

**Orbis Cascade Alliance**  
**Bibliographic Mandate Review Group**  
**Final Report - February 1, 2016**

Kyle Banerjee, TSWG liaison, Oregon Health Sciences University

Joe Kiegel, University of Washington

Linnea Marshall, University of Idaho

Lori Robare, University of Oregon

Suzanne Sager, Portland State University

Kate Cleland-Sipfle, Southern Oregon University

Debra Spidal, Chair, Washington State University

## **Final Report of the Bibliographic Mandates Review Group**

### **Introduction**

In 2010, in preparation for an RFP for a next-generation ILS, the Collaborative Technical Services Team (CTST) formed the Bibliographic Standards Best Practices Work Group to develop practices that should be implemented in the new shared environment. This group made recommendations without knowing which ILS would be selected, or even which ILS products would be considered. Its recommendations, which have come to be known as Bibliographic Mandates, are available on the [Bibliographic Mandates page](#) of the Alliance website. The mandates were approved by the Alliance Council in November 2011.

In 2012, a follow-on group was charged with developing guidelines based on the Bibliographic Mandates that would facilitate the move to a shared ILS. This group developed a [summary of the Bibliographic Mandates](#) intended to help Alliance members prepare for their migration. The summary document includes a total of eighteen specific practices bulleted under the seven mandates.

Since migration is now complete and all Alliance members have had at least six months working in the shared system, the Technical Services Working Group (TSWG) wanted to know whether the original Bibliographic Mandates were still relevant in the Alma environment, to what extent member libraries are meeting the terms of the mandates, and what obstacles exist to full compliance.

### **Charge**

The Bibliographic Mandates Review Group was charged with reviewing the bibliographic mandates:

- to confirm their ongoing relevance
- to revise and/or augment the list as needed to ensure it is comprehensive
- to determine whether member institutions are complying and, if not, what barriers exist to full compliance

The group was to provide a report about the degree of compliance with the mandates, suggestions for improving compliance, and recommendations for renewing, updating or eliminating each mandate. Its report was due to the TSWG by February 1, 2016.

## **Activities of the Review Group**

The Bibliographic Mandates Review Group undertook several activities in order to complete its charge. In November 2015 we conducted a survey of Alliance members to determine the level of compliance with existing mandates and to solicit member feedback on the mandates as they were originally written. During November and December, we prepared a revision of the mandates based on our experience in the Alma and Primo environments. In December we disseminated this draft revision to Alliance members for comment via the cwt-tsdisc email list. Finally, we prepared recommendations for the mandates based on both the survey and the comments on the draft revisions. Some issues related to the mandates require more discussion and are included in this report.

### **Initial Survey**

In November 2015 a survey was prepared and distributed to member libraries via the cwt-tsdisc email list. The survey had two objectives: The first objective was to determine the level of compliance with the mandates as they were originally written; The second objective was to solicit feedback on the mandates as they were originally written. Feedback was confidential and individuals were not required to identify themselves although they had the option to provide their names if they were willing to be contacted regarding their comments. Responses were not limited to one per institution but we did require each respondent to identify their institution to assist in analyzing the responses. This was a conscious decision to allow input from individuals at member libraries who work with the mandates rather than limiting the responses to one official response per institution.

The survey consisted of the text of the seven bibliographic mandates as published in the 2012 revision. In a few cases explanatory text was included although each section was prefaced by the wording “Do you follow the xxxx mandate as described”. Compliance was solicited with a yes/no option for the first mandate and a range of five options from Always to Don’t know for the remaining mandates. A text box for feedback was provided for each mandate. (see Appendix B for a copy of the survey as distributed)

Responses were received from 34 of the 37 Alliance member libraries. Approximately 100 individuals started the survey although they did not necessarily respond to every question, so the total responses for each question will vary. In general, compliance with the bibliographic mandates was very good.

For those who responded, all were in compliance with Mandate #1: Bibliographic utility, signifying that they all use OCLC as their primary bibliographic utility.

For Mandate #2: Floor bibliographic standards - 36.67% indicated they Usually comply and 57.78% indicated they Always comply. A review of the comments for this mandate indicate that not all member libraries feel they can comply in regards to specific collections or types of material. A few of these have been addressed in our recommended revision of this mandate but we do feel concern that some members are not monitoring and updating shelf-ready records, EOCRs, or records received through OCLC WorldCat Cataloging partners. Our experience with these programs is that they are useful but all automated processes require review and maintenance. More discussion of the long-term consequences of limited cataloger intervention during TS Open Calls or during Summer meeting might be helpful.

Mandate #3: Single vs. separate records - refers to the use of separate records for each format of a single title. In this case 63.22% of respondents indicated they Always comply and 31.03% indicated they Usually comply. A request for an exception to this mandate for local materials was made in the comments section of the survey. However, it cannot be assumed that these materials are not of interest to others. There is no requirement to 'split' records that migrated, but new acquisitions (purchased or gift) should follow this mandate. The Federal Depository Library Program now follows the separate record practice. One of the reasons given for non-compliance was the single-record approach used by state libraries for depository titles, and this has been addressed in the revised mandate.

Mandate #4: Provider neutral records - refers to the use of a single record for electronic resources, print on demand reproductions and photocopies of textual materials, scores, and cartographic materials for the same title in the same format, as described in the PCC Provider-Neutral guidelines <http://www.loc.gov/aba/pcc/scs/documents/PCC-PN-guidelines.html> and the LC-PCC PS for RDA 1.11. In this case 45.24% of respondents indicated that they Always comply and 34.52% Usually comply while 20.24% Didn't know the answer to this question. Of 100 participants in the survey 16 skipped this question. Based on comments received this mandate is difficult for some libraries to comply with based on the quality of records available in WorldCat and their ability to recatalog them due to staff resources or level of WorldCat authorization required. Training and an additional operational policy providing detailed guidelines is recommended to improve compliance with this mandate.

Mandate #5: Network level cataloging - refers to using the WorldCat master record in our ILS and performing all editing at the WorldCat level rather than at the local level (this excludes the use of local bibliographic extension which serve a different purpose). Of the 81 participants who answered this question, 85.19% indicated they Always comply and 8.64% indicated they Usually comply. Based on experience and comments received through the survey, we are aware that not all member libraries may have the required OCLC authorizations to update OCLC Master records. But it is also clear that members desire to follow this mandate.

Mandate #6: Level of PCC contribution - in retrospect this question should either have been optional or used logic to provide different response options for PCC participants and non-PCC participants. Mandate #6 requires members to maintain at least their current level of contribution to the PCC. Of the 79 respondents, 45.57% indicated they Always comply and 40.51% indicated that they Don't know. From the comments received, participants who belong to non-PCC libraries did not know how to respond. The need for additional training and a future PCC funnel was expressed and we recommend that these options be considered.

Mandate #7: Outsourcing - this mandate asks that member libraries ensure when possible that vendor records (outsourced cataloging) meet the Mandates as given in Mandates 2-6. Of the 75 responses received, 38.67% answered Always, 18.67% indicated Usually and 34.67% answered Don't know.

Complete numeric and graphic data can be found in Appendix C.

## **Revised Mandates**

Having completed our initial review of the existing mandates and the review of the initial survey, we found that the mandates are still relevant to our shared work in Alma and Primo.

The group prepared a revision of the mandates (see Appendix A), which we recommend to the Technical Services Working Group for adoption. A summary of changes is given here for each mandate.

### *Mandate #1: Bibliographic Utility*

Wording was updated for Alma, in particular the types of records that do not require an OCLC number.

