Harvard University Library

Bibliographic Standards

revised for terminology and standards update,
July 2006

Prepared by the
HOLLIS/Aleph Steering Committee's
Standing Subcommittee on Bibliographic Standards and Policy
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Bibliographic Standards

1 Why Bibliographic Standards for Harvard Libraries?

1.1 **Purpose.** Recognizing that standardization is essential for a shared bibliographic database, this document defines the standards to be followed by all units in contributing machine-readable records to the HOLLIS Catalog.

1.2 **Decentralization and HUL Bibliographic Specialists.** A variety of Harvard units with different needs and expectations create and maintain the data of the HOLLIS Catalog in a decentralized environment. Within the limits of the bibliographic standard, each library determines the appropriate level of cataloging for its own materials. HUL bibliographic specialists with special responsibilities for data interpretation and maintenance provide central bibliographic support to contributing units. A list of HUL bibliographic specialists is given in Section 10.

1.3 **Currency.** The national standards and local policies prescribed in this document are subject to revision and change. As they change and as new standards and policies emerge, all will be systematically evaluated by HUL bibliographic specialists in consultation with groups responsible for advising on bibliographic standards.

The Standing Subcommittee on Bibliographic Standards and Policy is responsible for revising and maintaining *Bibliographic Standards*.

1.4 **Implementation.** Standards must be applied as written. That is, record creators are not allowed to redefine or manipulate fields and coding to suit their own purposes or needs. When in doubt as to the scope or meaning of any standard used by HUL, consult the appropriate HUL bibliographic specialists.

1.5 **Limitations.** The document covers the major areas for which standards are required. We do not intend it to be a working manual, and we recommend that the necessary expansion, detailed instruction, examples and subsidiary decisions be developed by bibliographic specialists in the Harvard University Library.

2 What is the HOLLIS Catalog?

2.1 **The HOLLIS Catalog Defined.** The HOLLIS Catalog contains bibliographic and associated holdings data for materials held by Harvard libraries or materials on order or in process for Harvard libraries. Authority files are associated with the HOLLIS Catalog.

2.2 **Application of Standards.** The standards prescribed in this document apply to records contained in the HOLLIS Catalog. Any records added to HOLLIS/Aleph
from other sources (e.g., OCLC, RLIN or vendors) must meet the data standards of the HOLLIS Catalog.

3 General Rules for Bibliographic Records

3.1 Single Bibliographic Record for Multiple Versions versus Separate Bibliographic Records

Harvard libraries generally follow a single record approach for multiple versions. Under this policy, information describing various kinds of reproductions and electronic versions of a work is included in holdings records that are attached to the bibliographic record for the original (usually print) title.

Harvard applies the following guidelines to all formats:

- The single-record approach is used when the original and a reproduction have equivalent content or when a reproduction has no significant additional content.

- Separate records are used when a reproduction has significant additional content not present in the original. The choice of the separate record approach means that the versions (original and reproduction) are not considered equivalent and the differences are significant to users. The separate record approach, for example, is used for “reprints” issued by different publishers.

3.2 Shared Responsibility for Maintenance. The responsibility for maintaining the database is shared by all Harvard libraries contributing to HOLLIS/Aleph and the HUL Office for Information Systems.

3.3 National Cataloging Standards. Libraries contributing records to HOLLIS/Aleph must follow national cataloging standards as prescribed in this standard and implemented in the HOLLIS Catalog. The basic documents and their updates include:

- *Anglo-American Cataloguing Rules* in its current edition with revisions¹ as currently implemented by the Library of Congress in the preparation of MARC records including decisions in *Library of Congress Rule Interpretations* (LCRI),
- *Library of Congress Subject Headings* (LCSH),
- Library of Congress, Office for Subject Cataloging Policy’s *Subject Cataloging Manual: Subject Headings*,
- *Medical Subject Headings* (MeSH) from the National Library of Medicine (NLM), and

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¹ When reference is required to the *Anglo-American Cataloguing Rules, 2nd ed., 1998*, it is identified in this document as AACR2.
guidelines, manuals and documentation issued by OCLC, RLG and the HUL Office for Information Systems.

3.4 Bibliographic Records Created or Claimed. Bibliographic records are created directly in HOLLIS/Aleph or taken from the databases of other agencies, primarily the Library of Congress, OCLC or RLIN.

3.5 Utilities and National Agencies. Requirements of the bibliographic utilities and the national libraries may vary. Units must meet both U.S. national and HUL standards. Units should also meet utility standards (cf. 3.11.1.1) when they are not in conflict with U.S. national and HUL standards.

