catalogers. Copy catalogers will be aided in their record evaluation by knowing about these guidelines. The document may also serve as a benchmark for non-PCC catalogers by helping them to establish local best practices.

feedback on this policy, and all interested parties are asked to comment at <mailto:recorduse@oclc.org>.

What are the major changes to this policy? Why has it caused such a reaction by librarians that the folks at Code4Lib have created a Wiki page about it ([http://wiki.code4lib.org/index.php/OCLC\\_Policy\\_Change](http://wiki.code4lib.org/index.php/OCLC_Policy_Change)) and others have started online petitions against its implementation (see: <http://watchdog.net/c/stop-oclc/>)?

The first, and most controversial change in the policy, involves the re-definition of *reasonable use*, which would now be defined by OCLC as the:

"...use of WorldCat Records that is reasonable for the intended non-commercial use and consistent with the intent of this policy. Without limiting the foregoing, the term "reasonable use" does not include any use of WorldCat records that:

- a. discourages the contribution of bibliographic and holdings data to WorldCat, thus damaging OCLC members' investment in WorldCat, and/or
- b. substantially replicates the function, purpose, and/or size of WorldCat. Please see the FAQ for a discussion of Z39.50 for cataloging using WorldCat-derived bibliographic records."

Both points a and b are written in a vague and broad fashion, which could allow OCLC and their legal staff room for wide interpretation. For example, if a library decided to contribute their bibliographic records to open source collaborative projects such as Open Library (see: <http://openlibrary.org/>), they could be considered in violation of the policy. If a library contributes its records to a shared catalog that is Z39.50

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accessible, they could also be in violation of this policy. This could have implications for the member institutions that created the very records that the policy addresses. Thus the policy could inhibit any persons or entities from developing products and/or services that could compete with WorldCat.

And furthermore, under the new policy OCLC would be the sole judge and jury in deciding policy violations. Section 6 of Additional Provisions states that:

“OCLC has the sole discretion to determine whether any use and/or transfer of WorldCat records complies with this Policy.”

The main focus of this policy, in my opinion, is to lay the foundation for OCLC to claim copyright ownership over not just the WorldCat database, but the individual records themselves. OCLC is asking that libraries retain an identifier in the 996 field in the individual MARC records that would link back to this policy. And in their FAQ (<http://www.oclc.org/worldcat/catalog/policy/questions/faq.pdf>) OCLC is encouraging libraries to add this

field retroactively to all records in the library's local catalog. Libraries are further encouraged to add an explicit note as:

996\$aOCLCWCRUP \$iUse and transfer of this record is governed by the OCLC® Policy for Use and Transfer of WorldCat® Records. \$u<http://purl.org/oclc/wcrup/1.0>

This process seems to be of dubious legality, since many libraries, especially those funded by taxpayer dollars, have no authority to turn over copyright of their records to a third party.

More specifically, however, vendors developing archival digitization projects will require bibliographic metadata for description and for tracking usage. OCLC would be a natural partner for the source of that metadata. But OCLC certainly cannot provide other vendors with data that it does not clearly “own.” If ventures of this sort are the motivating factor behind the revision of the Record Use Policy, what benefits will OCLC member libraries receive from those partnerships?

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## Fiction Cataloging for Better Access

*by Michael Christian Budd, Cataloger  
Public Library of Cincinnati and Hamilton County*

Individual fiction titles have long been the red-headed stepchildren of the library milieu in terms of catalog records. At first fiction was not regularly welcomed into the collection, as the preference in fledgling membership and public libraries was for nonfiction and capital “L” literature. For the greater part of the twentieth century, subject access for fiction was shunned in favor of a strict author/title entry approach. Even the current edition guidelines at most public libraries eschew attention to publication or numbered edition statements. With the exception of large print and critical editions or rare book work, one *Tinker, Tailor, Soldier, Spy* is the same as the next.

In our enlightened keyword search era, however, fiction titles may finally be getting the attention

they deserve in terms of access points. It's now common practice, as evinced by recent AUTOCAT discussion, for creators of original fiction records to include a summary cribbed from the publisher's description in MARC field 520. Series statements, long a staple of juvenile fiction, are becoming more prominent in both books and catalog records for adult titles (even as authority control for series becomes less systematized). And the Library of Congress has issued extended rules in the *Subject Cataloging Manual: Subject Headings (SCM: SH)* on the provision of subject/genre headings specifically for increased access to fiction.

Let's take a look at some tips for providing more catalog “hooks” for your fiction readers. With a few simple steps, you can reel in more hits and

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increase cross-title access for your collection. These ideas are based on informal practice at the Public Library of Cincinnati and Hamilton County and grounded in *SCM: SH* chapters H 1790 "Literature: Fiction" and H 1610 "Fictitious Characters."