### *Mandate #2: Floor Bibliographic Standards*

Wording was updated for Alma. Cataloging standards other than AACR2 were incorporated: RDA explicitly, and others such as pre-AACR2, DACS, CCO, etc.... An exception for CZ records and retrospective conversion was added. Outsourcing from the old Mandate #7 was included here.

*Mandate #3: Single vs. Separate Records*

An exception was added for Oregon and Washington state depository titles. An additional rationale based on faceting in Primo was added.

*Mandate #4: Provider-Neutral Records*

Wording was updated for Alma and to incorporate provider-neutral practice for print on demand reproductions and photocopies. An exception for vendor sets was added, and clarification added for NZ vs. CZ, based on survey comments.

*Mandate #5: Cataloging at the WorldCat Level*

The name of the mandate was changed to clarify the distinction between the WorldCat network level and the Network Zone in Alma. Wording was updated for Alma.

*Mandate #6: Level of PCC Contribution*

Wording was changed, based on survey comments, to make it clear that Alliance members who do not belong to the Program for Cooperative Cataloging have no obligation under this mandate.

*Mandate #7 (old): Outsourcing*

The mandate was incorporated into the one on floor bibliographic standards.

*Mandate #7 (new): Alma Network Zone*

An additional mandate was created to describe principles for sharing the Alma Network Zone, based on ideas developed in a previous Alliance document.

**Discussion of Remaining Issues***Name for the Mandates*

We discussed whether “mandate” remains a good term in light of the Alliance’s new policy workflow. In the early days, the word “mandate” was chosen to express that these principles are mandatory rather than optional. In other words, these seven policies are obligatory for Alliance members and no one may choose to opt out. The term “best practice” was rejected because it implies that libraries may choose a different practice.

Today, the Alliance is developing a policy workflow or framework for the creation and review of policies. It is not clear how “mandates” fit into this framework. Should they be renamed “policies”? Are policies mandatory or only recommended? How best can the obligatory nature of the mandates be conveyed? The decision to rename the mandates or not is left to the discretion of the CWT-TSWG.

#### *Mandate #2: Floor Bibliographic Standards*

This mandate allows a number of exceptions, both for vendor records as a category, and for a list of other types of records. However, there are additional types of materials that we discussed but did not include in the mandate.

One case is an exception for local, unusual or unique items, which was requested by some libraries. While we understand the need on rare occasion, we did not find wording that would keep this from becoming a blanket exception to the mandate.

Since it is hard to enumerate all exceptions to this mandate, we think there should be a process by which members can seek approval for exceptions. Perhaps the Technical Services Working Group can have the authority to review requests and decide which ones should be allowed.

#### *Mandate #3: Single vs. Separate Records*

This mandate makes an exception for the use of single records when done according to an established national practice, such as combining print and microform records in the U.S. Newspaper Project. We discussed two other cases: local theses and dissertations, and the practice of the Oregon and Washington state libraries when cataloging state government publications.

In the case of local theses and dissertations, many libraries receive either print or electronic and thus do not have an issue. For libraries that receive both print and electronic, we do not see grounds for an exception. This case is parallel to e-books, where print records often exist and separate records for the electronic version must be created.

We did add an exception for Oregon and Washington depository titles, but there may not be a long-term need for this because of changes in the state libraries’ cataloging practices. When contacted, the Washington State Library (WSL) stated that they follow the separate record policy for current depository materials. There is still some question over what WSL considers depository and what member libraries might consider depository since online resources are not necessarily distributed via the depository library program. The Oregon State Library (OSL) currently uses the single-record approach for print and electronic versions of the same resource when cataloging state government publications. OSL has experimented with creating separate

records for electronic versions but does not do so consistently. In the future, OSL may instead use a Digital Assessment Management System to provide metadata for electronic versions and create MARC records only for print. Given that practices are in flux, we felt it would be best to create an exception for Oregon and Washington depository titles at this time and monitor the situation to see if the exception continues to be needed in the future. We do not believe it is feasible to consistently provide separate records at this point without a coordinated effort among Alliance libraries to share the work.

## **Conclusion**

The Bibliographic Mandates Review Group completed its charge to review the mandates, to confirm their continued relevance, and to determine the degree of compliance with them.

A survey of Alliance members showed that compliance is generally high, but there are some areas where it could be improved. A review of the mandates confirmed their continued relevance. A revised version of the mandates, which the review group recommends to the Technical Services Working Group for adoption, contains updates for the Alma/Primo environment as well as clarifications and exceptions that were raised in the survey. Additional actions are recommended to raise compliance, e.g. discussion of ways to support libraries in upgrading EOCR records, training and operational policy to support provider-neutral records, and consideration of additional PCC training or funnel projects.

## Bibliographic Mandates 2016

### Introduction

The Alliance Council first adopted bibliographic mandates in November, 2011, to facilitate the implementation of a shared library system. The mandates below have been revised for the Alma/Primo environment. They are designed to meet national standards and best practices while facilitating work in a shared system. The mandates are intended for use in the Alma Network Zone (NZ) and Primo; they do not apply to metadata in systems that do not interact with Alma or Primo. The mandates are meant to be used with approved and published operational policies.

### Mandate #1: Bibliographic Utility

#### Mandate

- Members must use OCLC as their primary bibliographic utility
- Members must use the OCLC WorldCat record number as their primary match point when importing records into Alma, except in cases where an Alliance policy has been established to use a different match point
- The following types of bibliographic records are not required to contain OCLC numbers nor to have holdings set in WorldCat, with exceptions limited to:
  - records created for ordering purposes
  - personal-copy course reserves
  - titles borrowed on ILL from outside the Alliance
  - inventory control of equipment
  - records representing titles in a knowledge base (e.g. Alma CZ records)
  - Marcive shipping list records
  - host bibliographic records for bound-withs
  - suppressed bibliographic records
  - record sets provided by vendors other than OCLC, including leased book sets

#### Rationale

The presence of OCLC WorldCat record numbers in bibliographic records makes it possible to match records in Alma when materials are owned by multiple Alliance libraries. The WorldCat record number provides a match point that simplifies record loading, record maintenance, and other technical operations. Requiring use of a common bibliographic utility ensures that the records of Alliance libraries can be merged and maintained with greater ease in a shared ILS. If multiple bibliographic utilities were allowed, individual institutions might lower their cataloging costs. However, such an environment would significantly increase the complexity and cost of operating a shared system.

## **Mandate #2: Floor Bibliographic Standards**

### **Mandate**

- Bibliographic records contributed to the Alma Network Zone must contain specific mandatory elements and meet a minimum level of completeness
- Minimum descriptive standards for the Alliance are the CONSER Standard Record (CSR) <http://www.loc.gov/aba/pcc/conser/issues/CSR.html> for serials and the BIBCO Standard Record (BSR) <http://www.loc.gov/aba/pcc/bibco/bsr-maps.html> for all other bibliographic formats for either RDA or AACR2
- Members may catalog at the Full level, which surpasses the Alliance floor standard
- When cataloging using a standard other than RDA or AACR2, records should meet a level of completeness comparable to CSR and BSR standards. There is no requirement to recatalog pre-AACR2 records
- The following types of bibliographic records in the Alma Network Zone are not required to meet floor bibliographic standards:
  - records created for ordering purposes
  - records representing titles in a knowledge base (e.g. Alma CZ records)
  - Marcive shipping list records
  - Alma digital files
- Vendor records, whether from outsourced cataloging for physical materials or vendors providing record sets for electronic resources, added to the Alma NZ must, whenever possible, meet Alliance bibliographic standards and best practices as stated in Alliance mandates and operational policies. Exceptions may be made in the case of record sets provided by vendors, but Alliance members must make a commitment to using the available records that most closely adhere to the floor standards
- Retrospective conversion, where available copy is less full than current standards, is not required to meet floor standards

### **Rationale**

The purpose of a floor standard for bibliographic records is to specify minimum standards for completeness and content designation. Catalogers make certain that every record adheres to at least this floor level; however, they may exceed the floor when judgment indicates additional data elements are needed. The benefits to the Alliance of a floor standard in a shared ILS are significant. Alma uses a shared bibliographic record in the Network Zone and a floor standard gives Alliance members expectations on quality, reducing the need for editing and re-editing of records.

