

**PCC Standing Committee on Automation
Monograph Aggregator Task Group**

**Functional Requirements for Electronic Vendor Records (FREVR)
Final Report**

September 19, 2005

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Background and Summary

Background

The PCC SCA Monograph Aggregator Task Group's (hereafter referred to as the TG) was charged by the PCC Standing Committee on Automation to develop a reference guide to data elements for machine created monographic records for vendors and publishers. Its first task was to review, for monographs, the data elements in machine-derived and machine-generated records found in the *Final Report of the 2nd [and 3rd] Task Group on Journals in Aggregator Databases* to see which elements are applicable in light of recent developments in practices in cataloging for both born-digital and digitized monographs.

The TG thanks the PCC Standing Committee on Automation (SCA) for comments on the report at the 2005 ALA Annual Meeting in Chicago; decisions made at the meeting are reflected in this report.

Summary

The TG began by discussing categories of records in existing aggregator databases. We found that the e-book world contains complexities differing from those addressed by the serials task groups. Most catalogers and vendors begin by determining whether an e-book is born digital, a new edition of a print publication or a reproduction. In the cataloging world, some catalogers simply add a URL for the electronic resource to an existing print record. *This is called the “single record” approach.* Sometimes this *kind of record is used* even if the library involved does not own the resource in print. On the other hand, catalogers taking the “**separate electronic record approach**” (and copy for a print/microform version exists) have the choice of either describing the e-book in the bibliographic record and referring to the original edition or describing the original edition in the bibliographic record and referring to the reproduction. Most of our catalogs now contain all types of records. For example, a typical online public access catalog (OPAC) may have records from NetLibrary which follow the Library of Congress Rule Interpretation for AACR2 Chapter 1.11A (LCRI 1.11A) using a 533 MARC field (the 533 field denotes information about the original), bibliographic records from Documenting the American South which describe the electronic version and reference the original in a 534 field and GPO records which use 530/776 fields. The variety of cataloging approaches is confusing but the TG does not advocate one treatment over another. Ultimately cataloging style is not as important as the availability, accuracy and timeliness of records.

In addition, a new breed of “cataloging record” is in the works. An increasing amount of monographic material is either born digital or is a digitized version of grey literature. For serials, the Serials TG made the recommendation that “where no copy exists in the OCLC database for any version of a given title ... catalogers make it a priority to contribute either an e-version or a tangible version to be cloned.” Given the sheer volume of monographic material that is or will be in digital format, the lack of an equivalent to the CONSER database for monograph records and the increased demand for access to electronic grey literature, the TG believes that, in contrast to the CONSER recommendation to contribute serial records to the OCLC database, to have catalogers provide source records for all this monographic material at the individual title level is not a viable option. It should be noted that the level of analysis wanted for databases such as LexisNexis is deeper than has been the practice in print..

The TG has begun to conceptualize a model for original record creation by vendors and publishers. We studied the Library of Congress's guidelines for access level records

<http://www.loc.gov/catdir/access/accessrecord.html>

and their use of Web Cat Assistant. We looked at how Columbia University has begun to machine message vendor metadata to create MARC records for CIAO and how UCSD uses constant data and templates and the automation of batch cataloging. It is clear that the bibliographic expertise of vendors and publishers varies widely. The basis of the cataloging record *ranges* from a vendor's proprietary metadata or automatically harvested metadata, to bibliographic data cloned from cataloging copy, all the way up to the highest level of full level cataloging provided by contract with a PCC library. Given this range, the TG proposes that are certain key data elements that are functionally required in all vendor created electronic records. As is the case in the core record standard, a vendor depending upon skill level, data source and customer demand has the option to include additional elements up to a full level record. There is a growing sense that a traditional cataloging record in some cases may actually hinder access to materials that are only a click away from the user. Therefore our main concerns are to promote ease in record creation, functionality and timeliness, not the fullness of the record.

The TG proposes that a simplified version of the LC access record model be extended to vendor created records. Since cataloger involvement, while extremely useful and highly recommended, may be minimal or non-existent, the TG did not feel that the Library of Congress's core data elements for access records could be recommended as is. Instead, Appendix A lists mandatory and optional MARC data elements. A vendor can create machine-derived records if copy exists, or create, in varying degrees of fullness, machine-generated MARC records if copy does not exist. If a vendor is unable to create MARC records, the model can be used as a guide to creating usable metadata which can then be converted to MARC by a library partner. In some situations, the vendor could use templates provided by the PCC (examples attached in Appendix B). Templates could be customized for academic, public, medical libraries, etc. They can be "made to order" for a particular record set and include appropriate subject headings and access points.