Beyond the requisite author/title access points, the main areas for added value in fiction records are:

Characters,  
Topics,  
Genres, and  
Summaries.

The first three areas are stored in 6XX fields in the record, while the summary resides in field 520. Another ripe area for access, the series statement, is beyond our scope here.

### Enhancing Subject Access

Most of the information needed to enhance bibliographic records can be gleaned from a quick look at the item and often copied (with appropriate attribution) or adapted from the publisher's Web site.

A fictitious character entry in the MARC field 650 is appropriate for made-up characters that have appeared in at least three works. Like a real-world personal name entry, entries including surnames appear in inverted form, while those with just

forenames or nicknames appear in direct order:

650 \_0 Wimsey, Peter, Lord (Fictitious character)  
|v Fiction.

650 \_0 Little Orphan Annie (Fictitious character)  
|v Fiction.

Established fictitious character headings can be found using a Subject/Topical search in LC's subject authority file (via OCLC Connexion or <http://authorities.loc.gov/>). If the desired heading doesn't exist, it's possible to propose a new heading to the Library of Congress through SACO, the subject authority component of LC's Program for Cooperative Cataloging (PCC). SACO proposals may be made by members of any of the PCC component programs: SACO, NACO, CONSER, and so forth. For more information about the SACO program, see <http://www.loc.gov/catdir/pcc/saco/>.

Subject access should also be given to names of real persons who figure prominently in novels, but remember that such entries use MARC field 600 and get a "|v Fiction" subdivision instead:

600 10 Churchill, Winston, |c Sir, |d 1874-1965  
|v Fiction.

Topical subject heading entries can be very handy for fiction readers, however, they should be applied judiciously. Only one or two topical headings are usually necessary, and should represent the most specific topics that are obvious from the title or description. The heading

650 \_0 Dogs |v Juvenile fiction.

is great for any *Lassie* book, but it's probably not necessary to be as specific as

650 \_0 Collie |v Juvenile fiction.

Topical access is also wonderfully useful for books that feature a prominent setting, either geographic or in history. Just use the appropriate 65X field and add "|v Fiction":

651 \_0 United States |x History |y Civil War,  
1861-1865 |v Fiction.

651 \_0 San Francisco (Calif.) |v Fiction.

### Full Draft of RDA Available

<http://www.collectionscanada.ca/jsc/rdafulldraft.html>

The Joint Steering Committee for the Development of Resource Description and Access (RDA) has posted a full draft of RDA for public review. The draft is presented along with other useful links at this site. LC has announced a testing period scheduled for the July timeframe, prior to "...making a decision on whether or not to implement this new standard." Check it out!

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It may seem obvious to add a heading such as

650 \_0 Love |v Fiction.

to a Romance title, but at this point we've crossed over to genre heading access, essential for fiction titles written in such identifiable styles as Science fiction, Romance, and Christian fiction. Genre headings are drawn from either *Guidelines on Subject Access to Individual Works of Fiction, Drama, Etc. (GSAFD)* or *Library of Congress Subject Headings (LCSH)* with slight differences in construction:

655 \_7 Mystery fiction. |2 gsaft [GSAFD]  
655 \_0 Detective and mystery stories. [LCSH]

The *Subject Cataloging Manual* specifies to prefer

## New Name, E-mail Address for CPSO: Policy and Standards Division

Due to the recent reorganization on October 1<sup>st</sup> of the Library of Congress/Library Services/Acquisitions and Bibliographic Access directorate, the Cataloging Policy and Support Office has become the Policy and Standards Division. E-mail that previously would have been addressed to <mailto:cpso@loc.gov> should now be send to <mailto:policy@loc.gov>.

## Stand for OLC TS Division Office

Nominations are now being accepted for election to the OLC's Technical Services Division Action Council. Joining this group provides the opportunity to plan professional development opportunities, to represent technical services issues to other OLC constituencies, and to build friendships and working relationships across the state. Please consider nominating yourself, or someone else, for division office. Contact Fred Gaeck at <mailto:fgaeck@embarqmail.com> for further details regarding Action Council membership and the election process.

those from *GSAFD*. Use MARC 655 fields for genre headings. The second indicator "7" allows the cataloger to reference a specific subject thesaurus. Be sure to apply more than one 655 heading if the work warrants. For example,

655 \_7 |a Love stories. |2 gsaft  
655 \_7 |a Christian fiction. |2 gsaft

An online list of *GSAFD* genre headings is maintained by the OCLC Open Archives Initiative at [http://alcme.oclc.org/gsaft/OAIHandler?verb=ListIdentifiers&metadataPrefix=z39\\_19](http://alcme.oclc.org/gsaft/OAIHandler?verb=ListIdentifiers&metadataPrefix=z39_19). Detailed instructions and guidelines for creating and applying fictitious character, subject or genre access are available in the *SCM:SH* and in the *GSAFD*.

