

**CAIRNS Project recommendations for a cataloguing and indexing strategy for Scottish libraries**



CAIRNS Cataloguing and Indexing Working Group  
Glasgow  
2000

## **Executive summary**

### **Introduction**

Differences in cataloguing and indexing practice on the SCURL (Scottish Confederation of University and Research Libraries) servers affect the results presented by CAIRNS (Co-operative Academic Information Retrieval Network for Scotland). To investigate the action which could be taken by the SCURL libraries to improve CAIRNS search results, the CAIRNS Cataloguing and Indexing Working Group (CCIWG) was established in June 1999, with the approval of SCURL. Membership of the CCIWG consists of the senior cataloguer of each of the CAIRNS consortium sites, and of Edinburgh City Libraries and Information Services.

The adoption of a common standard for cataloguing and indexing in Scotland will enhance the interoperability of data in Scottish libraries, and help support the aim of SCURL to encourage greater collaboration between libraries in Scotland.

CAIRNS currently offers browse and keyword searches to author, title, subject and standard publisher number indices and, for this reason, the recommendations made by CAIRNS focus on searches to these indices.

### **Issues affecting the effectiveness of CAIRNS searches, and solutions proposed for solving these problems**

A number of mechanical and procedural changes to local practices have been identified, which would allow for improvements to search results provided by CAIRNS, within the timescale of the Project. Implementation of CAIRNS shorter term recommendations would direct CAIRNS searches to the most appropriate index for each site, to provide the best result, given current indexing and cataloguing practice, for an author, title and subject keyword or phrase search.

To properly meet the requirements of Scottish library users, more fundamental changes are required to cataloguing and indexing practice. These changes have also been outlined in the recommendations document, and include the retrospective standardisation of indexing and cataloguing practice, with reference to the Bath Profile\*.

To attract resources to allow the implementation of these standards requires long term planning and further collaboration between the Scottish Libraries, as follows:

- Support of the implementation of the cataloguing recommendations of the CAIRNS Project.
- Support of twice-yearly meetings of senior cataloguing staff of the CAIRNS consortium sites, and senior cataloguers of major public libraries in Scotland.
- Establishment of an email list to allow cataloguers in Scotland to raise and to resolve cataloguing issues.
- Support of the production of further cataloguing and indexing recommendations by the CCIWG.

- Support of forthcoming activities and project bids, which would help to achieve the aims of the document.
- Inclusion of the cataloguing and indexing recommendations in any future SHEFC/ SCURL plan for cataloguing /indexing retro-conversion.
- Inclusion of the cataloguing and indexing recommendations in any future acquisition of a library system by SCURL or CAIRNS consortium libraries.

CAIRNS will undertake the implementation of the shorter-term recommendations, within the lifetime of the CAIRNS Project (1998-2000). CAIRNS will also undertake to make further recommendations regarding the implementation of the longer term cataloguing and indexing recommendations.

\* The Bath Profile is an ISO Internationally Registered Profile (IRP) of the Z39.50 Information Retrieval Protocol, intended as a basis for effective interoperability between library and cross-domain applications. Conformance to this Profile's specifications will improve international or extranational search and retrieval among library catalogues, union catalogues, and other electronic resource discovery services worldwide.

## Shorter term solutions

Shorter-term recommendations are work-arounds, which CAIRNS can put in place, and mechanical and procedural changes to local practices, which can be achieved within the timescale of the CAIRNS project.

### 1. Author

#### Compliance with current cataloguing policy

- CAIRNS libraries should ensure compliance with their current stated cataloguing policy.

#### Format issue

- CAIRNS and libraries should ensure that the author indices at each site conform to the information provided in the CAIRNS help.

#### User help

- CAIRNS should provide on-screen examples of how a name should be entered to allow searching on CAIRNS.
- CAIRNS should provide help to users on the variant forms of surnames
- CAIRNS should provide help screens to specify the 'types' of names (for example: authors, editors, corporate names, etc.) included in the index to which author searches are directed for each target on CAIRNS.

