

The University of Hong Kong Libraries



JULAC Libraries' Journey on Shared Cataloguing

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What is shared cataloguing?

- **Shared cataloguing** (also called **collaborative cataloguing**) refers to groups within one organization or multiple organizations sharing access to **bibliographic records** of various library materials to **prevent duplication of work** for each individual library -- LISwiki

What is shared cataloguing?

- **Cooperative cataloguing** is a way in which libraries work together to create **bibliographic and authority records** that can also be used by others. Libraries agree to **follow established cataloguing practices** and work in systems or utilities that facilitate the use of records by others. Bibliographic records for materials collected at different institutions can then be shared. Name, subject, and uniform title authority records that are created for one bibliographic record may also be used when the same headings are needed for another bibliographic record. A record for a **serial publication can be collectively maintained** when one institution creates the initial record and another adds data at a later time to reflect changes in the publication. -- LC

Why shared cataloguing is needed

- Shared cataloguing can help to reduce
 - Cost of cataloguing
 - Burden of cataloguing commonly-held materials
 - Maintenance of records

Sharing among JULAC libraries

- JULAC libraries have very long history in shared cataloguing
- We share
 - Bibliographic records
 - Authority records
 - Have a special shared cataloguing project for local TV program

Shared cataloguing of Chinese language materials

- Strengthen the cooperation for shared cataloguing of Chinese language materials among UGC funded libraries
- In 1993, a task force was formed to study the feasibility of establishing a system via the local network
- The goal of the task force included:
 - To establish a resource database of CN-MARC, C-MARC and LCMARC, and a mechanism for sharing bibliographic data of Chinese language materials among UGC members libraries
 - To provide the most effective use of cataloguing efforts of participating libraries, and provide a mechanism which allows easy transfer of records
 - To further enhance existing ILL
- Proposal produced in Nov. 1995 and approved by UGC in Feb. 1996

Chinese Cataloguing Coordination Team

- The Task Force on Cooperative cataloguing of Chinese Language Materials was disbanded, the development work was taken over by The Chinese Cataloguing Coordination Team (CCCT)
- Procured bibliographic data from China, Taiwan and LC
- The team overcame a lot of difficulties, including conversion of
 - MARC formats: CN-MARC, C-MARC, USMARC
 - Language encoding: GB, Big 5, EACC
 - Transliteration: Pinyin and Wade Giles
- Variations in bibliographical requirements → Individual clients would have specific conversion protocol

Z39.50

- The server holding the records was shut down when the Project ended in April 2002
- Members can still download records via Z39.50 from other member libraries
- Z39.50 remains the channel for sharing records among JULAC libraries till the migration to the shared ILS

Hong Kong Chinese Name Authority

- HKCAN was established in 1999
- A group of academic libraries in Hong Kong agreed to set up the Hong Kong Chinese Authority (Name) (HKCAN) Workgroup for establishing a union database that would reflect the unique characteristics of Chinese authors and organizational names
- The project was led by the libraries of Lingnan University and The Chinese University of Hong Kong
- 7 of the 8 JULAC libraries were initial members, HKUST later joined in 2016

Mission of HKCAN

- The HKCAN Workgroup aims to improve and streamline Chinese authority-control operations, in order to make them “Better”, “Faster”, and “Cheaper” while producing “More”
- Individual library creates the authority and send to the hosting library for de-duplication on regular basis
- As of June 2016, there are 288,482 records

Local TV cataloguing project

- A task force on media was formed to explore how to share the workload of recording of local TV programs among the eight UGC libraries.
- Collaborative cataloguing of off-air recorded TV programs was recognized as an element of collaboration by the Task Force on Media Collaborative Development Committee
- A small group formed to discuss the standards for the collaborative cataloguing project
- In Nov. 2004 members agreed on the “Essential MARC fields and recommendations for cooperative cataloguing of local TV programmes”
- Task assigned with cataloguing timeframe