3.6 HUL Minimum Data Requirements

3.6.1 HUL minimum data requirements for the HOLLIS Catalog are defined to ensure access to material in Harvard collections and to material on order or in process, and to prevent entry of duplicate records in the HOLLIS Catalog.

The Encoding Level value in each MARC 21 bibliographic record describes the fullness of bibliographic information and/or content designation of the bibliographic record. For data elements required and recommended for Harvard records consult the description of Encoding Level values below at Section 6.

3.6.2 When the title proper is the main entry, a name access point is required if applicable. Notes and other access points may be added as needed.

3.7 Content Designation. Content designation is in conformity with the most current version of the MARC 21 Format for Bibliographic Data; HUL decisions about field definition, usage and coding are to be followed.

3.8 Enrichment. Any authority or bibliographic record may be enriched by access points that are not required by usual practice. Elements added in enrichment must be established in conformity with this bibliographic standard and are accessible to all users of the HOLLIS Catalog. Copy-specific and local information must be coded as pertaining to a unit’s holding, not to the general bibliographic description.

3.9 Editing. Information, such as classification numbers, names and subject entries, should not be deleted from a record, because such information provides the user alternative access to the record. Only redundant or erroneous data may be deleted.

3.10 Duplicate Records

3.10.1 Duplicate records for a work are not allowed. There may, however, be records for the different bibliographic aspects of a work. That is, a monograph may be treated as a single work or as part of a monographic series or multipart monograph, or as
both, but there can be only one bibliographic record for the monograph under any one aspect.

When a CONSER serial record is in HOLLIS/Aleph, that serial record is to be preferred.

3.10.2 A new HOLLIS/Aleph record must be created under circumstances specified by the Anglo-American Cataloguing Rules in its current edition with revisions as currently implemented by the Library of Congress in the preparation of MARC record and by the requirements of the utility used. Typically a new record for monographic materials is created in HOLLIS/Aleph when differences occur in one or more of the following areas on an existing HOLLIS Catalog record:

- Title proper
- Edition statement
- Publisher
- Date of publication
- Series

3.11 Originals and Reproductions

3.11.1 General

3.11.1.1 A reproduction is cataloged in the HOLLIS Catalog on the record for the original (cf. 3.1). Information about the physical characteristics of the reproduction is stored in the holdings record. Any record produced in collaboration with an external agency must conform to the requirements of the agency, and so in practice separate records may be created describing the original and the reproduction versions. In the HOLLIS Catalog these records should be merged, and all versions should appear on a single bibliographic record.

3.11.1.2 When no record exists in the HOLLIS Catalog for the original, a cataloging unit has the option of creating or claiming a record from a utility (either for the original or the reproduction) for the title. When a unit cataloging the original encounters only a reproduction bibliographic record in the HOLLIS Catalog, the unit should modify the reproduction record to describe the original.

3.11.2 Microforms and Photocopies

3.11.2.1 A microform reproduction or photocopy is cataloged in the HOLLIS Catalog on the record for the original. Information about the physical characteristics of the microform or photocopy is stored in the holdings record.

3.11.2.2 A unit reporting a microform reproduction to a utility should code the version-specific fixed field information in subfield |7 of field 843 of the holdings record to allow for computer programs to create a separate microform record for export.
3.11.2.3 An item published only in microformat is described as a microform original.

3.11.3 Electronic Publications

3.11.3.1 An electronic reproduction is cataloged in the HOLLIS Catalog on the record for the original. Information about the physical characteristics of the electronic version is stored in the holdings record.

3.11.3.2 A unit reporting an electronic reproduction to a utility should code the version-specific fixed field information in subfield 7 of field 843 of the holdings record to allow for computer programs to create a separate record for the electronic version for export.

3.11.3.3 An item published only in electronic form (i.e., “born digital”) is described as an electronic original using the appropriate MARC 21 bibliographic format (see for example the title salon.com in the MARC 21 serials format).

Note that the MARC 21 computer file format is limited to use only for certain types of electronic files (cf. MARC 21 Format for Bibliographic Data, Leader, Byte 06 - Type of Record, m - Computer file).

3.11.3.4 Some electronic publications do not convey if they are originals, reproductions or versions of other publications. In case of doubt, treat the publication as an original electronic publication.

3.11.4 Other Reproductions. Use the instructions above in Section 3 to guide cataloging decisions for other types of reproductions.

3.12 Foreign Language Bibliographic Records. As an exception to the requirement in 3.3 above of following the Anglo-American Cataloguing Rules (AACR) in its current edition, foreign language bibliographic records may be brought into HOLLIS without changing to English the language of the descriptive cataloging (for example, the language of the physical description or of non-quoted notes), although English language cataloging is preferred. In all cases, descriptive access points must be formulated according to AACR; subject heading practice must correspond with the requirements of encoding levels used; and subject added entries in foreign languages must be coded to specify the subject heading system, thesaurus, or authority file used to assign them. For more details about treatment of foreign language bibliographic records at Harvard, consult documentation on the Subcommittee’s website.

