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Introduction

This document sets out the principles and standards which underpin the practical cataloguing rules followed by PSU Central Library. It was prepared as a working document for the use of PSU Central Library staff, and it is of potential interest to a wider audience. The policy would have to be subjects to continuous review.

A number of developments have had an impact upon the day to day work of cataloguing; in practical the rapid pace of technological change and the emergence of new standards, some still fluid and subjects to revision. The current version of the cataloguing policy is the library’s response to these changes and reflects the ongoing adjustment of our practice in a changing information environment. At an international level, re-evaluation of the major tools of cataloguing (MARC and AACR2) is still in progress, and further local policy revision will almost certainly follow from these discussions. The present statement should therefore be regarded as a snapshot of the Central Library’s position at this time.

It is particularly appropriate that this new edition should be published at this time, following the installation of Symphony.

The principles set out in this policy have been incorporated into the Central Library’s Cataloguing Department practice.

1. Cataloguing aims

1.1 To provide catalogue entries in support of the functions of PSU Central Library as described in the Library’s mission statement:

As an academic collection focusing upon Computer and Information Science, Business Administration, Islamic studies, Law, Interior Design, Linguistics, Translation, English Language, Health Administration, Psychology, Physical Education as a research and reference library serving a wide ranging community of users especially faculty, staff, students and local community.

As the Central Library of PSU, supporting its partnership with national industry and business sector.

1.2 To facilitate the use of library and archival materials by cataloguing incoming stock quickly and effectively in accordance with agreed standards; and, to participate, where necessary, in the development of appropriate new standards. To build upon agreed standards where required to reflect the special nature of the literature of subjects of learning, to meet the needs of PSU Central Library users.

1.3 To produce machine-readable records compatible with international exchange standards, in order to enable transfer of records and cross database searching.
Following AACR2, USMARC 21, to ensure that data is held in an appropriate and standardized format independent of any particular computer system.

1.4 To catalogue to a level which reflects the curatorial and research strength of the PSU Central Library collections in order to meet the needs of current and future researchers and students, to extend the possibilities of research.

1) By providing useful bibliographic description as appropriate;

2) By adding associated personal and corporate names in an authority–controlled form ensuring that their specific relationship to the title is clear from the catalogue description.

3) By endeavoring to ensure that subject access to the collections is appropriate to the research needs of users.

4) By providing access to form and physical characteristics where appropriate, to aid identification and understanding of the document as a physical object. (e.g. dictionaries)

1.5 Where mechanisms exist to revise and extend agreed cataloguing and indexing standards, to use these to raise issues relevant to PSU Central Library collections and subject coverage.

By raising issues with AUC experts, relevant Research Libraries; and with other interest groups where appropriate. By co-operating which other libraries working within the same subject area to share experience and resolve common cataloguing problems.

1.6 To participate in the development of terminology for the subject field

By submitting candidate terms for subjects, document types and physical characteristics to PSU Central Library Cataloguing Core Committee.

2. Provision of integrated access to PSU Central Library collections

2.1 Commitment to the integration of formats

PSU Central Library Computer Catalogue forms an essential component in the provision of integrated access to the Library’s collections, these collections will continue to be accessed using library OPAC. Provision of comprehensive catalogue access to the entire Central Library and CFW Library collections remains the primary aim of the Library’s retrospective conversion project and the creation of core records for all items is the first step towards this.

The development of open web-based technology has led to a recognition that a MARC-based catalogue is just one of the pieces required to achieve the above.

Unified authority control is absolutely essential ‘and remains a basic principle in PSU Central Library longer term planning. Equally important is the collection of related material across all formats, enabling the end-user searching for a subject to locate relevant books, reports and electronic resources from a single search in combination with the flexibility to interrogate subsets of the total database as required.
The PSU Central Library aim is to establish single authority form for each heading regardless of document format. This assists the retrieval process by ensuring that headings are consistent and that an appropriate network of cross references guides the reader to the preferred form from all possible variants.

2.2 Extending coverage of the computer catalogue

Given the changing balance of print and electronic resources, a further aim is to open up access to relevant electronic resources from the catalogue entries using hypertext links where appropriate.

2.3 Provision of access to the bibliographic information resources of the University

The Central Library catalogues the holdings of the libraries of the university and CFW to extend access to the total resource of bibliographic information. The creation of a central union catalogue to these collective resources will facilitate research and be of benefit to the users.