Assigned responsibilities

Network	Programmes	Recording (Primary)	Recording	Cataloguing
			(Back up)	
ATV	時事追擊	PolyU	LU	PolyU
	Inside story	PolyU	LU	HKUST
	Newsline	PolyU	LU	LU
RTHK	議事論事	HKBU	CityU	LU
	鏗鏘集	CUHK	LU	CUHK
	頭條新聞	HKBU	CityU	PolyU
	傳媒春秋	CUHK	CityU	HKU
	城市論壇	CUHK	CityU	CUHK
	Hong Kong connection	HKBU	LU	BU
	Media watch	HKBU	CityU	BU
TVB	財經透視	HKU	HKIEd	HKU
	新聞透視	HKU	HKIEd	HKUST
	星期__檔案	HKU	HKIEd	CityU
	Money Magazine	HKU	HKIEd	HKUST
	The Pearl Report	HKU	HKIEd	HKIEd

Issues

- A lot of local editing of the records is required as each library has its own needs for serving its users
 - Streaming videos vs physical formats
 - One episode per record vs multiple episodes per record

More/Deeper collaborations

- More collaborations and deeper collaborations is one of the topics that always appears on the JULAC Bibliographic Services Committee's agenda. However, beyond the local TV programs, no agreement on other projects has been arranged
- Z39.50 is the main channel for searching and copying others bibliographic records
- Although all 8 JULAC libraries follow AACR2 and RDA, and employ Marc21, members have a lot of local practices, and a lot of editing work is required after downloading records from member libraries

The Shared ILS

- JULAC libraries seek new ways to use technology to fulfill even higher levels of collaboration and cooperation in their next phase of advancement. JULAC engaged a consultant in May 2014 to provide opinions regarding the next generation automation environment for the consortium and its members. An ILS workgroup was formed
- The ILS workgroup joined BSC meeting, sharing the view of “one shared system” proposed by ILS. Both groups consented to have one shared system as an ultimate goal



ExLibris Alma  Primo



Issues to be tackled

- An informal sharing on issues relating to cataloguing under a shared ILS was held in July 2015
 - The 880 linking fields:
 - 3 of the 8 libraries do not employ the 880 linking approach
 - Licensed data:
 - Purchased records, subscribed TOC ...
 - Character encoding: EACC vs UTF-8

A survey

- A checklist in the form of a survey to gather information from each member libraries was conducted. Survey items include:
 - Standards used in cataloguing
 - Encoding level
 - 880 fields
 - Character encoding
 - Choice of entry and access points
 - Classification schemes
 - Proprietary records
 - Control numbers
 - Matching keys for record merging and de-duplication
 - Differences on whether single or multiple records are used for works in multiple parts
 - RDA practice

Sharing in new Shared ILS

- Member libraries agree that it is important to have standards for cataloguing in the shared environment
- Member libraries work together to develop guidelines for cataloguing various formats
- All members follow the agreed standards and guidelines once the Shared ILS goes live

Sharing of migrated records

- Loading existing records to the Network Zone of the Shared ILS for sharing among JULAC libraries
- Basically, members agreed to load all records except purchased records, records for personal copies and local equipment
- Systems Functional Working Group helped to develop matching program for de-duplicating the records
- Metadata Functional Working Group worked very hard on the match keys that provide criteria for the matching program

The conversion program

DRAFT 6

- **Conversion program for processing MARC records
to be uploaded to Ex Libris Network Zone – Proposal**
April 2017

Ex Libris Alma has 2 zones, namely Network Zone (NZ) and Institutional Zone (IZ).

The NZ brings together records from IZ of 8 JULAC libraries. Records are matched to each other so that all the holdings for a bibliographic entity are combined in one display. The NZ Match Key (matchkey) is used for how *print monograph*, *audio-visual*, *computer files*, *cartographical materials*, *music scores* and *microform monograph* records are matched. This key uses data from multiple bibliographic elements found in the incoming source records.

Customized homegrown conversion software constructs a match key for each bibliographic record as it is inserted into 035 \$a back to the bibliographic record, before it propagates to IZ and NZ. A comparison of the match field determines whether an incoming bibliographic record will be added as a new master record or will merge with an existing record.