3.13 **Local Conversion Projects.** Units undertaking projects to convert records locally or to batchload records must consult the Bibliographic Analyst, Office for Information Systems.

3.14 **Outsourcing.** Units entering into contract cataloging (e.g., OCLC Techpro) and/or batchloading of records (e.g., MARCADIA records, vendor records) must consult the Bibliographic Analyst, Office for Information Systems.

4 **Creating Access Points in Bibliographic Records**

4.1 **Choice of Entry and Access Points**

4.1.1 In original cataloging the choice of access points, including the main entry, follows the provisions of the *Anglo-American Cataloguing Rules* in its current edition including revisions as currently implemented by the Library of Congress in the preparation of MARC records.

4.1.2 Each unit may determine whether to analyze a work (cf. 3.10).

4.1.3 Each unit may determine its own policies for series treatment (collected set or monographs classified separately).

4.1.4 In current serials cataloging, the requirements of the CONSER program must be followed.

4.1.5 Choice of main entry on Library of Congress records need not be changed to conform to the *Anglo-American Cataloguing Rules* in its current edition including revisions as currently implemented by the Library of Congress in the preparation of MARC records.

Utility records from contributing/member libraries should be evaluated carefully when entry choices do not follow the *Anglo-American Cataloguing Rules* in its current edition including revisions as currently implemented by the Library of Congress in the preparation of MARC records.

4.2 **Form of Entry**

4.2.1 The form of entry used in original cataloging is based on the *Anglo-American Cataloguing Rules* in its current edition including revisions as currently implemented by the Library of Congress in the preparation of MARC records.

4.2.2 The preferred form of heading for an entity is the current LC/AACR2 form as it appears in the LC Names file. ³

³ The Library of Congress Names file and Library of Congress Subject Headings (LCSH) are available on OCLC and RLIN.

The Library of Congress Names file includes records for personal, corporate and conference...
4.2.3 If no established LC/AACR2 form is available in the LC Names file, a unit must use the heading already established in the HOLLIS Catalog, unless the utility of which the unit is a member requires the construction of an AACR2 form of entry. If the AACR2 form introduces a conflict in the HOLLIS Catalog, the unit is responsible for correcting as many occurrences of the heading as it can and before notifying Database Management, Harvard College Library Technical Services, or the Chief Subject Specialist, Harvard College Library Technical Services, as appropriate, to change those it cannot.

4.2.4 An LC form established before the implementation of AACR2 may be considered for use when there is no variant form of heading for the entity established in the HOLLIS Catalog. It is preferred that a valid AACR2 form be used.

4.3 Uniform Titles. A unit must use a uniform title as main entry when appropriate. A unit must use a uniform title under a personal or corporate heading when appropriate. In either instance, the unit should supply an authority record with appropriate references (cf. Section 7, below).

4.4 Subject Headings

4.4.1 A unit must consult with HUL bibliographic specialists about its subject heading practice. A unit may choose to use either Library of Congress Subject Headings (LCSH) or Medical Subject Headings (MeSH) but not both. Local additions and variations should be handled in agreement with the provisions of Sections 4.4.2-4.4.5 below, or a unit may choose to use a locally selected thesaurus; it may not do both.

4.4.2 Units choosing to assign LC topical subject headings must follow the current edition of Library of Congress Subject Headings (LCSH). If additional subject headings are required, they may be proposed through the Subject Authority Cooperative Program (SACO) via the Chief Subject Specialist, Harvard College Library Technical Services.

4.4.3 A unit choosing to assign MeSH headings must follow the latest medical subject headings published in Medical Subject Headings: Annotated Alphabetic List. A unit may create an additional MeSH-like heading only if its local subject heading meets three conditions: it is constructed in conformity with patterns established for MeSH headings, it augments MeSH, and it does not conflict with MeSH.
4.4.4 If a unit elects to assign any local subject headings that conflict with LCSH or MeSH terminology and are not taken from an approved thesaurus, the headings must be tagged as local.

4.4.5 Additional information about Harvard subject heading practice is available on the web site of the Standing Subcommittee on Bibliographic Standards and Policy.

4.5 Classification and Call Numbers. A unit may determine whether and how to classify its material.

4.6 Other Access Points

4.6.1 Form/Genre Headings (MARC 21 field 655). To increase successful retrieval of all appropriate materials by form/genre, the cataloger must supply a 655 field whenever material in a designated format or genre is cataloged. Instructions on the use of form/genre terms are found in documentation on the web site of the Standing Subcommittee on Bibliographic Standards and Policy.

