Evaluating Bibliographic Record Sets for Electronic Resources
to determine if we want it, and if we do, what processing should be done

The following are factors to consider when evaluating record sets for e-resource batch loads. This is not a linear process and every question will not be relevant for every record set; however this document can be used as a checklist to ensure that all issues have been taken into account in making a decision.

There are five major aspects to consider:
1. Number of records
2. Quality of the records
3. Matching on existing records
4. Preprocessing scripts
5. Sending new records to OCLC

1. Number of records

- **How many records are in the set and is it worthwhile to modify them**? If the expectation is we hold most of the titles in print form, you may be able to obtain a spreadsheet from the vendor with titles and URLs which can be added individually.

- **What is the expected outcome for the record load?**
  - Will this be an ongoing process or is it a one-time batch load? If ongoing, record quality will be a primary concern.
  - Is the batchload intended to add electronic access to existing print records? If so, which fields will be added to the existing records (often just an 856, and possibly an RU-ONLINE holding). Thus, record quality would be a lesser factor, and matchpoint will be a major factor.
  - Is the batchload meant to add new content? In this case new records will be added. Thus, record quality will be a major factor.

2. Matching on existing records

- Is there a matchpoint for the title (if we have one, see below)? In order to automatically link each record to our existing bib record for the title (if we have one; see below), there must be an identifier, typically an OCLC record number in the 001 or 035, or an ISBN (020) or ISSN (022). The LC control number (010) may also be an option.
- If there is no matchpoint, consider the pros and cons of allowing *all* the records to sit side-by-side with our existing records.
- How likely is it that we would need to match existing IRIS records?
  - Estimate how many (approximate percentage) by searching a sample.
  - How often will the records in the incoming record set describe the same format as the format described in the existing SIRSI records?
  - Will the available matchpoint(s) enable the records to correctly merge?

- In how many cases would the match <u>not</u> be one-to-one? For example, the record load may include numerous records for monographic sets. Perhaps we cataloged these sets as individual volumes, but in the record load, there is only one record for each set.

Search a subset of the records in OCLC to see if the 035s correspond to the print, the electronic version, the microform, or a combination of the above. Records loaded to OCLC will match on the OCLC number regardless of whether the record describes the appropriate format. For example, a problem would arise if the control number (035) is for the OCLC print record, but the vendor has modified that record to make it describe the electronic resource. This would cause our holding to attach to the print master record if the titles were sent to OCLC.

3. Sending new records (the ones that didn't match) to OCLC

- Are there license restrictions (i.e. does record provider hold a copyright on the records)? Check the license.
- Is this a static package loaded one time, or a package with ongoing additions, changes, or deletions?
    - Do we have perpetual access? If no, lean toward not sending.
    - Is the content leased rather than purchased? If yes, don't send.
    - Are the records leased rather than purchased? If yes, don't send.
    - Is the bib record likely to go away? (For example, for packages subject to change, the vendor might pull an entire set of records and replace it with a new set, rather than updating each record individually; this is more likely with serials.) If yes, don't send.
    - Is the record set finite, or will new records be added periodically? If it's not finite, contact the vendor to determine if there's an alerting service for additions to the package.
    - If holdings are subject to change, is it prohibitively expensive to update our holdings in OCLC? (This is more likely with serials.)

NOTE: The trigger to send records/holdings to OCLC is changing the Date Cataloged to the current date. This same trigger sends the record to LTI. If the records should *not* go to OCLC, but they *should* go to LTI, contact Bob Warwick.

4. Evaluate the record quality

- Were the records cataloged by the Library of Congress or by a PCC library? If not, is it a trusted cataloging source?
- Has authority work been done on the headings? What is the quality of the authority work?
- Examine the first few records in full, carefully, for idiosyncrasies or anomalies
- For a larger subset of the records (not all), review the following fields to determine if cataloging is in accordance with our practices:
    - 245 |h
    - Other 5xx
    - 776

o   Diacritics (do they translate appropriately?)

5. Determine pre-processing needs (fields to be deleted, retained, evaluated, or edited) when adding new records

Refer to Culbertson, et al., *Provider-Neutral E-Monograph MARC Record Guide* (2010). (http://www.loc.gov/catdir/pcc/bibco/PN-Guide.pdf)

NOTE: All changes will be automatic, and must be valid for every record.

- Evaluate:
  - 040 |dNjR (if meaningful change on every record)
  - 260 (is it for the original publisher or the e-resource provider? Is it consistent with the 530/533 and 245 |h?)
  - 530
  - 533
  - 534
  - 590 (for rare books; otherwise, delete)

- Delete:
  - 050 *if* second indicator '4'
  - 084
  - 090
  - 263
  - 366
  - 506
  - 530
  - 538
  - 583
  - 655 value of Electronic books, Electronic serials, Electronic resources, etc.
  - 690 value of Electronic books, Electronic serials, Electronic resources, etc.
  - 710 for the vendor
  - 830 for the vendor
  - 773
  - 84x
  - 85x **except 856**
  - 86x
  - 87x
  - 882
  - 886
  - 887
  - Obsolete fields (e.g., 256; refer to MARC21) *except* 440
  - Any local field (generally contains a '9', e.g., 938)

- Retain:
  identifiers and control numbers, including 015, 016, 037
  fixed fields
  access points other than those listed above, even where they would not be added to our
        original cataloging *as long as they are appropriate for the item in hand,*
        including:
        001
        003
        005
        02x
        041
        043
        044
        050 00
        082
        440 (even though obsolete)
        776
        78x
        800
        810
        811
        830 if not the vendor
        880

- Edit:
  245 add |h[electronic resource] if missing
  300 to read 1 online resource (__p.) :|bill. [for a monograph]
  856 |z (value should be changed in accordance with our policy, typically "Access from
        campus or login via Rutgers account")
  Copy data from 001 and 003 to 035 (if there is already an 035, add a second one)
  Add to 040 |dNjR

Be sure your preprocessing includes adding an RU-ONLINE holding where appropriate.

The option exists to send records to a review file (matched records, unmatched records, or the entire set).

If the batchloading process unavoidably produces duplicates, determine if
- Duplicates will be resolved in each case
- Duplication will be resolved only as encountered

6. Write specifications for Systems Symphony Technical Support

Specifications can be delivered as a Word document or spreadsheet. You can pick and choose particular specifications by copy/pasting from the "Template for Record Loads." That spreadsheet also includes detailed information about many of the possible specifications.

Always specify at the top of the specs document:
- Send to OCLC? (Y/N)
- Send to LTI? (Y/N)
- Provide title control numbers? (Y/N)
- Place in review file? (Y/N)
- Matching instructions
  - Whether a match is expected
  - Matching rule (what to do in cases of match/no match)
  - What to match on

Next, provide a field-by-field list of any additions, changes, or deletions. Include fixed field changes as appropriate.

Indicate what types of holdings will be added (RU-ONLINE, or RU-ONLINE + library holdings).

Indicate any changes to Call Number/Item records.
- Call library
- Item Type
- Item cat1
- Item cat2

NOTE: For electronic resources, you need only specify Item Type, Item cat1, and Item cat2. Other values are system-supplied or default values.

Remember the order of the preprocessing. In a typical scenario, the system looks first for matches. It changes all the records that *don't* match, and *then* makes edits to records that match. Write the specs to reflect this sequence. Use the "Template for Record Loads" as a model.

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