2.4 Participation in national attempts to extend access to the bibliographic resources of the subject

The PSU Central Library is highly concerned with access to its bibliographic and information resources.

This participation in national provision is manifested in a commitment to make its catalogue records more widely available, by providing access via the web and by contributing records or data to relevant union catalogues such as AUC.

3. Commitment to develop cataloguer expertise

PSU CL cataloguers are expected to develop expertise in cataloguing the specialist publishing formats and knowledge of subject areas relevant to courses offered at PSU.

New cataloguers undergo extensive training to become familiar with cataloguing specialist publication type such as reports, audiovisuals, cooperative reports, etc. All work is supervised and checked during the training period.

Although a named cataloguer may be allocated particular responsibility for a certain format or type of material, all cataloguers should be capable of dealing with the full range of formats.

Cataloguers are expected to keep abreast of current technological developments affecting their work so that they understand the context of changes to cataloguing practice and policy. From time to time, particular cataloguers are involved in the evaluation of new standards and sources of data for cataloguing. Cataloguers are encouraged to attend courses and conferences, and are given opportunities to participate in discussion of developments affecting their work.
Cataloguers are expected to develop an awareness of the ways in which our users, both internal and external, seek to locate the items they are cataloguing. To help achieve this cataloguers participate in enquiry desk duties.

4. Source of records

4.1 Derived records

As a basic principle, cataloguers attempt to locate pre-existing records for acquisitions. Bibliographic records are derived from OCLC’s WorldCat, and AUC database.

Where record is located, CL policy is to add and enhance. Errors are corrected but records are edited only where inaccurate or misleading information is present. This approach speeds up throughput. Records then have subject’s headings and other local copy details added.

4.2 Record creation

Where no record can be located, the cataloguer creates a local record which conforms to international exchange standards. Such records may be made available for uploading to AUC, enriching these resources and making them available for use by other libraries.

5. Cataloguing practices: description

5.1 Standards followed

The CL follows AACR, 2nd revised edition.

The CL is committed to the identification and implementation of international standards for cataloguing. Those standards that are already in place will be kept under review to ensure their continuing relevance. Within the field of traditional MARC cataloguing, we will continue to monitor moves towards MARC harmonization. Similar action will be taken to address changes to AACR2 resulting from the recent discussions about its future.

5.2 Use of MARC fields

The CL continues to make use of the US MARC format for bibliographic cataloguing. The AUC manual provides full details of mark fields available, their status and contents.

5.3 Level of cataloguing

5.3.1 Descriptive cataloguing (AACR2, 3rd level)

For bibliographic material, the cataloguing level reflects the use of the CL as research reference library by an international community of researchers; cataloguers supply descriptive catalogue records in accordance with AACR2 3rd level description as far as possible.
5.3.2 Cataloguing Arabic items

The CL uses Arabic translations of AACR2 in the bibliographic description of Arabic items.

5.3.3 Medium level cataloguing

Medium level entries are provided for pamphlets. Nevertheless, size alone is not used to determine cataloguing treatment. The importance of the content and/or form of the item is also taken into account.

5.3.4 Audiovisual cataloguing

The CL audiovisual cataloguing is based upon description embodied in AACR2.

The US mark format continues to be employed for audiovisual records added to the CL computer catalogue. This provided access to audiovisuals alongside other library materials.

5.3.5 Analytic cataloguing

Analytic catalogue records reverse the structure and hierarchical relationships between items. The CL’s policy is to use analytic listing in MARC, where a grouping of material cannot be adequately described using a single record.

This has a particular relevance to archival cataloguing where multi-level hierarchies are established to reflect the principles of provenance and original order. The catalogue records created to describe an archive are designed to establish intellectual control by recording information about its constituent parts.

Where a number of individual titles are contained within a single parent volume (for example, a bound volume of separately published items) analytic links are created between the related mark records for the volume. In this context the analytic record structure is necessary for circulation purposes.

5.4 Special aspects included in CL descriptive records

The following aspects are of particular importance and will always be included in descriptive catalogue records where appropriate.

5.4.1 Physical features and form of the item

Access to special collections by document type and physical feature is recognized.

This is achieved by the addition of detailed notes describing the form and features of appropriate collection titles. These notes are searchable.