The TG also realizes that cataloging titles using the principles of LCRI 1.11A, wherein the reproduction information is basically confined to the one 533 field, is a very attractive, easy and cost efficient option for vendors when cataloging copy exists and the electronic resource is a reproduction or a close substitute. Appendix C outlines fields to be accepted as is and fields to be manipulated or added.

FREVR (Functional Requirements for Electronic Vendor Records) Data Element Set

Since the Serials TG used the CONSER database for source records, it was not necessary to consider classification, authority control or subject analysis. For monographs, vendors and customers will need to agree on what can realistically be provided as more and more aggregations will consist of machine generated rather than machine-derived records. The TG recognizes that some vendors will be unable or unwilling to assume costs in these areas and that libraries may be unwilling to pay more for higher quality records. It is assumed that contractual obligations might play a part in keeping some record sets out of the utilities.

MARC Data Elements for Born-Digital or Electronic Editions

This includes records for editions that are not reproduction, as well as for those resources that are born-digital. In the case of editions, some data elements (especially content) may be derived from other bibliographic records. In the case of born-digital material, the vendor may need to supply all the data, including content

***M=Mandatory A=Mandatory if Applicable O = Optional**

Field	Name	Value	M/A/O*	Vendor Action
Leader O6	Type of record	a	M	
Leader O7	Bibliographic level	m	M	
Leader 17	Encoding level	3	M	
Leader 18	Descriptive cataloging form	u	M	
001	Control number		M	Assign alpha/numeric CN
003	Control number identifier		O	Add if obtained from LC
006	Additional material characteristics			Use fill characters

				for other bytes
	Byte 00	m	M	
	Byte 09	d	M	
007	Physical description fixed field (electronic resource)			Use fill characters for other bytes
	Byte 00	c	M	
	Byte 01	r	M	
	Byte 04	n	M	

008	Fixed field data elements			Retain from copy except for bytes 23,39. If original use fill character except for below.
	Byte 06	s	M	
	Bytes 07-10		M	Do not retain from copy
	Bytes 15-17 Place of publication		M	Retain from copy or use MARC code list for countries
	Byte 23	s	M	Do not retain from copy
	Bytes 35-37 language		M	Retain from copy or use MARC code list for languages
	Byte 39 Cataloging source	d	M	
OXX	OXX fields			Do not retain from copy unless listed below
O20	ISBN		A	Add if e-ISBN
O40	Cataloging source		O	Add code if obtained from LC
O41	Language code		O	Retain from copy
O43	Geographic area code		O	Retain from copy
O50 4	Library of Congress class number		O	Retain from copy or supply if possible
1XX	Personal or corporate author		A	Retain from copy or supply. NAF check desirable for supplied headings.

240	Uniform title		O	Retain from copy
245 \$a, etc.	Title		M	Retain from copy or supply
245 \$h	Medium	[electronic resource]	M	Follows \$a (See placement rules in appendix c)
246 30	Varying form of title		A	Retain from copy; supply if important for access
250	Edition statement		O	Do not retain from copy
260	Publication/distribution		O	LC access record does not require; desirable
300	Physical description \$a		O	Do not retain from copy; do not supply
4XX	Series		O	Retain from copy or supply using 440. NAF check desirable for supplied headings
5XX	Notes		M	Retain from copy except as below
538	System details note	Mode of access: World Wide Web.	O	Mandatory if available other than on WWW
506	Restrictions on access note		A	
530	Additional physical format available	Also available in print.	O	Do not retain from copy & add if using copy
534	Original version note		A	Use when the intent is to provide a satisfactory substitute for the original version
540	Terms governing use		O	
550	Issuing body note	Digitized and made available by...	O	
6XX	Subject headings or keywords		A	Retain from copy; prefer LCSH; keywords in 653 if LCSH not possible
655 0	Genre/form term	Electronic books	O	

7XX	Other added entries		O	Retain from copy or supply. NAF check desirable for supplied headings
8XX	Series		0	Retain from copy
856	Electronic location & access		M	Delete from copy; add vendor url as 856 40; record access restrictions in \$z

MARC Data Elements for Records for REPRODUCTIONS Created from Existing Bibliographic Records

Specifications for vendor created bibliographic records from a source record, using LCRI 1.11A for reproductions or machine derived from another record applying LCRI 1.11A for reproductions follow many of recommendations made for serials.