Match keys

- All materials with the match keys developed are loaded to the Network Zone for sharing
 - Print monographs
 - Audio-visual materials
 - Computer files
 - Cartographic materials
 - Music scores
 - Microform monographs
 - Western language serials
 - Selected electronic packages

880s

- To have or not to have 880s is the major issue for shared cataloguing among JULAC libraries
- In Nov 2016, HKBU, LU and EdUHK agreed to adopt 880s. Thus, all 8 JULAC libraries would standardize the cataloguing of CJK materials
- Agreed to store CJK characters in main fields and Pinyin / Romanized characters in 880s of bib records under Alma environment. Thus greatly improved de-duplication and merging of CJK bib records

Pinyin conversion program

- CJK records of HKBU, LU and EdUHK did not have 880 transliteration fields
- The pinyin plug-in for MarcEdit was released just in time for the 3 libraries to perform batch transliteration of their CJK records
- Systems Functional Working Group also helped to flip the main fields and 880s during data migration

Cleaning up

- Members also performed large scale cleaning up of records in order to prepare for de-duplication and migration of records
- All local practices that would affect the sharing of records have been removed or re-tagged to local fields

Guidelines

- A full set of guidelines (11 guidelines) has been completed
- They have been uploaded to JULAC Website

BSC General Guidelines on Shared Cataloguing

- [General Guidelines for Shared Cataloguing](#)
- [General Guidelines for Copy Cataloguing](#)
- [General Guidelines for Cataloguing Print Monographs](#)
- [General Guidelines for Cataloguing Continuing Resources](#)
- [General Guidelines for Cataloguing Online Integrating Resources](#)
- [General Guidelines for Cataloguing Video Recordings](#)
- [General Guidelines for Cataloguing Sound Recordings](#)
- [General Guidelines for Cataloguing Cartographic Materials](#)
- [General Guidelines for Cataloguing Tangible Computer File Carriers / Direct Access Electronic Resources](#)
- [General Guidelines for Cataloguing Music Scores](#)
- [General Principles on Management of Bibliographic and Authority Records in Alma Network Zone](#)
- [General Guidelines for Name Authority Work](#)

Authority control

- As our records are shared, we have to standardize on authority control
- HKUST joined HKCAN and thus all 8 JULAC libraries are members of HKCAN
- Members also agreed on the levels for authority control, i.e. HKCAN, then LCNames
- Consent has been reached on name authority:
 - Choose the conventional form or pinyin form
 - Chinese place names
 - Qualifier standardization in pairing fields

HKCAN in shared environment

- Merged HKCAN records with HKUST's CJK records
- Worked together on implementing HKCAN in Alma with ExLibris
- Agreed on the workflow of creating and maintaining headings

CJK issues

- BASIS tokenization on searching

Requested ExLibris to turn off the BASIS tokenization on searching Chinese phrases

- TSVCC support

T: Traditional **S**: Simplified **V**: Variants **C**: Chinese **C**: Characters

Provided the TSVCC code table for implementing in both Alma and Primo in order to solve the problem of searching Chinese characters

- Chinese punctuations

Provided the Chinese punctuation table as skip list in searching Chinese records

- Auto-transliteration in Alma

Members are still working with ExLibris to improve the auto-transliteration function in Alma

Deep collaboration

- Merging our bibliographic records and authority control workflow is a major step in deep collaborations
- During the process, we learnt
 - The importance of giving up local practices
 - HKUST agreed to give up local Chinese place names and to follow LCNames
 - HKU gave up almost all local practices
 - The importance of shared standards and practices
 - 11 guidelines on various areas, more are coming if needed
 - HKBU, LU and EdUHK adopted 880 pairing fields

Where are we?

- We still at the early stage of working in a shared environment
- There are a lot of issues waiting for us to resolve together
 - We have made the wish list for enhancements in Alma
 - We continue to work on the CJK issues and HKCAN implementation
 - We are at the teething stage in applying the guidelines, there will be revisions
- We are working on the roles of maintenance in Network Zone
- We are reviewing the local TV cataloguing project
- We want to explore ways for handling electronic packages

Our goals

- We want to share so that cataloguing work is only done **once**. Others can benefit from the work as there will be **no duplication** of effort
- Records in the shared environment are collectively owned by all JULAC libraries. All members work together to maintain them
- **Shared cataloguing among JULAC libraries does not only aim at cost saving, but also providing better quality records of our rapid growing collections in an efficient way**

Mission

Better

Faster

Cheaper

More

is not only the mission of HKCAN, but also the mission of shared cataloguing of Bibliographic Services



Thank you!
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