Floor standards are intended for “cataloged” titles, that is, ones where a permanent bibliographic record has been prepared for library materials, and do not cover temporary bibliographic records

created for ordering purposes, in-process control, personal-copy course reserves, titles borrowed on ILL from outside the Alliance, inventory control of equipment, etc.

Ideally, floor standards should apply to bibliographic records for all cataloged titles. In some cases, however, record sets provided by vendors do not meet these standards. If possible, libraries who use such records should upgrade them to at least the BSR or CSR standards; however, sometimes this is not feasible given staffing levels and workload at a library. Nevertheless, Alliance libraries must make a commitment to using the best records available in cases where they are not able to upgrade them.

It is acknowledged that there may be retrospective conversion projects for materials where available copy in WorldCat is less full than current standards. When copy is available but less than full there is no requirement to recatalog according to current standards. It is recognized that these types of projects are frequently performed by copy catalogers who do not have the required authorizations or training to bring existing copy to current standards. This exception is not meant to be used for current acquisitions nor to be seen as a way to opt out of this mandate, but as an acknowledgment of the current staffing and workload of member libraries.

There may be a question about how the BSR and the CSR can be used by libraries that are not members of the Program for Cooperative Cataloging (PCC). The BSR and CSR may be used independently of the PCC. When created by non-PCC libraries, records cataloged as BSR or CSR are coded as Level I in OCLC and do not carry PCC authentication codes. Also, name headings on non-authenticated records do not need to be supported by authority records but must be formulated according to the cataloging standard used. While all Alliance libraries are encouraged to participate in the PCC to the extent possible, it is not necessary to join PCC in order to use these standards.

### **Mandate #3: Single vs. Separate Records**

#### **Mandate**

- Alliance member libraries must use separate bibliographic records for each format of a single title
- Members are not required to convert migrated single records. Specific conversion projects may be undertaken to solve problems in Primo
- Limited single records may need to remain due to established national practice: for example, print and microform records for the U.S. Newspaper Project
- An exception for Oregon and Washington State depository titles is allowed to accommodate the current practice of the State Libraries

## **Rationale**

Traditional national practice has been to catalog every manifestation of a title on its own bibliographic record (“separate records”). Exceptions have been made for electronic resources, first for serials and then for monographs: an electronic version is added to the same bibliographic record for a print resource (“single record”). At the current time, separate records are the dominant approach, but single records are accepted as a variant practice. A limited use of single records may need to remain for the long term due to established national practice: for example, print and microform records for the U.S. Newspaper Project.

Separate records provide for simpler maintenance, particularly in a batch load environment, but may require more effort to create new records. Single records, on the other hand, provide a simpler user experience and may save time in the creation of records, but are very difficult and expensive to maintain when batch loading is involved.

In a shared catalog, a fundamental principle is that each title should be treated only one way; that is, it does not make sense to have both separate records and a single record for a given title. In our shared ILS, where records come from many sources and many libraries work on them, separate records for electronic resources seems the only workable alternative. If we were to use single records, problems with batch load conflicts would be very difficult, if not impossible, to resolve.

Another reason to use separate records is that Primo allows users to refine their searches using faceting by format, which is dependent on the coding in the bibliographic record. For Primo faceting to work accurately and comprehensively, resources must be on bibliographic records that specifically describe their formats. Primo icons also serve as guides to selection of materials and they rely on coding in the bibliographic record in order to correctly correspond to the resource.

The Oregon and Washington State Libraries have used a single-record approach for print and electronic versions of depository titles for many years. Given that many Alliance libraries acquire these records through record loads, it is difficult to consistently create separate records, so an exception is currently allowed for these titles. This may change in the future. There are indications that the single-record approach may not be used by the state libraries indefinitely, and this exception should be revisited if the situation changes.

## **Mandate #4: Provider-Neutral Records**

### **Mandate**

- Members must use Provider-Neutral records in the shared Alma Network Zone

- Follow the PCC's practice to use a provider-neutral approach for electronic resources, print on demand reproductions and photocopies of textual materials, scores, and cartographic materials, as described in the PCC Provider-Neutral guidelines <http://www.loc.gov/aba/pcc/scs/documents/PCC-PN-guidelines.html> or the LC-PCC PS for RDA 1.11
- Vendor records for sets of electronic resources added to the Alma NZ must, whenever possible, be provider-neutral. Exceptions may be made for vendor record sets, but Alliance members must make a commitment to using the best available sets that adhere to the standard of provider-neutral in such cases
- This mandate addresses the Alma Network Zone, and does not apply to Alma Community Zone records

### **Rationale**

The use of Provider-Neutral records for electronic resources, print on demand reproductions and photocopies of textual materials, eliminates a proliferation of records describing essentially the same content. This reduces user confusion over multiple instances of a title in the catalog and leads to better discoverability. Using the national standard for the WorldCat master record will save time and money. Local additions may be made using local bibliographic extensions in the IZ at the discretion of member libraries.

### **Mandate #5: Cataloging at the WorldCat Level**

#### **Mandate**

- Members must commit to providing adequate and appropriate cataloging of materials at the WorldCat level
- Corrections and changes to bibliographic records which enhance record retrieval are of primary importance
- Corrections and changes to bibliographic records brought into Alma from WorldCat must be made to the master record in WorldCat not locally in Alma

### **Rationale**

Due to the technical architecture of the Alma NZ, changes must be entered into the WorldCat bibliographic record or they will be lost when the Alma record is overlaid. By cataloging at the WorldCat level, Alliance members improve discoverability for all Alliance Primo users, not just their own users.

Beyond the technical requirements of the current ILS, upgrading records at the WorldCat level provides benefits to users of Alliance libraries by improving discovery through other channels, such as OCLC discovery interfaces and search services using syndicated OCLC data, including Google and others.

Despite the importance of WorldCat level cataloging, not all Alliance members are able to do it for all materials. The rules governing OCLC authorizations and record editing are complex, and some members will not be able to change records in every bibliographic format. Thus the goal of this mandate is to increase cataloging activity at the WorldCat level, with the realization that not all libraries may ever be able to edit all types of records.

### **Mandate #6: Level of PCC Contribution**

#### **Mandate**

- Members of the Alliance who are also members of the Program for Cooperative Cataloging must maintain at least their current level of contribution to the PCC <http://www.loc.gov/aba/pcc/>. Members' PCC contributions include creating and editing BIBCO and CONSER authenticated bibliographic records in WorldCat and participating in NACO and SACO

#### **Rationale**

The cooperative approach of the PCC complements that of the Alliance. In the PCC, as in the Alliance, the greatest advantage accrues to each member of a cooperative when all members contribute. PCC standards and training support higher levels of cataloging quality and better user service. Several Alliance libraries already participate in one or more components of the PCC and have incorporated this activity into normal workflows. This activity should be continued and expanded where feasible for the benefit of all.