4.6.2 Hierarchical Place Name (MARC 21 field 752). Guidance for the construction of headings and the creation of authority records is found in documentation on the web site of the Standing Subcommittee on Bibliographic Standards and Policy.

5 Bibliographic Description

5.1 Original bibliographic description follows the provisions of the Anglo-American Cataloguing Rules in its current edition including revisions as currently implemented by LC in the preparation of MARC records. Some groups of specialists, such as archivists and map librarians, have also agreed to follow manuals of policy and practice specifically adapted to their needs.

5.1.1 For archival materials:


5.1.2 For graphic materials:


5.1.3 For cartographic materials:

Cartographic Materials: A Manual of Interpretation for AACR2, 2002 revision, prepared by the Anglo-American Cataloguing Committee for Cartographic


5.1.4 For moving images:

5.1.5 For rare books:

Library of Congress. Descriptive Cataloging of Rare Books. 2nd ed.
1991. Undergoing revision 2003-

5.1.6 For serials:

of Congress, Cataloging Distribution Service, 2002—

CONSER Editing Guide, Prepared by Staff of the Serial Record Division under
the Direction of the CONSER Operations Coordinator. 1994 ed.
Washington : The Division : Distributed by the Library of Congress,

5.2 Romanization. Romanization is according to the tables used by the Library of
Congress.4 Input of characters in HOLLIS/Aleph is described in the Guide to the
Aleph Floating Keyboard and Guide to Unicode Values for Direct Input into
Aleph.5

6 Encoding Level Values in Bibliographic Records in HOLLIS/Aleph

The Encoding Level value in each MARC 21 bibliographic record describes the
fullness of bibliographic information and/or content designation of the bibliographic
record. Encoding Level is a one-character alphanumeric code defined in Leader
byte 17 by the MARC 21 Format for Bibliographic Data.

6.1 Rank Order: MARC 21 Encoding Level Values and OCLC Encoding Level
Values used in HOLLIS/Aleph

In the table that follows, Encoding Level values are listed in rank order. Encoding
Level = blank (Full) is the highest encoding level, the next highest value is
Encoding Level = 1 (Full Level, material not examined), the third highest level is
Encoding Level = 4 (Core level), etc.

4. Available in print as: ALA-LC Romanization Tables: Transliteration Schemes for non-Roman
are published in the Library of Congress Cataloging Service Bulletin. The tables are also available
through the LC Cataloging Policy and Support Office web site:
http://lcweb.loc.gov/catdir/cpso/roman.html

5. Available in print booklet from HUL Office for Information Systems. Also available on the
Harvard Aleph documentation web site.
Table 1
Encoding Level Values Arranged by Rank Order

<table>
<thead>
<tr>
<th>Encoding Level Value Ordered High to Low</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Valid Encoding Level Values</td>
<td></td>
</tr>
<tr>
<td>Full</td>
<td></td>
</tr>
<tr>
<td>Full level, material not examined</td>
<td></td>
</tr>
<tr>
<td>Core level</td>
<td></td>
</tr>
<tr>
<td>OCLC: Full level input by OCLC participant</td>
<td></td>
</tr>
<tr>
<td>Minimal level</td>
<td></td>
</tr>
<tr>
<td>OCLC: Less-than-full input by OCLC participant</td>
<td></td>
</tr>
<tr>
<td>OCLC: Full-level input added from a batch process</td>
<td></td>
</tr>
<tr>
<td>Prepublication level</td>
<td></td>
</tr>
<tr>
<td>Less-than-full level, material not examined</td>
<td></td>
</tr>
<tr>
<td>OCLC: Less-than-full added from a batch process</td>
<td></td>
</tr>
<tr>
<td>Abbreviated level</td>
<td></td>
</tr>
<tr>
<td>Partial (preliminary) level</td>
<td></td>
</tr>
<tr>
<td>No longer used at Harvard, but found in older Harvard records</td>
<td></td>
</tr>
<tr>
<td>Unknown [No longer used at Harvard]</td>
<td></td>
</tr>
<tr>
<td>HUL composite [No longer used at Harvard]</td>
<td></td>
</tr>
<tr>
<td>Not applicable [No longer used except for archival material]</td>
<td></td>
</tr>
<tr>
<td>Invalid Encoding Level Values</td>
<td></td>
</tr>
<tr>
<td>OCLC: System-identified error in batchloaded record</td>
<td></td>
</tr>
<tr>
<td>OCLC: Deleted record</td>
<td></td>
</tr>
</tbody>
</table>

6.2 Definitions: MARC 21 Encoding Level Values and OCLC Encoding Level Values used in HOLLIS/Aleph

A discussion of each Encoding Level value follows; unless otherwise indicated the definitions are as in the MARC 21 Format for Bibliographic Data. The codes are

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6. When records with encoding level values of E and J are brought into HOLLIS/Aleph from OCLC, catalogers are responsible for changing these values to a valid MARC 21 value.
discussed as follows, 0-9, alphabetic codes. (Note that the order of discussion is not the same as the rank order presented in the table in 6.1.)