### 2. Title

#### Compliance with current cataloguing policy

- CAIRNS libraries should ensure compliance with their current stated cataloguing policy.

#### Format issue

- CAIRNS and libraries should ensure that the title indices at each site conform to the information provided in the CAIRNS help.

#### User help

- CAIRNS should provide a help screen to describe what is mapped to the title index at each CAIRNS consortium site.
- CAIRNS and CAIRNS libraries should provide help to explain the impact of stop words, synonyms, etc. on CAIRNS searches.

### **3. Subject**

#### Compliance with current cataloguing policy

- CAIRNS libraries should ensure compliance with their current stated cataloguing policy.

#### Format issue

- CAIRNS and libraries should ensure that the subject indices at each site conform to the information provided in the CAIRNS help.

#### **User help**

- CAIRNS and the CAIRNS libraries should provide help information on how the variation in the subject index (subject authority list or subject scheme) of each target affects results presented to the user.

### **4. ISBN and ISSN numbers**

#### Compliance with current cataloguing policy

- CAIRNS libraries should ensure compliance with their current stated cataloguing policy.

#### Format issue

- CAIRNS and libraries should ensure that the ISBN indices at each site conform to the information provided in the CAIRNS help.
- ISBN numbers should be, where possible, recorded in normalised form (without spaces or punctuation, and with upper case X) by CAIRNS libraries in sub field A of UKMARC field 021 or in subfield A of USMARC field 020. If impossible, ISBN numbers should be recorded at the beginning of the ISBN field to allow the first ten characters to be indexed.
- CAIRNS libraries should provide an index from which ISBN numbers can be searched.
- Each CAIRNS library should ensure that they follow the accepted local policy of recording binding information in the record.

#### Multiple ISBNs

- CAIRNS libraries should distinguish between distinct items, where multiple ISBNs are recorded.
- To allow users to distinguish between multiple ISBNs in a record, repeats of subfields A and C of UKMARC field 021 and repeats of subfield A of USMARC field 020 should be displayed by CAIRNS.
- CAIRNS libraries should ensure that multi-item qualification information is recorded in the ISBN field in addition to the ten-digit number.

- Each CAIRNS library should ensure that multi-issue information is incorporated in the record, following the standards required by MARC and AACR2.

### Invalid ISBNs

- CAIRNS and CAIRNS libraries should agree on the circumstances in which invalid ISBNs should be recorded.
- Whenever possible, CAIRNS libraries should record invalid ISBNs in the UKMARC ISBN subfield z or in the USMARC subfield z. For libraries with computer systems which either cannot record more than one ISBN number (for example East Dunbartonshire's system), or cannot return invalid ISBNs (for example Edinburgh City Libraries system) the hardback or 'main' ISBN should be recorded for the item.
- CAIRNS and CAIRNS libraries should provide help for users searching on invalid ISBNs, to draw their attention to the fact that they might be searching for an invalid ISBN and to assist them with their search.

### Duplicate ISBNs

- Record displays of duplicate items should continue as users may wish to know the existence of all available items which meet their search criteria.

### User help

- CAIRNS, CAIRNS libraries and other local sites should provide help information to explain why and when ISBN searches might result in inaccurate results.

### Record display

- CAIRNS to include the 001 field within the record display until mapping issues are sorted out, because the 001 field includes ISBN numbers.

## 5. Serials

### User help

- User help should encourage a user to re-direct his search to the appropriate indices, if they receive a negative response.

## 6. Record display

### Information to be returned to the user

- CAIRNS to provide the option of access to a brief, full and MARC record for each item returned to the user.
- CAIRNS to optimise the content of full and brief records.
- CAIRNS to provide the location and status information for each holding, where possible.

## User help

- CAIRNS to provide help on the information contained within CAIRNS brief and full records. CAIRNS should also describe the additional information available from the MARC record.

## **7. Bath Profile**

Before further work is done in connection with the Bath Profile, it is necessary for the International Profile to include UKMARC.