### **Mandate #7: Alma Network Zone**

#### **Mandate**

- The Alma Network Zone (NZ) is the shared bibliographic environment of the Alliance, whose goal is to have bibliographic records, brief or full, residing there with direct and related inventory
- Libraries must avoid adding duplicate records (with the same OCLC number in 035 \$\$a) to the NZ
- Libraries must not change the OCLC number in existing NZ records
- The following are examples of records that should not reside in the NZ:
  - personal-copy course reserves
  - titles borrowed on ILL from outside the Alliance
  - inventory control of equipment
  - host bibliographic records for bound-withs
  - suppressed bibliographic records
  - vendor record sets that the library is not allowed to share

**Rationale**

This mandate sets out principles regarding working in the Network Zone that Alliance members must follow. When there are no specific policies, libraries should act in line with these principles.

The Alma Network Zone as a shared bibliographic environment provides a foundation for collaborative work, both in terms of collection development and cataloging. Duplicate records undercut the usefulness of the shared cataloging by causing problems with record loading and other functions. Since records are shared, the OCLC number cannot be changed; rather, inventory is moved to the desired record. All bibliographic records should reside in the NZ, with noted exceptions, in order to enable collaboration and sharing of information.

There could be rare cases when brief bibliographic records created to track inventory locally are allowed to reside in the IZ rather than the NZ at the member library's discretion. Criteria to consider when making this decision include: do the brief records contain the minimum elements required for in-process brief bibliographic records, or would addition to the NZ negatively impact member libraries' ability to upgrade and maintain records. Excessively brief records may make it difficult to identify and select a resource and they may inadvertently hide relevant material in Primo search results, negatively impacting our users.

## **Bib Mandates Compliance - Nov 2015**

### Welcome to Bib Mandates Compliance Survey

**You are invited to participate in a survey related to the Orbis Cascade Alliance seven bibliographic mandates. The survey is intended for all staff who work with bibliographic records in OCLC and Alma, primarily related to cataloging activities but not limited to catalogers. The survey is being distributed to the Alliance CW-TSWG list. Please share within your institution as you feel appropriate.**

**Through the survey, the Bibliographic Mandates Review Group has two objectives related to our charge: The first objective is to determine the level of compliance with the mandates as they are currently written ; The second objective is to solicit your thoughts and opinions on the mandates as they are currently written.**

**Responses are not limited to one per institution but we do ask that you identify your institution to assist us with analysis. There will be no negative consequences for responses indicating non-compliance with the mandates. The survey is voluntary, and you may withdraw from it at any time by simply closing your web browser.**

**Responses will be anonymous. However, whenever one works with online technology there is always the risk of compromising privacy, confidentiality, and/or anonymity.**

**This survey will remain open until COB, Tuesday November 17, 2015. It should take approximately 10-30 minutes to complete depending on the length of your comments relating to each mandate.**

**On behalf of the Bibliographic Mandates Review Group, thank you for your time.**

## **Bib Mandates Compliance - Nov 2015**

### Institution Information

\* Select your institution

- |  |   |
|--|---|
| <input type="radio"/> Central Oregon Community College | <input type="radio"/> Reed College                  |
| <input type="radio"/> Central Washington University    | <input type="radio"/> Saint Martin's University     |
| <input type="radio"/> Chemeketa Community College      | <input type="radio"/> Seattle Pacific University    |
| <input type="radio"/> Clark College                    | <input type="radio"/> Seattle University            |
| <input type="radio"/> Concordia University             | <input type="radio"/> Southern Oregon University    |
| <input type="radio"/> Eastern Oregon University        | <input type="radio"/> The Evergreen State College   |
| <input type="radio"/> Eastern Washington University    | <input type="radio"/> University of Idaho           |
| <input type="radio"/> George Fox University            | <input type="radio"/> University of Oregon          |
| <input type="radio"/> Lane Community College           | <input type="radio"/> University of Portland        |
| <input type="radio"/> Lewis & Clark College            | <input type="radio"/> University of Puget Sound     |
| <input type="radio"/> Linfield College                 | <input type="radio"/> University of Washington      |
| <input type="radio"/> Marylhurst University            | <input type="radio"/> Walla Walla University        |
| <input type="radio"/> Mt. Hood Community College       | <input type="radio"/> Warner Pacific College        |
| <input type="radio"/> Oregon Health & Science Univ.    | <input type="radio"/> Washington State University   |
| <input type="radio"/> Oregon Institute of Technology   | <input type="radio"/> Western Oregon University     |
| <input type="radio"/> Oregon State University          | <input type="radio"/> Western Washington University |
| <input type="radio"/> Pacific University               | <input type="radio"/> Whitman College               |
| <input type="radio"/> Portland Community College       | <input type="radio"/> Willamette University         |
| <input type="radio"/> Portland State University        |   |

Please provide your name if the group may contact you with questions regarding your comments. This is optional and all comments will be kept confidential.

## Bib Mandates Compliance - Nov 2015

### Mandate #1: Bibliographic Utility

**Rationale: Because Summit catalog draws ownership information from the OCLC WorldCat database rather than local systems, materials which do not have holdings attached in the WorldCat database will not display in Summit.**

**Mandate:**

**Members must use OCLC as their primary bibliographic utility**

**Members must attach holdings for their materials in the OCLC WorldCat database, unless prohibited by license agreements**

**Members must also have OCLC WorldCat record numbers for these materials in their local bibliographic records**

**The following types of bibliographic records are not expected to contain OCLC numbers nor to have holdings set in WorldCat: temporary records created for ordering purposes, personal-copy course reserves, titles borrowed on ILL, temporary records created so circulate a borrowed Summit, item, inventory control of equipment, records representing titles in a local Electronic Resource Management System (ERMS) / knowledge base, Marcive shipping list records.**

\* Does your institution use OCLC as its primary bibliographic utility?

yes

no

Mandate #1: Please provide any comments

## **Bib Mandates Compliance - Nov 2015**

### **Mandate #2: Floor Bibliographic Standards**

**Rationale: A Shared ILS must use a single, shared bibliographic record in order to promote cost savings (as opposed to separate copies of the same record for each holding library). A floor standard gives all Alliance members shared expectations on quality and reduces the need for editing and re-editing of records.**

**Mandate:**

**All bibliographic records contributed to the Summit catalog must contain specific mandatory elements and meet a minimum level of completeness.**

**Minimum descriptive standards for the Alliance are the CONSER Standard Record (CSR) for serials and the BIBCO Standard Record (BSR) for all other bibliographic formats.**

**Members may decide to continue cataloging at the Full level, which surpasses the Alliance floor standard.**

The following types of bibliographic records are not required to meet the PCC standard record level of fullness: temporary records created for ordering purposes, in-process control, personal-copy course reserves, titles borrowed on ILL, inventory control of equipment, records representing titles in a local Electronic Resource Management System (ERMS) / knowledge base, Marcive shipping list records, etc.

Exceptions may be made in the case of large record sets provided by vendors, but Alliance members must make a commitment to using the available records that most closely adhere to the floor standards in such cases.

**\*Please note, the 'records representing titles in a local Electronic Resource Management system (ERMS)' may be interpreted to mean the Alma CZ for purposes of this survey.**

\* Do you follow the Floor Bibliographic Standards mandate as described?

- Always
- Usually
- About Half the Time
- Seldom
- Never
- Don't know

Mandate #2: Please provide any comments

## Bib Mandates Compliance - Nov 2015

### Mandate #3: Single vs. Separate Records

**Rationale:** In a shared catalog, where records come from many sources and many staff work on them, separate bibliographic records for all electronic resources seems the only workable alternative. If we were to use single records, problems with batch load conflicts would be very difficult, it not insoluble.