6.2.1 Encoding Level: Blank - Full Level

Code value blank indicates the most complete MARC record. The information used in creating the record is derived from an inspection of the physical item. For serials, at least one issue of the serial is inspected.

_HUL policy for records at Encoding Level = blank_

- Encoding Level = blank records must satisfy the standards of full or complete cataloging as defined by MARC 21 and implemented by HUL and as implemented by OCLC or RLIN in their documentation of input standards.

- _Data Element Set._ Encoding Level = blank requires full or complete cataloging as defined by MARC 21 and implemented by OCLC or RLIN.

6.2.2 Encoding Level: 1 - Full level, material not examined

Code value 1 indicates the next most complete MARC record after the full level. The information used in creating the record is derived from an extant description of the item (e.g., a printed catalog card or a description in an institutional guide). All the information as found on the extant description is input; the physical item, however, is not reinspected. This means that certain control field coding and other data (e.g., field 043 (Geographic Area Code)) are based only on explicit information found in the description.

_HUL policy for records at Encoding Level = 1_

Do not use; prefer input at Encoding Level = blank

6.2.3 Encoding Level: 2 - Less-than-full level, material not examined

Code value 2 indicates a less-than-full level record (i.e., a record that falls between minimal level and full) created from an extant description of the material (e.g., a printed catalog card) without reinspection of the physical item. All the descriptive access points as found on the extant description have been transcribed; the authoritative headings, however, may not necessarily be current. Code value 2 would be used, for example, when only a subset of data elements is transcribed from a catalog card during retrospective conversion to the MARC format.

_HUL policy for records at Encoding Level = 2_
- Encoding Level = 2 is appropriate for records for materials for which full catalog records exist only in manual form and for which an abbreviated machine-readable record is desired.

- **Form of Entry.** When creating a record, a unit must search an entry to be used as an access point in the HOLLIS Catalog. If no authority record is found, the form found on catalog records is preferred to the form used on acquisition records. Otherwise, the form of entry is based on the form found on the material in hand.

- **Bibliographic Description.** Bibliographic description is based on the record in hand and may reflect ALA, AACR or local descriptive practices.

- **HUL Mandatory Minimum Data Element Set.** The HUL mandatory minimum data element set is:

  Leader: Encoding level
  Fixed fields: Language code
  Place of publication, production, or execution
  Publication date (date type and date 1)
  Variable fields: Title
  Access point, if available

- **Additional Data Elements, Required if Available.** Additional data elements that are required if available are: Library of Congress Control Number; ISBN, ISSN or other standard number; imprint (place, publisher and date).

- **Additional Data Elements, Required if Applicable.** When the title proper is the main entry, a name access point is required if applicable. Notes and other access points may be added as needed.
6.2.4 Encoding Level: 3 - Abbreviated level

Code value 3 indicates a brief record that does not meet minimal level cataloging specifications. Headings in the records may reflect established forms to the extent that such forms were available at the time the record was created.

*HUL policy for records at Encoding Level = 3*

- **HUL Mandatory Minimum Data Element Set.** The HUL mandatory minimum data element set is:
  
  | Leader:          | Encoding level |
  | Fixed fields:    | Language code  |
  |                  | Place of publication, production, or execution |
  |                  | Publication date (date type and date 1) |
  | Variable fields: | Title          |
  |                  | Access point, if available |

- **Additional Data Elements, Required if Available.** Additional data elements that are required if available are: Library of Congress Control Number; ISBN, ISSN or other standard number; imprint (place, publisher and date).

- **Additional Data Elements, Required if Applicable.** When the title proper is the main entry, a name access point is required if applicable. Notes and other access points may be added as needed.

6.2.5 Encoding Level: 4 - Core level

Code value 4 indicates a less-than-full but greater-than-minimal level cataloging record that meets core record standards for completeness.

*HUL policy for records at Encoding Level = 4*

- Follow the Program for Cooperative Cataloging’s standards for core-level records. 7

6.2.6 Encoding Level: 5 - Partial (preliminary) level

Code value 5 indicates a preliminary cataloging level record that is in the process of being created. Such a record is not considered a final record by the creating agency. No assumption can be made as to whether headings in the record reflect established forms or whether the record meets any minimal level cataloging specifications.