The following fields will be taken from the source record as is. The source record may be the record for the print, the microform, or the CD-ROM version of the title. Fields not listed here or in the subsequent chart, 'Fields modified or added', will not be carried forward from the source record.

MARC tags to carry forward from the source record: leader*, 003, 008*, 010*, 013, 015, 016, 017, 018, 020, 024, 025, 026, 027, 028, 030, 032, 033, 035, 040*, 041, 043, 044, 045, 046, 050*, 052, 055, 060, 066, 070, 072, 074, 080, 082, 084, 086, 088, 100, 110, 111, 240, 245*, 246, 250, 260, 300, 440, 490, 500, 501, 502, 504, 505, 513, 520, 521, 522, 526, 536, 546, 585, 586, 600, 610, 611, 630, 650, 651, 700, 710, 711, 730, 740, 800, 810, 811, 830.

Fields for Vendor Additions or Modifications

*Tags with an asterisk are also included in the table below.

Field	Name	Value	M/A/O*	Vendor Action
Leader O6	Type of record	As is	M	
Leader O7	Bibliographic level	As is	M	
Leader 17	Encoding level	3	M	
Leader 18	Descriptive cataloging form	As is	M	
001	Control number		M	Assign alpha/numeric CN
006	Additional material characteristics			Use fill characters for other bytes
	Byte 00	m	M	Supply
	Byte 09	d	M	Supply
007	Physical description fixed field (electronic resource)			Use fill characters for other bytes
	Byte 00	c	M	Supply
	Byte 01	r	M	Supply
	Byte 04	n	M	Supply

008	Fixed length data elements: retain data except for Byte 23			Retain from copy except for bytes 23,39. If original use fill character except for below.
	Byte 23	s	M	Do not retain from copy
	Byte 39 Cataloging source	d	M	
020	ISBN (source)		A	Move to 776 \$z
	ISBN (e)		A	Add if e-ISBN
040	Cataloging source		O	Add code if obtained from LC
050 4	Library of Congress class number		O	Retain from copy or supply if possible

245 \$h	Medium	[electronic resource]	M	Follows \$a (or \$n or \$p if they exist); remove pre-existing \$h if it refers to another format
530	Additional physical format available	Also issued in print.	O	Add source format(s) here
533 \$a	Type of reproduction	Electronic reproduction	M	Supply
533 \$b	Place of reproduction		M	
533 \$c	Agency responsible for reproduction		A	
533 \$d	Date of reproduction		A	
533 \$f	Series statement of reproduction		A	
533 \$n	Note about reproduction		O	
655 0	Genre/form term		O	
776 \$c (or \$a and/or \$t)	Additional physical form entry	\$a [Author] \$c Original \$t [title]	A	
776 \$z	ISBN of original		O	
776 \$w	Control number of original record		O	
856	Electronic location & access		M	Delete non-applicable URLs from copy; add vendor URL as 856 40; record access restrictions in \$z

Sample Templates

Color code:

Basic: black

More complex: blue

Complex: green

PCC TG Template 1 (Basic)

MARC Leader #####nam 22#####3i 45e0

001 control number

006 m d

007 cr

008 050311s2005* xxu s 000 0 eng d

040 <vendor NUC code> \$c <vendor NUC code>

100 1 Last name, First name.