**Mandate:**

**Alliance member libraries must use separate bibliographic records for each format of a single title.**

**Members are not required to convert older records entered into local systems unless the implementation of shared ILS requires the conversion of some records to be separate.**

**Some limited single records may need to remain due to established national practice: for example, print and microform records for the U.S. Newspaper Project.**

\* Do you follow the Separate Record mandate as described?

- Always
- Usually
- About Half the Time
- Seldom
- Never
- Don't know

Mandate #3: Please provide any comments.

## **Bib Mandates Compliance - Nov 2015**

### **Mandate #4: Provider Neutral Records**

**Rationale: The use of Provider-Neutral records, for electronic resources, eliminates a proliferation of records describing essentially the same content. Using the national standard without local additions will save time and money.**

**Mandate:**

**Members must use Provider-Neutral records without additional local bibliographic fields.**

**Current standards are found in the PCC's Provider Neutral E-Monograph MARC Record Guide and CONSER Aggregator-Neutral Records.**

\* Do you follow the Provider-Neutral mandate as described?

- Always
- Usually
- About Half the Time
- Seldom
- Never
- Don't know

Mandate #4: Please provide any comments.

## Bib Mandates Compliance - Nov 2015

### Mandate #5: Network Level Cataloging

**Rationale:** Since the Summit catalog uses master records in the OCLC WorldCat database, it is important that edits to bibliographic records appear in the OCLC WorldCat database. By cataloging at the network level, Alliance members improve discoverability for Summit users, as well as for users in WorldCat Local libraries.

**Mandate:**

**Members must commit to providing adequate and appropriate cataloging of materials at the network (e.g. WorldCat) level.**

**Corrections and changes to bibliographic records which enhance and increase record retrieval are of primary importance and must be made visible in the Summit catalog.**

\* Do you follow the Network Level Cataloging mandate as described?

- Always
- Usually
- About Half the Time
- Seldom
- Never
- Don't know

Mandate #5: Please provide any comments.

## Bib Mandates Compliance - Nov 2015

### Mandate #6: Level of PCC Contribution

**Rationale:** As the Alliance is part of the larger cooperative that is the PCC, we collectively must contribute to it as we build a shared catalog.

**Mandate:** Members must maintain at least their current level of contribution to the PCC.

\* Do you follow the Level of PCC Contribution mandate as described?

- Always
- Usually
- About Half the Time
- Seldom
- Never
- Don't know

Mandate #6: Please provide any comments.

## Bib Mandates Compliance - Nov 2015

### Mandate #7: Outsourcing

**Rationale:** The purpose of this mandate is to allow for consistency across the sources of records. If vendor-supplied records meet Alliance standards no, or less, time will be spent by member institutions editing records before adding them to the shared catalog.

**Mandate:** Vendor records added to the shared catalog must, whenever possible, meet Alliance Bibliographic Standards and Best practices.

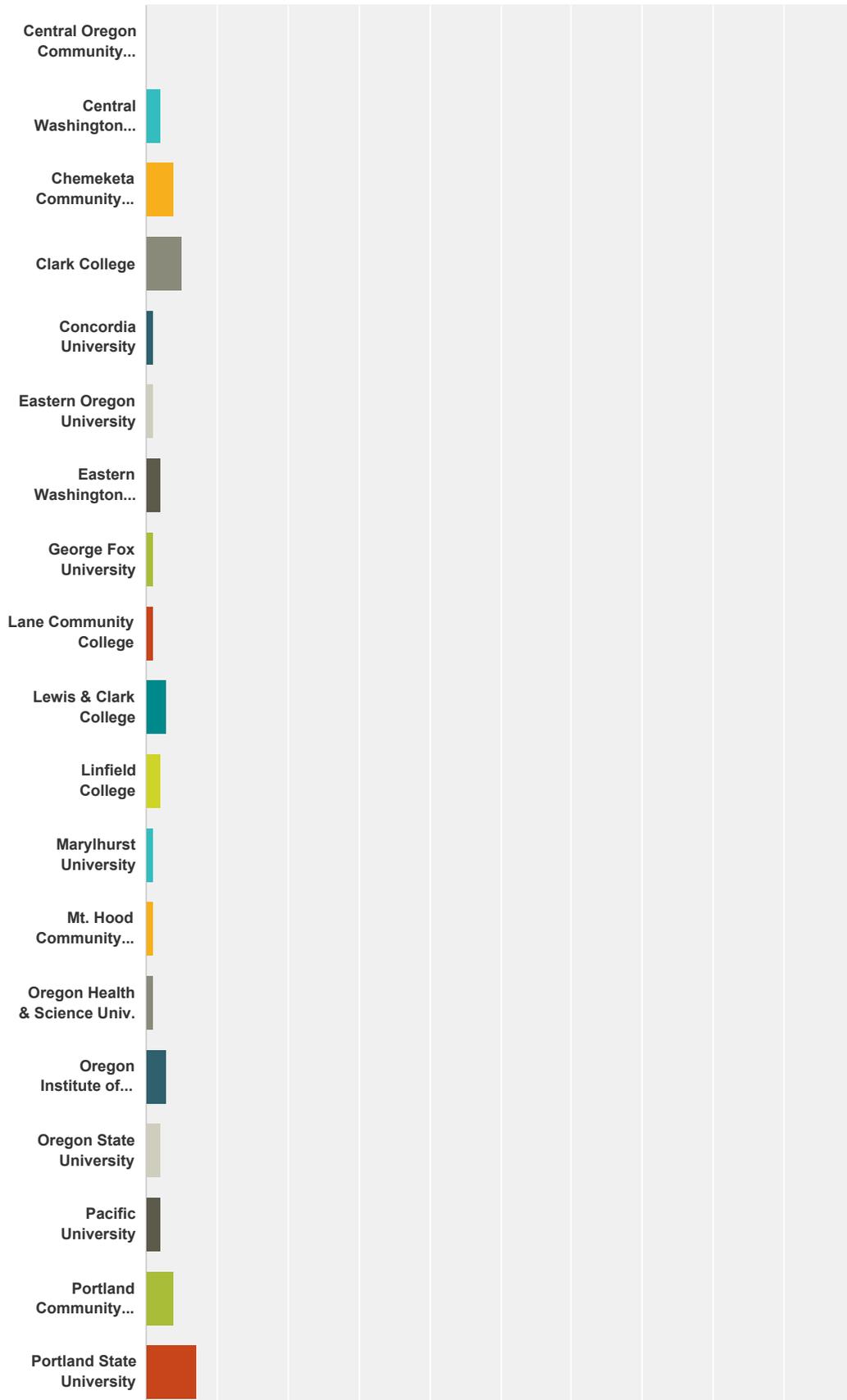
\* Do you follow the Outsourcing mandate as described?