5.4.2 Copy-specific information
The curatorial approach also includes the recording of copy-specific features of items in the collection. The CL cataloguers record copy-specific aspects in the descriptive notes, supplementing these with controlled headings where appropriate. The notes may indicate that an item is unique or that the item is a variant, enabling researchers to make detailed comparisons with related copies in other collections.

5.4.3 Provenance information

Provenance information and those copy-specific features which support it provide invaluable evidence for researchers. The CL Cataloguing section adds provenance details to catalogue records. Donations are always described as such in the description.

5.5 Accuracy in the provision of catalogue information: identification of areas of uncertainty

Information added to the CL catalogue must be accurate. Where information about an item or its authorship is limited or uncertain, AACR2 sets out detailed rules to cover the addition of this type of information, e.g. rules for citing approximate date of publication. It also provides detailed rules to cover attribution, anonymous work, etc.

Where exact details relating to a particular title cannot be verified this must always be clear from the catalogue entry.

The need for verification is particularly important when adding descriptive notes. The source of any statements made in the notes about the nature of the form /subject of the item in hand should be given. In making such notes cataloguers should avoid subjective interpretation where possible. They should give the source of any statements made even when the note added is not a direct quotation.

5.6 'Open' catalogue entries

The CL catalogue entries remain ‘open’. If more detailed information becomes available at a later date this is passed back to the cataloguing section for inclusion in the record. This is particularly relevant to serials, at point of cataloguing. The catalogue entry made will be as complete as possible within the constraints of time and level of expertise of the cataloguing team. If further information becomes available at a later date as a result of research, e.g. for a special exhibition, this will be added. Cataloguing is viewed as a process of accretion.

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6. Relationship between the description and controlled access points

Descriptive cataloguing is based upon the premise that the description should reveal why specific authority-controlled access points have been created for the item. After selecting a heading and finding a title listed under it, the reader should be able to conclude why it is listed under the chosen name, subject or physical characteristic term.
7. Authority control of name headings

Cataloguers are responsible for identifying, establishing and entering the correct and consistent form of all personal, corporate and geographic names. Name headings must be internally consistent, and new headings added should be in line with AUC standards and authority tools, and the international standards as embodied in the Library of Congress Name Authority File (LCNAF) which forms the nascent Anglo-American authority file. British Library Authority Forms are also added to this file.

8. Extending access by subject

LCSHs are used in subject analysis, together with AUC and other Arabic Subject Headings lists. It is a basic aim to move towards subject terminology established in the literature, and validated by our user community. To accommodate the evolving language of the subject area, and to enrich our collection of subject headings.

8.1 Level of subject indexing

CL subject indexing practice follows guidelines based upon ISO 5963-1985 ‘Documentation: methods for examining documents, determining their subjects, and selecting indexing terms’, which describes the steps involved in identifying and translating the subject of the document into controlled subject headings.

The level of subject indexing is determined by two factors:

8.1.1 Exhaustivity

There is no artificial limit to the number of subject headings which can be assigned, although there is a practical limit to the time which can be spent. This usually means that the themes identified and expressed by subject headings are those which summaries the overall argument / subject coverage rather than narrower sub-themes which may be expressed by smaller sections within it.

Exceptions are made where a book on a general subject contains within it specific contributions likely to be directly relevant / of particular interest to the CL, especially where the general subject is not obviously related to the CL core collections, besides conference proceedings and collections. In such cases in depth indexing will be carried out.

8.1.2 Specificity

The choice of concepts to be represented by subject headings should match the specificity of subject coverage of the title concerned.

8.2 Addition of new headings

The language of the subject and approaches taken to it are constantly changing. It is essential that the means to access the CL collections is kept under constant review, and develops to keep
pace with these changes. CL cataloguers are encouraged to be critical in their use of existing headings, to create new headings for subjects as they are encountered, and to introduce new headings to rectify deficiencies identified in the existing subject index.

8.3 Continuity

Subject headings will continue to be revised and enriched. Where a new heading is introduced to replace an outdated or superseded heading, a cross reference will always be made to guide the reader from the superseded form.

9. Provision of controlled access by form and physical characteristics

As described above, access to special collections by document type, and physical feature is taken into account, from and genre terms are added where necessary.

10. CL validation and review procedures

Decisions which affect the catalogue impinge upon all aspects of the library's work, and are therefore taken with the widest possible consultation. Cataloguing police is kept under continuous review, and newly established heading are monitored.