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HUL policy for records at Encoding Level = 5

- Encoding Level 5 records are appropriate for:
  
  - Records for materials on order or received, but not yet cataloged.
  
  - Some CONSER records that have come into HOLLIS/Aleph from OCLC.

On LC serial records, this level identifies a record containing full LC descriptive cataloging information but lacking an LC call number ("IN PROCESS" appears in the 050), LC subject headings and other subject-related fields (e.g., 043). LC changes the value 5 to the value blank when it supplies these fields to the record. Harvard cannot change these encoding-level values.

NLC partial serial records contain all information normally provided in a full catalog record, including LC class numbers and full Dewey class numbers, but excluding subject headings. Call numbers are assigned to non-government serials other than periodicals. Use of the value 5 on NLC records was discontinued after 1996. Harvard cannot change these encoding-level values.

Even though LC may not have added call numbers/subject headings (or, in the case of NLC, subject headings), a CONSER library may have.

- **Form of Entry.** When creating a record, a unit must search an entry to be used as an access point in the HOLLIS catalog. If no authority record is found, the form found on catalog records is preferred to the form used on acquisition records. Otherwise, the form of entry is based on the form found on the material in hand.

- **Bibliographic Description.** Bibliographic description is based on the International Standard Bibliographic Description (ISBD).

- **HUL Mandatory Minimum Data Element Set.** The HUL mandatory minimum data element set is:

  Leader: Encoding level
  
  Fixed fields: Language code
  
  Place of publication, production, or execution
  Publication date (date type and date 1)

  Variable fields: Title
  Access point, if available
- **Additional Data Elements, Required if Available.** Additional data elements that are required if available are: Library of Congress Control Number; ISBN, ISSN or other standard number; imprint (place, publisher and date).

- **Additional Data Elements, Required if Applicable.** When the title proper is the main entry, a name access point is required if applicable. Notes and other access points may be added as needed.

### 6.2.7 Encoding Level: 7 - Minimal level

Code value 7 indicates a minimal level cataloging record that meets the U.S. National Level Bibliographic Record minimal level cataloging specifications.\(^8\) Such a record is considered a final record by the creating agency. Any headings have been checked against an authority file and reflect established forms to the extent that such forms were available at the time the minimal level record was created.

**HUL policy for records at Encoding Level = 7**

- Encoding Level = 7 records must satisfy the requirements for less-than-full or minimal-level cataloging as defined by MARC 21\(^9\) and implemented by HUL, and by OCLC\(^9\) or RLIN in the standards the utility defines for input.

- **Minimal level cataloging.** Minimal level records satisfying national standards may be input as Encoding Level = 7 records in HOLLIS/Aleph. Each library shall determine which of its materials are appropriate for this treatment.

These records must include any elements required by OCLC or RLIN for minimal level cataloging. The requirements of both utilities are based on the U.S. National Level Bibliographic Record specifications.

OCLC requirements are described in *Bibliographic Formats and Standards*, in its current edition, Section 2.4, and include a list of appropriate uses for this level of cataloging.\(^{10}\) RLIN simply instructs libraries to follow the National Level requirements as prepared by the Library of Congress.

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9. The current edition of *OCLC Input Tables* is available on the OCLC web site at: http://www.oclc.org/bibformats/tables/default.htm

10. The current edition of OCLC’s *Bibliographic Formats and Standards* is available on the OCLC web site at: http://www.oclc.org/bibformats/default.htm
- Headings should be consistent with national standards and with existing headings in the HOLLIS Catalog. Authority records are encouraged but not required.

6.2.8 **Encoding Level: 8 - Prepublication level**

Code value 8 indicates a prepublication level record. This includes records created in cataloging in publication programs.

*HUL policy for records at Encoding Level = 8*

- Encoding Level = 8 may be present in records brought into HOLLIS/Aleph from the utilities, etc. When the title is cataloged, necessary corrections and additions should be made, and the Encoding Level should be changed to an appropriate value.
- Encoding Level = 8 is not used when creating records in HOLLIS/Aleph.

6.2.9 **Encoding Level: E - OCLC system-identified error in batchloaded record**

Code value E is an OCLC-defined value.

OCLC assigns Code value E to indicate that OCLC programs detected MARC error(s) in the bibliographic record during batchloading into OCLC. These system-detected errors are often obvious (e.g., an illegal tag, invalid subfield codes). OCLC participants cannot change Code value E. Before using an E-level record on OCLC, OCLC participants are to correct any errors apparent in the record. OCLC reviews and corrects Code value E records; corrected records have the appropriate Code value.