- Always
- Usually
- About Half the Time
- Seldom
- Never
- Don't know

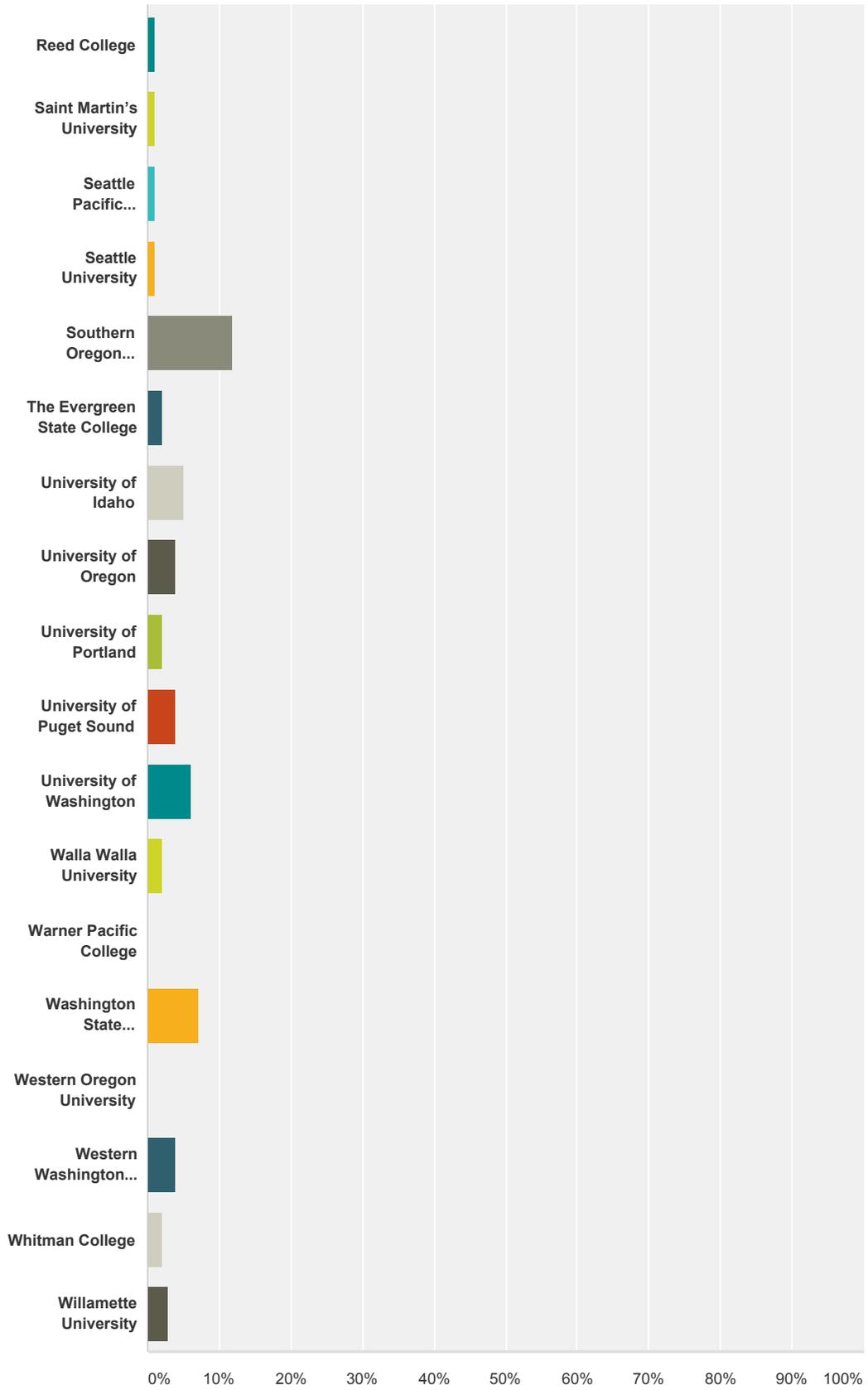
Mandate #7: Please provide any comments.

## Select your institution

Answered: 100 Skipped: 0



### Bib Mandates Compliance - Nov 2015



Answer Choices	Responses
Central Oregon Community College	0.00% 0

## Bib Mandates Compliance - Nov 2015

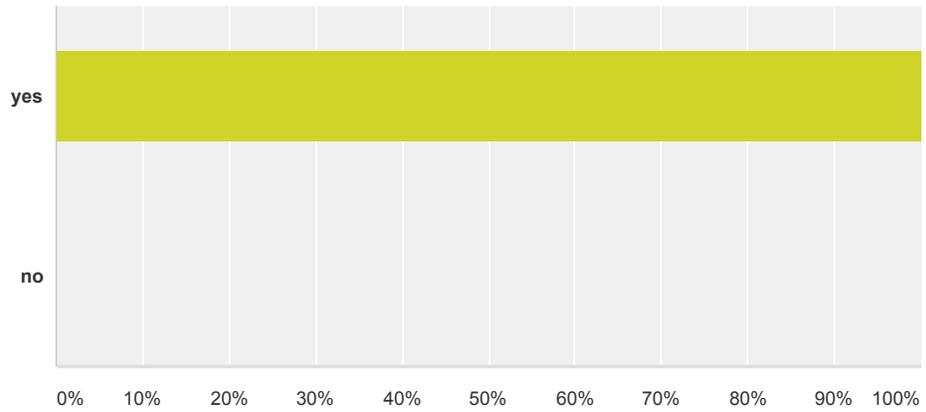
Central Washington University	2.00%	2
Chemeketa Community College	4.00%	4
Clark College	5.00%	5
Concordia University	1.00%	1
Eastern Oregon University	1.00%	1
Eastern Washington University	2.00%	2
George Fox University	1.00%	1
Lane Community College	1.00%	1
Lewis & Clark College	3.00%	3
Linfield College	2.00%	2
Marylhurst University	1.00%	1
Mt. Hood Community College	1.00%	1
Oregon Health & Science Univ.	1.00%	1
Oregon Institute of Technology	3.00%	3
Oregon State University	2.00%	2
Pacific University	2.00%	2
Portland Community College	4.00%	4
Portland State University	7.00%	7
Reed College	1.00%	1
Saint Martin's University	1.00%	1
Seattle Pacific University	1.00%	1
Seattle University	1.00%	1
Southern Oregon University	12.00%	12
The Evergreen State College	2.00%	2
University of Idaho	5.00%	5
University of Oregon	4.00%	4
University of Portland	2.00%	2
University of Puget Sound	4.00%	4
University of Washington	6.00%	6
Walla Walla University	2.00%	2
Warner Pacific College	0.00%	0
Washington State University	7.00%	7
Western Oregon University	0.00%	0
Western Washington University	4.00%	4