## Adding Summaries to Records

Summaries can be easily added to fiction records, and provide one of the most powerful forms of keyword access. Even when no particular topic comes quickly to mind, a brief description drawn from the publisher's Web site can provide hits for the reader. For *Delicious* by Sherry Thomas (Bantam Books, 2008):

520 "Famous in Paris, infamous in London, Verity Durant is as well-known for her mouthwatering cuisine as for her scandalous love life. But that's the least of the surprises awaiting her new employer when he arrives at the estate of Fairleigh Park following the unexpected death of his brother"--Publisher

For *The Duke In His Castle* by Vera Nazarian (Norilana Books Fantasy, 2008):

520 "Rossian, the young Duke of Violet, wastes away in mad solitude, unable to leave the confines of his decadent castle grounds because of a mysterious invisible barrier until a strange female intruder arrives at the castle bearing a box of bones"--Publisher.

Such summaries contain juicy keywords to snag the casual catalog search. In combination with judiciously applied genre and topical headings, they help our readers zero in on books that are just right for their taste in fiction.

**Deborah J. Karpuk. *KidzCat: A How-To-Do-It Manual for Cataloging Children's Materials and Instructional Resources*. New York: Neal-Schuman, 2008. 183 p. ISBN 978-1-55570-590-9.**

The introduction to *KidzCat* points out that children's records are unique because they are used by the young as well as by parents and teachers. Therefore the intended audience for this work is "librarians, school library media specialists, and teachers who help children to find library resources." The intentionally broad scope of this text thus influences the depth possible in its content. And that's the point.

Don't mistake that lack of depth for a lack of authoritativeness. The author is a retired associate professor from the School of Library and Information Science at San Jose State University, but it is her experience working in technical services in public and academic libraries that really informs the work. This is a practical introduction to working with children's materials and instructional resources within a small library setting. *KidzCat* is also part of Neal-Schuman's popular *How-to-do-it* manual series, so the very structure of the book facilitates this further through the provision of

subheadings, charts and marginal notes.

The range of materials discussed in *KidzCat* includes board books, picture books, serials, toys, audio books, computer games and Web sites. But the book is not exclusively organized by format. There are also sections on cataloging topics that cross formats, including authority control, series, subjects and classification. Each chapter includes standard rules and guidelines and then provides optional opportunities for local implementations. The book includes a list of additional resources, a nice glossary, an index and a set of practical exercises that feature images of chief sources followed by labeled and MARC displays.

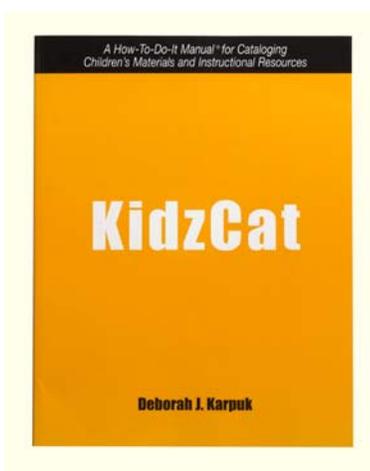
The ground covered by this book is indeed ambitious, spanning the scope of descriptive cataloging as well as the provision of access points, authority control and classification. Of necessity the focus is on general principles rather than the specific details of the various systems. Happily the author does point to further information in the standard bibliographic tools.

*KidzCat* provides a good overview of children's cataloging, but catalogers will only gain an appreciative introductory understanding of cataloging children's materials through this manual. Use *KidzCat* to get the big picture, and then use the pointers within it to attain the level of detail needed to actually do the work.

## Catalogers Learning Workshop Materials

<http://www.loc.gov/catworkshop>

The Cataloger's Learning Workshop provides access to training resources and trainers on topics of interest to catalogers and metadata librarians. Cataloging Skills (CCT) courses, Digital Library Environment (Cat21) courses and Continuing Resources (SCCTP) courses are now freely available on the Web to facilitate workshop organization and implementation. The courses are kept current through the efforts of the joint ALCTS/PCC Continuing Education and Training Materials committee, and the Library of Congress provides free access to CLW information and materials through the CLW Web site. Check it out!



In Honor of

Douglas Winship

1953-2008

His Many Contributions will be Remembered