*HUL policy for records at Encoding Level = E*

- Encoding Level = E is not valid in HOLLIS/Aleph.
- Records with Encoding Level = E should not be brought into HOLLIS/Aleph from OCLC. Should such a record be brought in, it is the responsibility of the unit bringing in the record to correct the Encoding Level to a valid value.

6.2.10 **Encoding Level: I - Full-level input by OCLC participant**

Code value I is an OCLC-defined value.

An OCLC participant assigns Code level I to a record that conforms to OCLC's level I input standard. The level I input standard represents full cataloging. OCLC participants use level I when transcribing LC or NLM copy.

*HUL policy for records at Encoding Level = I*
- Encoding Level = I is valid in HOLLIS/Aleph.
  - When the title is cataloged, necessary corrections and additions should be made and the Encoding Level value may be changed if appropriate.

6.2.11 **Encoding Level: J - OCLC Deleted record**

Code value J is an OCLC-defined value.

The OCLC record has been deleted by the institution that created it. The code is used only for special cases of batchloaded records for selected files, such as those from national libraries (Library of Congress, National Library of Medicine, British Library, etc.) and some files loaded as resources for cataloging (NetFirst, Puvill, etc.).

**HUL policy for records at Encoding Level = J**

- Encoding Level = J is not valid in HOLLIS/Aleph.
- Records with Encoding Level = J should not be brought into HOLLIS/Aleph from OCLC. Should such a record be brought in, it is the responsibility of the unit bringing in the record to correct the Encoding Level to a valid value.

6.2.12 **Encoding Level: K - Less-than-full input by OCLC participant**

Code value K is an OCLC-defined value.

An OCLC participant assigns Code level K to a record that conforms to OCLC’s level K input standard. The level K input standard represents less-than-full cataloging.

**HUL policy for records at Encoding Level = K**

- Encoding Level = K is valid in HOLLIS/Aleph.
- When the title is cataloged in HOLLIS/Aleph, necessary corrections and additions should be made and the Encoding Level value should be changed if appropriate.

6.2.13 **Encoding Level: L - Full-level input added from an OCLC batch process**

Code value L is an OCLC-defined value.

OCLC assigns Code value L to a full-level record batchloaded from an institution other than Library of Congress, National Library of Medicine, British Library, National Library of Canada or National Library of Australia.

**HUL policy for records at Encoding Level = L**
- Encoding Level = L is valid in HOLLIS/Aleph.
- When the title is cataloged in HOLLIS/Aleph, the Encoding Level value may be changed if appropriate.

6.2.14 Encoding Level: M - Less-than-full added from an OCLC batch process

Code value M is an OCLC-defined value.

OCLC assigns Code value M to a less-than-full record batchloaded from institutions other than Library of Congress, National Library of Medicine, British Library, National Library of Canada or National Library of Australia.

_HUL policy for records at Encoding Level = M_

- Encoding Level = M is valid in HOLLIS/Aleph.
- When the title is cataloged in HOLLIS/Aleph, necessary corrections and additions should be made and the Encoding Level value should be changed if appropriate.

6.2.15 Encoding Level: u - Unknown

Code value u identifies a situation where an institution receiving or sending data having a local code in Leader/17 cannot adequately determine the appropriate encoding level of the record. Code value u thus replaces the local code. Code value u is not to be used in records being newly input or updated.

_HUL policy for records at Encoding Level = u_

**Harvard practice:** The value u is no longer used at Harvard. It was added to certain records during an early system migration.

6.2.16 Encoding Level: x - HUL composite

Code value x is a Harvard-defined value.

The Harvard-defined Code value x was defined for the Distributed Union Catalog (DUC) and continues to appear in some HOLLIS/Aleph records.

_HUL policy for records at Encoding Level = x_

Encoding Level = x is no longer used. Records found with the value should be changed to the appropriate, valid code value.
6.2.17 Encoding Level: z - Not applicable

Code value z indicates that the concept of encoding level does not apply to the record.

_HUL policy for records at Encoding Level = z_

Code value z is no longer used except for archival material.

7 Authority Records

7.1 Role in The HOLLIS Catalog. Authority records provide the established forms of names, series, uniform titles (whether used alone or in author/title combination) and subjects used in bibliographic records. Authority records should be present in HOLLIS/Aleph when references or informational notes need to be displayed in the HOLLIS Catalog. Authority records should also be present in HOLLIS/Aleph to record local series decisions.

7.1.1 Required. Authority records are required for headings used in Encoding Level = blank (Full) or Encoding Level = 4 (Core level) bibliographic records.

7.1.2 Recommended. Authority records are recommended for headings used in bibliographic records at any Encoding Level value other than Full or Core Level.