## Bib Mandates Compliance - Nov 2015

Whitman College	2.00%	2
Willamette University	3.00%	3
<b>Total</b>		<b>100</b>

### Mandate #1. Does your institution use OCLC as its primary bibliographic utility?

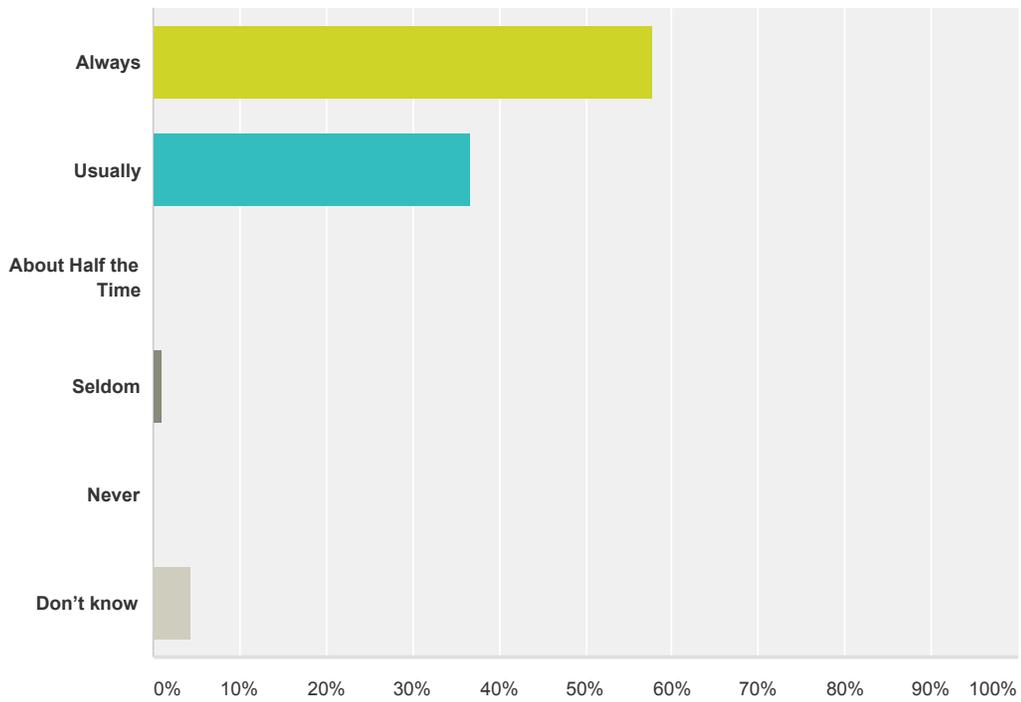
Answered: 94 Skipped: 6



Answer Choices	Responses
yes	100.00% 94
no	0.00% 0
<b>Total</b>	<b>94</b>

## Manadate # 2. Do you follow the Floor Bibliographic Standards mandate as described?

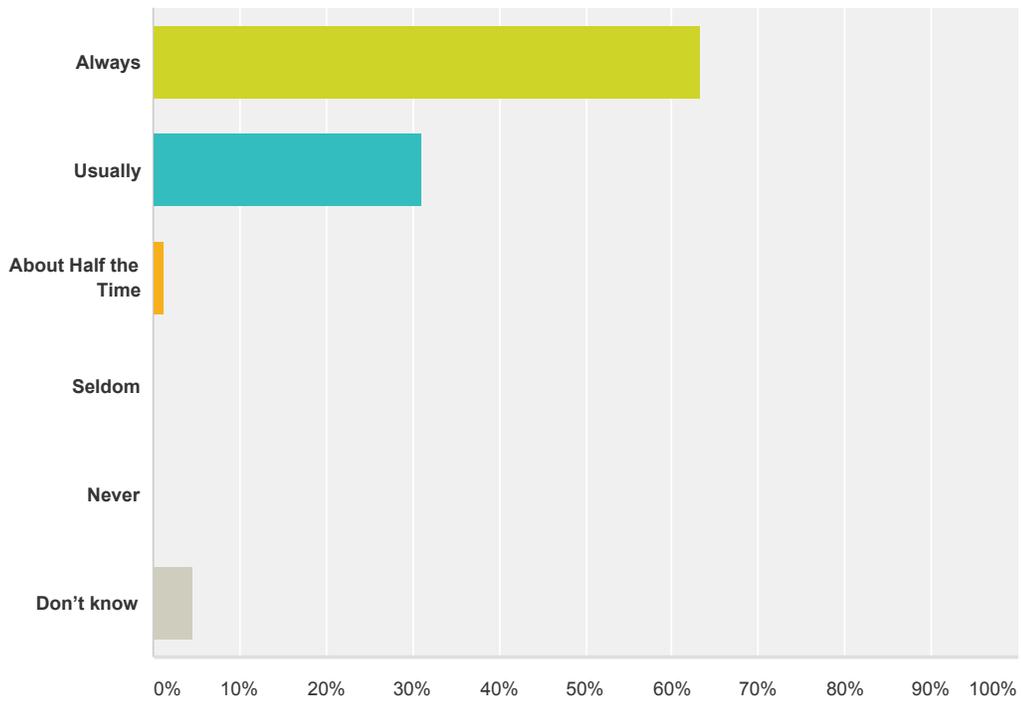
Answered: 90 Skipped: 10



Answer Choices	Responses	
Always	57.78%	52
Usually	36.67%	33
About Half the Time	0.00%	0
Seldom	1.11%	1
Never	0.00%	0
Don't know	4.44%	4
<b>Total</b>		<b>90</b>

### Mandate #3. Do you follow the Separate Record mandate as described?

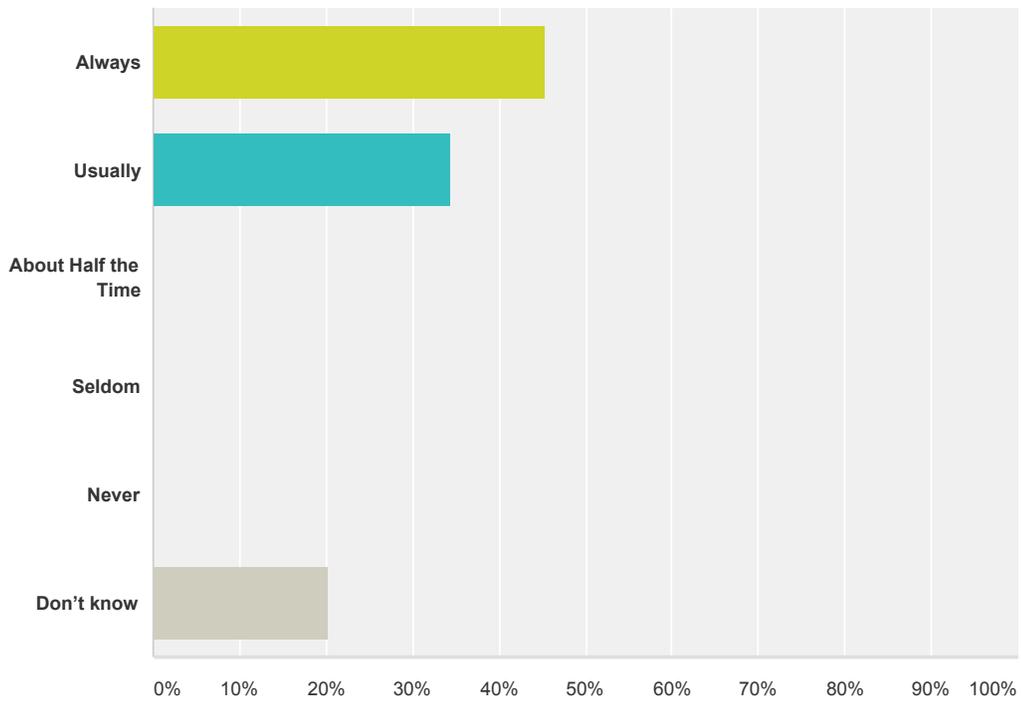
Answered: 87 Skipped: 13



Answer Choices	Responses	
Always	63.22%	55
Usually	31.03%	27
About Half the Time	1.15%	1
Seldom	0.00%	0
Never	0.00%	0
Don't know	4.60%	4
<b>Total</b>		<b>87</b>