## **8. Focus for further work on cataloguing and indexing issues in Scotland**

- The CCIG should meet at six monthly intervals.
- A Scottish Cataloguing and Indexing Issues Group email list should be established, to allow issues and proposed local changes in cataloguing and indexing practices to be discussed.
- Further discussion of the content of holdings is required, including specific issues associated with serials, multi-part items and electronic materials.

## Longer term solutions:

Longer term solutions include recommendations for the standardisation of indexing and cataloguing practice which would require the collaboration of Scottish libraries to attract resources over an extended period to allow the implementation of these standards.

### 1. Author

#### Format issue

- A future service should agree the content of a standard author index and each library should provide such an index.
- In a future service, each CAIRNS library should provide a separate author keyword index in conformance with the Bath Profile.

#### SCAN function

- A future service should investigate the implementation of the SCAN function in conjunction with suppliers.

#### Authority file

- A future service should carry out a feasibility study into the technical and professional implications of providing a centrally located, Scottish authority file for names, compliant with AACR2.

#### Research into user interrogation of the data

- A future service should seek to carry out research on user approaches to searches for names.

### 2. Title

#### Format issue

- In a future service, each library should provide the following two indices:

##### 1/ A title alpha index

(The title alpha index would follow the AACR2 definitions and rules on title entries, with the addition of subtitles. It would consist of the title proper; subtitles; alternative titles; added titles; related titles; uniform titles; series titles).

##### 2/ A title keyword index, directed to the same data as the title alpha index.

- A future service should research the use of notes fields carrying title keyword type information.

### **3. Subject**

#### Format issue

- In a future service each library should provide a separate subject keyword index.

#### Authority file

- A future service should adopt a single scheme or authority list.

### **4. ISBN and ISSN numbers**

#### Format issue

- Keyword searching at the National Library of Scotland and at Edinburgh will ensure that a 10-character ISBN number can be found. However, this is unacceptable as a long-term solution as it is non-compliant with the Bath Profile. A future service should find an alternative, longer-term solution to this problem.
- A future service should index ISSN numbers separately from ISBN numbers.
- A future service should convert SBN numbers to ISBN numbers.
- CAIRNS libraries should ensure the retrospective conversion to uppercase X for ISBN and ISSN numbers.
- A future service should apply retro-conversion to normalise ISBN numbers, for example to remove hyphens and spaces.
- A future service should ensure that binding qualifiers and multi-item qualifiers are the only qualifiers included in the record.

#### Multiple ISBNs

- A future service should supply, in the appropriate ISBN sub-fields, any missing ISBN numbers and multi-item and binding qualifiers required for display purposes.

#### Invalid ISBNs

- Invalid ISBNs meeting the criteria agreed by the CAIRNS Cataloguing and Indexing Working Group should be included in the ISBN index.

#### Duplicate ISBNs

De-duplication should be made available to the user as a non-default option.

### **5. Serials**

A future service should adopt a standard definition of serials and their cataloguing requirements.

## **6. Keyword searching**

Each library should provide:

- a separate subject keyword index
- a separate title keyword index
- a separate author keyword index
- a general keyword index

## **7. Record display**

- A future service should carry out research into the information which should be displayed within a brief and full record. All information available from a CAIRNS search should be included in the full record display.
- Libraries should ask suppliers to develop Zservers to allow holdings level information, including location and status, to be returned in searches, where such facilities are not currently available.

**Terminology used in this document:**

<b>Term:</b>	<b>How this term is used:</b>
Record	The bibliographic record
Item	Components of the thing that has been catalogued
Holdings	Copies of items catalogued in the record
ISBN	International Standard Book Number (unique identifier for individual publications)
ISSN	International Standard Serial Number (unique identifier for serial publications)
UKMARC	United Kingdom Machine Readable Cataloguing
USMARC	United States Machine Readable Cataloguing
AACR2	Anglo-American Cataloguing Rules, second edition