7.1.3 Content and Content Designation. The cataloger should be guided by the appropriate national standards for the creation of name, title or subject headings in deciding what references and information need to be recorded in authority records. The _MARC 21 Format for Authority Data_ prescribes tags, subfields and the coding of authority records.

7.2 Series

7.2.1 If a unit wants to control the form of the series entry in the HOLLIS Catalog, supply a reference structure or record its treatment information, the unit must establish the series by creating a series authority record. Other units must then follow the form established on the record.

7.2.2 An authority record with an explanatory note must be made for a series-like phrase, motto, etc., coded to show that the phrase is not considered a series and is inappropriate for use in a series added entry.

7.3 Automated authority processing in HOLLIS/Aleph. Harvard has contracted with OCLC to perform authority work (that includes supplying available authority records and reporting changes in already processed headings) for headings in bibliographic records. Included in the OCLC processing are:
Personal name headings (X00 fields)
Corporate name headings (X10 fields)
Conference name headings (X11 fields)
Uniform titles (X30 fields)
Topical subject headings (650, Thesaurus source: Library of Congress Subject Headings)
Geographic headings (651, Thesaurus source: Library of Congress Subject Headings)
MeSH headings (6xx, Thesaurus source: Medical Subject Headings)
Series (4XX and 8XX fields)

OCLC will supply authority records from the LC Names file, from LCSH, and from MeSH.

7.4 Protection. Some fields in authority records may be protected by the addition of subfield |5 with the library’s three-letter Harvard sublibrary code in lower case. It is anticipated that protected fields will be preserved when an incoming authority record otherwise overlays fields in an existing Aleph authority record.

8 Holdings Records

8.1 For a bibliographic record to be considered as cataloged, a holdings record with valid location information must be attached to that bibliographic record.

Holdings records have been defined for the HOLLIS Catalog since the mid-1980s. Holdings Records in The HOLLIS Catalog: Standards and Guidelines\(^{11}\) describes Harvard policies for holdings records and is based on Holdings Statements for Bibliographic Items: An American National Standard Developed by the National Information Standards Organization (ANSI/NISO Z39.71 - 1999) and the MARC 21 Format for Holdings Data: Including Guidelines for Content Designation (2000- ).

8.2 Existing holdings records in HOLLIS/Aleph must be changed directly in HOLLIS/Aleph, not via the utility.

8.3 Non-Serial Holdings

8.3.1 Holdings for nonserials may be reported at any level (including Level 1).

8.3.2 Holdings records for nonserials generally contain information about a particular version held by a unit or other types of local data.

8.3.3 The HOLLIS/Aleph production system creates non-serial holdings records during batchloading of records from OCLC or RLIN.

\(^{11}\) Available on the through the Harvard University Library web site at: http://hul.harvard.edu/cmtes/haac/ssssc/
8.4 Serial Holdings

8.4.1 Serial holdings must be reported at holdings Levels 2 (limited retention), 3 (summary), 4 (detailed), or m (mixed) according to Harvard policy (cf. Holdings Records in The HOLLIS Catalog: Standards and Guidelines).

8.4.2 Holdings records for serials generally contain information about a particular version held by a unit, information about volumes or issues held in paired fields, or other types of local data.

8.4.3 The HOLLIS/Aleph production system creates serial holdings records during batchloading of records from OCLC or RLIN.

8.5 Master Preservation Copies. A holdings record must be created to identify a preservation master copy.

9 Serials

9.1 CONSER. Original bibliographic description of current serials must conform to the specifications of the CONSER Program's standards and follows the CONSER Editing Guide.

9.2 Recon. In the retrospective conversion of serials, the bibliographic description on the source record may be used.

9.3 Successive Entry Cataloging or Latest Entry Cataloging

9.3.1 Serials cataloged according to the guidelines of the CONSER Program use successive entry rules, and successive entry records are preferred in current practice.

9.3.2 Latest entry records, including those converted in retrospective conversion projects, may be input provided AACR2 forms of headings are used.

9.3.3 Thus, successive entry records may exist in the HOLLIS Catalog along with a latest entry record for the same serial, but more than one latest entry record (for the same or different spans of years of a given serial) is not allowed. If necessary, an existing latest entry record in the HOLLIS Catalog can be revised to reflect the library's holdings.
HUL Bibliographic and Subject Specialists


Preservation Issues: Jan Merrill-Oldham, Malloy-Rabinowitz Preservation Librarian.

Subject Cataloging: Bruce Trumble, Chief Subject Specialist, Technical Services, Harvard College Library.

CONSER, Ruth Haas, Head and Senior Cataloger, CONSER Office, Technical Services, Harvard College Library.

Bibliographic Practice, Policies, and Standards: Bibliographic Analyst, Office for Information Systems.