245 10 Main part of title \$h [electronic resource]

250 Ed. statement (if applicable)

260 Place of publication of electronic version :\$b Publisher of electronic version, \$c

<date of publication of the electronic version>

538 Mode of access: World Wide Web.

500 Title from <table of contents> (example)

710 2 Package Name.
856 40 \$u URL for database (or individual resource)

*date of publication of reproduction

PCC TG Template 2 (more complete cataloging)

MARC Leader #####nam 22#####3i 45e0
 001 control number
 006 m d
 007 cr n
 008 050222s2005 xxu s 000 0 eng d
 040 <vendor NUC code> \$c <vendor NUC code>
 100 1 Last name, First name (verified in LCNAF)
 240 10 Uniform title (if applicable)
 245 10 Main title \$h[electronic resource] : \$b sub-title / \$c author (in direct order)
 250 Ed. statement (if applicable)
 260 Place of publication of electronic version : \$b Publisher of electronic version, \$c
 date of publication of the electronic version.
 538 Mode of access: World Wide Web
 500 Title from...
 500 Indication of differences from the original (if appropriate)
 534 Transcribed from: \$a Author. \$t Title. \$c Place of publication of original :
 Publisher of original, date of publication of original. \$e Pagination of original
 504 Includes bibliographical references and author index.
 653 Uncontrolled subject term.
 710 2 Package name.
 856 40 \$u URL linked to individual resource

PCC TG Template 3 (complete cataloging)

MARC Leader #####nam 22#####3i 45e0
 001 control number
 006 m d
 007 cr n
 008 050222s2005 xxu s 000 0 eng d
 040 <vendor NUC code> \$c <vendor NUC code>
 050 4 LC Classification number
 060 4 NLM (optional--depending on audience)
 082 04 Dewey (optional—depending on audience)
 100 1 Last name, First name (verified in LCNAF)
 240 10 Uniform title (if applicable)
 245 10 Main title \$h[electronic resource] : \$b sub-title / \$c author (in direct order)
 250 Ed. statement (if applicable)
 260 Place of publication of electronic version: \$b Publisher of electronic version, \$c
 date of publication of the electronic version.
 538 Mode of access: World Wide Web
 500 Title from...
 534 Transcribed from: \$a Author. \$t Title. \$c Place of publication of original :
 Publisher of original, date of publication of original. \$e Pagination of original
 520 Summary (possibly abstract)
 504 Includes bibliographical references and author index.
 600-651 LC subject headings (verified)
 7XX Other appropriate name/title headings.
 710 2 Package name.
 776 Information (if applicable) about other physical forms in a horizontal relationship
 (e.g, ISBN, Library of Congress numbers, etc.)
 856 40 \$u URL linked to individual resource

Recommendations For Vendors Concerned with Creating Records for Born-Digital Resources or Electronic Editions

- Use Leader/17 encoding level 3 This element makes it clear to customers when the records are not full catalog records. The encoding level could also be a means to flag records for in-house upgrade. |
- Use Leader/18 DCF “u” unless it is known that AACR is used, in which case use “a”.
- Either 506 or 856z may be used for access restrictions (variations exist in library practices and OPAC displays).
- Consider searching the NAF for headings or make use of an authority control vendor such as Library Technologies, Inc. (LTI). Authorship

information alternatively could be recorded in a note field for keyword access if a name heading can not readily be established.

- Include fields to identify the aggregation, e.g., a 710 for publisher/vendor, a series or uniform title. The TF discussed using 79X and other local fields instead of standard MARC fields but such fields may not index with other headings and could not easily be brought under authority control. The PCC could play a valuable role in advising the vendor which field(s) to use in a particular record set. A PCC library could establish any new headings in the NAF.
- Include provision for a unique record identifier for ease in loading, removing and updating record sets. This could be in a local 9XX field or 035 and be added either by the vendor or the library.
- Partner with a library or an experienced cataloger in creating record specifications for new aggregations or to assist in mapping metadata to MARC. Columbia, for example, maps CIAO keyword metadata to LCSH for EPIC.
- If a partner is not an option, seek advice from the PCC before creating record sets.
- Use tools such as Classification Plus to provide a class number
- If appropriate, harvest records from the Library of Congress Catalog using either Z39.50 or arranging to purchase from the Library of Congress Cataloging Distribution Service. Appendix A does not include instructions for adjusting OCLC or local fields.

TG Ongoing Work

- The TG will prepare a draft reference guide for vendors by mid-September and once accepted by PCC will explore registering the guide with NISO so that it can be made more widely available.
- Becky Culbertson will draft a MARBI proposal for a revision to the definition and scope of 534 in time for ALA Midwinter.

- The TG will identify PCC members who will be “on call” to assist vendors with record set creation.

Task Group Members

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