### Mandate #4. Do you follow the Provider-Neutral mandate as described?

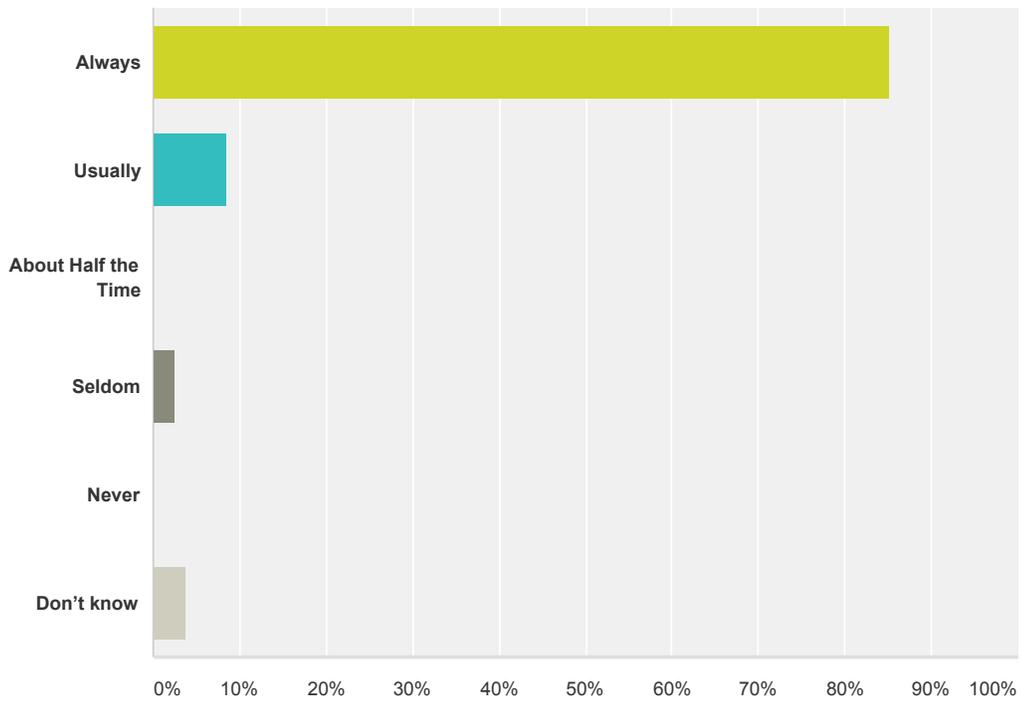
Answered: 84 Skipped: 16



Answer Choices	Responses	
Always	45.24%	38
Usually	34.52%	29
About Half the Time	0.00%	0
Seldom	0.00%	0
Never	0.00%	0
Don't know	20.24%	17
<b>Total</b>		<b>84</b>

### Mandate #5. Do you follow the Network Level Cataloging mandate as described?

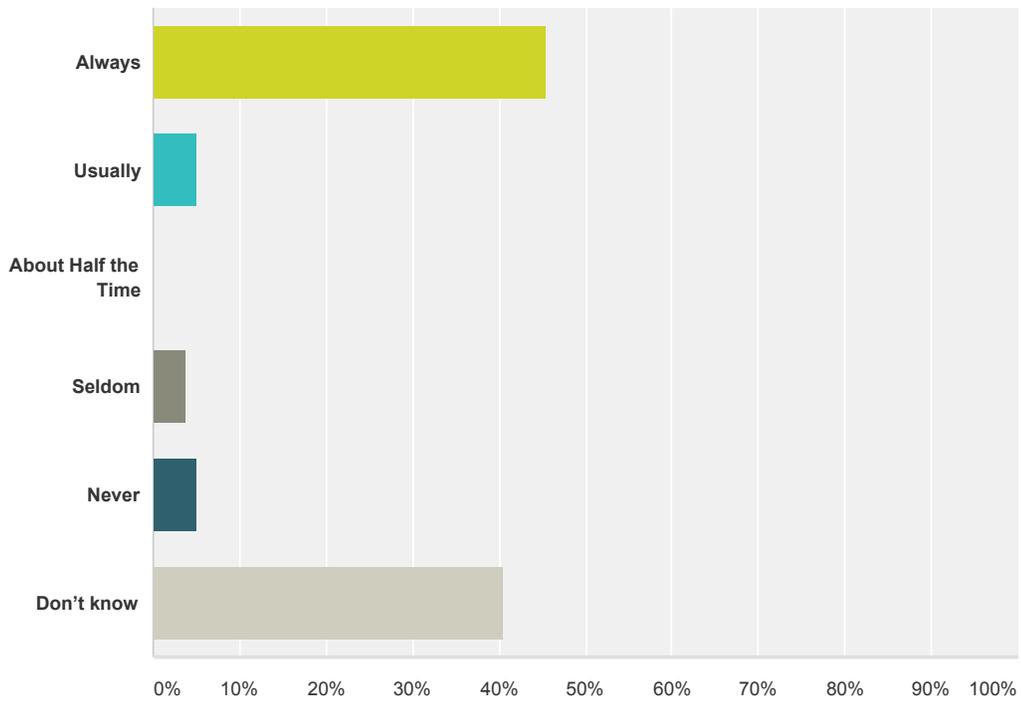
Answered: 81 Skipped: 19



Answer Choices	Responses	
Always	85.19%	69
Usually	8.64%	7
About Half the Time	0.00%	0
Seldom	2.47%	2
Never	0.00%	0
Don't know	3.70%	3
<b>Total</b>		<b>81</b>

### Mandate #6. Do you follow the Level of PCC Contribution mandate as described?

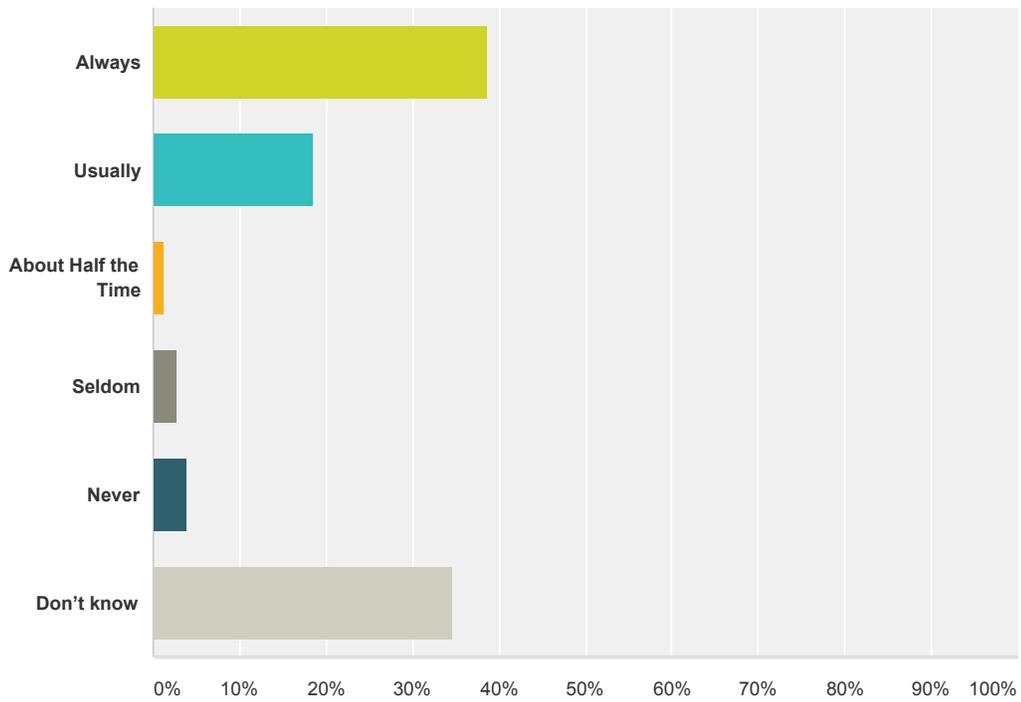
Answered: 79 Skipped: 21



Answer Choices	Responses	
Always	45.57%	36
Usually	5.06%	4
About Half the Time	0.00%	0
Seldom	3.80%	3
Never	5.06%	4
Don't know	40.51%	32
<b>Total</b>		<b>79</b>

### Mandate #7. Do you follow the Outsourcing mandate as described?

Answered: 75 Skipped: 25



Answer Choices	Responses	
Always	38.67%	29
Usually	18.67%	14
About Half the Time	1.33%	1
Seldom	2.67%	2
Never	4.00%	3
Don't know	34.67%	26
<b>Total</b>		<b>75</b>