11. Checking work

Cataloguers take personal responsibility for their cataloguing, and are expected to identify their work by adding their codes. Extent of checking is determined by the cataloguer’s experience and level of expertise. Thus, work by new cataloguers and work by experienced cataloguers learning new formats will always be checked; special collection titles will be checked until the cataloguer concerned has build up extensive experience with specials. Alongside such systematic checking, senior cataloguers carry out random checks on selected catalogue records. Where problems are identified at point of cataloguing, cataloguers are expected to discuss these with relevant senior professionals.

Authority headings new to the catalogue are systematically checked, supplemented by ongoing and regular maintenance of all the authority-controlled indexes.

12. Public Access to Cataloguing Data

With certain exceptions, records for CL acquisitions are made available for enquirers.

New titles are recorded from data of order (purchases), and are given priority in cataloguing upon request.

13. Keeping Track of the Physical Item During Cataloguing

For access and security of the collections, it is essential that items in process can be located easily. To achieve this, new acquisitions are systematically dealt with by date of arrival (oldest
material first) and are shelved in date order. It is the responsibility of each cataloguer to keep work in process in good order and accessible while being catalogued.

Appendix A

Main Standards, Authorities and term lists used by the CL Department of Information Organization

1. Descriptive entry in Bibliographic Cataloguing
   - Anglo American cataloguing rules. 2nd ed. Ottawa: Canadian Library Association; and its Arabic translation.

2. Personal and Corporate Name Headings
   
   For all formats:
   - Anglo American Cataloguing Rules. 2nd ed. Ottawa: Canadian library Association; and its Arabic translation.
   - Library of Congress Name Authority File. Contains authority records created by the Library of Congress and records submitted by NACO participants and AUC authority lists.

3. Names as subject
   
   Personal and corporate names as subject, established according to the above sources are subdivided by addition of an LC subject subdivision form:
   - H1105: Free-floating subdivision used under names of corporate bodies.
   - H1110: Free-floating subdivision used under names of persons.

4. Subject headings
   - Library of Congress Subject Headings (LCSH)
   - AUC Subject Heading Authority list
   - KFNL Subject Headings list

5. Physical characteristics and provenance
   - The art & architecture thesaurus.

6. Genre terms
   - The Art & Architecture Thesaurus.
• *Genre terms: a thesaurus, prepared by the RBMS Standards Committee. 2nd ed.*
Appendix B

Main USMARC Fields Normally Used in PSU Central Library Prepared Catalogue Records:

The standard CL catalogue record for original cataloguing consists of the following fields as and when appropriate to the particular title to be catalogued.

Additional data characteristics given below are based on options for bibliographic materials.

- **Record leader** Status
- Type of record
- Bibliographic level
- Type of control
- Encoding level
- Descriptive cataloguing form
- **007** Physical description fixed field
- **008** Fixed field
- Updated
- Type of data / publication status
- Date 1
- Date 2
- Place of publication, production or execution
- Illus
- Target audience
- Form of item
- Contents
- Govt. publication
- Conf. publication
- Festschrift
- Index
- Fiction
- Biography
- Language
- Modified record
- Cataloguing source
- **010** LC control number (if no ISBN)
- **020** ISBN
- **041** Language code
- **049** $1 type of material code (e.g. e= exhib. cats)
- **100** Personal name
- **110** Corporate name
- **111** Conference name
- **130** Uniform title (main entry)
- **240** Uniform title (not main entry)
- **243** Collective title
- **245** Title and statement of responsibility
• 250 Edition
• 260 Imprint
• 300 Physical description
• 440 Serial (with added entry) – (optional ; if necessary)
• 490 Serial (no added entry)
• 500 Notes
• 502 Thesis note
• 504 Bibliography note
• 505 Formatted contents note
• 510 Citations/ reference note
• 520 Summary / abstract
• 583 Action note
• 585 Exhibition history note
• 590 Local notes
• 600 Name as subject
• 610 Corporate name as subject
• 611 Conference name as subject
• 630 Uniform title as subject
• 655 Genre/ document type –(for fiction)
• 690 NAL subject heading- topical
• 691 NAL subject heading –geographical
• 700 Added name
• 710 Added corporate name
• 711 Added conference name
• 730 Added uniform title
• 740 Added title entry
• 755 Physical characteristics[under review]
• 800 Series (personal name)
• 810 Series (corporate name)
• 811 Series(conference name)
• 830 Series title
• 999 Cataloguer initials