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Report of the Ad Hoc Committee on Bibliographic Control of Electronic Serials

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*Bibliographic Control
of Electronic Serials
at the URI Library*

January 15, 1997

Ad Hoc Committee On
Bibliographic Control of Electronic Serials

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Executive Summary

This report and its recommendations offer the library a starting place for using the HELIN online catalog to integrate remote access electronic serials with collections in other formats. The Library also has the option to use its World Wide Web Home Page to provide access to electronic journals. The issue of archiving and preserving electronic journals was not considered by this committee. Many of the recommendations made in this report have ramifications for the HELIN consortium because we share the same bibliographic records. Bearing this in mind, the Committee has followed CONSER and AACR2r guidelines in the adoption of its recommendations.

The Committee strongly endorses the following points and recommends that the URI Library adopt the following policies:

1. Separate bibliographic records will be created for digital and print versions of the same title.
2. Paid subscriptions to electronic journals will be cataloged and a bibliographic record entered into HELIN.
3. Bibliographic records of electronic journals will have an attached Item record, Checkin record, and Order record.
4. Free electronic journals selected for the Library may be cataloged and/or put on the library's Home Page.
5. The decision to catalog or not catalog free electronic journals rests with Collection Management.
6. The selection, acquisition, and processing of electronic journals will follow the same procedures currently used for selecting, acquiring, and processing other library materials.

Definition: Remote Access Electronic Serials

The working definition of remote access electronic serial used by this Committee is the definition of remote access computer file serials found in Module 31 of the CONSER Cataloging Manual. The manual can be found at the following web address, or URL:

A remote access computer file serial is a work issued in designated parts for an indefinite period of time (i.e., that meets the definition of a serial); and in a machine-readable format, accessed "via input/output devices connected electronically to a computer" (AACR2). This is in contrast to a direct access computer file serial which is issued in a physical carrier, for example CD-ROMs or floppy disks.

The phrase "remote access electronic serial" appears often in this report. The phrase is used as a less cumbersome alternative to "remote access computer file serial" or "a work [of a serial nature] in a machine-readable format accessed via input/output devices connected electronically to a computer." Also, the word "digital" is often used as a synonym for "electronic" and "computer file."

Scope of Investigation and Report

The Committee has limited its attention to those Internet or other networked information resources that are serial in nature. Digital resources that should be considered serials include: electronic journals or newsletters available through a computer network such as the Internet. Anything treated as a serial according to AACR2 and LCRI could be considered a remote access computer file serial. "Electronic resources that may be considered serials include: government statistical documents and corporate data reports updated and issued in frequent editions." (Module 31) Digital resources that should not be considered serials include: Online public access catalogs or databases (e.g., PsychInfo, RLIN, Medline), Listservs (e.g., Busadmin-L) World Wide Web sites (e.g., Library of Congress WWW Home Page), and Online services (e.g., Dialog, Nexis, America Online).

Although the discussions and recommendations of the Committee are limited to remote access electronic serials, they can and should serve as a foundation for the development of policies and procedures in the broader context of networked information resources. While the policies, procedures, and actions recommended in this report may be easily extended to remote access electronic monographs, extending the recommendations of this report to cataloging databases, online services, and World Wide Web sites may require further consideration and careful thought.

Why Catalog Remote Access Electronic Serials?

Information professionals are making remote access electronic serials (and other networked information resources) available to readers in a variety of ways. These efforts are accompanied by a great deal of discussion about how remote access electronic serials may be organized to facilitate access. Some of the work is being done by commercial interests such as Yahoo, some is being done by researchers such as those in the Internet Engineering Committee working groups, and some is being done by librarians and allied professionals such as those working on the UC Berkeley Digital Library project. This Committee proposes that URI Library begin to use the tools it has to organize remote access electronic serials (and other networked information resources) that are important to the URI community, keep up with and contribute to what the information professions are doing to organize such resources, and develop locally the skills and knowledge it needs to provide information services for such resources to the faculty and students at URI.

Online catalogs may be used to support access to electronic serials in several ways:

1. Integrate access to materials regardless of format.
2. Provide access to appropriately selected resources.
3. Ease access to materials that are restricted to particular groups of persons.
4. Offer a search tool that uses subject analysis, controlled vocabulary, classification systems, and keyword searching to facilitate discovery and retrieval.
5. Serve as the authoritative database for information about the library's collections: inventories, payment records, licensing restrictions, selection decisions, etc.
6. Automate writing other WWW pages, e.g., lists of electronic journals organized by subject, vendor, or publisher generated by programs run against the online catalog.

The advent of WWW OPACs and changes in MARC to support access to networked information resources have made online library catalogs into WWW search engines. WWW OPACs may be usefully thought of as WWW search tools tailored for the members of specific institutions that provide access to selected resources regardless of format. Building collections, caring for them, organizing them, and making them accessible are what libraries and librarians do and do well. The library catalog is the chief tool that allows libraries and librarians to build collections, care for them, organize them, and make them accessible. In an environment of networked information resources, *the online library catalog will continue to be the tool of choice.*

Recommendations

A. OPAC displays

The chief concerns we have for the OPAC display are in the regular view (hereafter referred to as 'brief view'). The brief view must show the title is a remote access electronic serial, show any relationship between print and electronic versions of the title, show the title's electronic location, and show any access restrictions relevant to this title. An additional concern we have for the Web OPAC display is the hypertext link to the full text of the title.

1. Treat the digital and print versions of the same title as different editions. In other words, use separate records for digital and print versions of the same title.
2. Provide linkage between the records for digital and print versions of the same title; and investigate the use of MARC related record fields in Innovative to automatically generate linkages between records for print and digital versions of the same title.
3. Display the electronic address in the OPAC brief view.
4. Display any access restrictions in the OPAC brief view. The **Status** field in an Item record refers to its Circulation status. The Committee recommends the library use **Status** for levels of access. (See Appendix A)
5. Display the phrase: "**INTERNET RESOURCE**" in the location field of the Item and Checkin records.
6. Display words such as "**INTERNET**" and not the classification or call number in the OPAC Item record display.
7. Do not put the call number in the Checkin record (it displays awkwardly).
8. Put the call number in the Item record to identify electronic journals in the catalog (it displays clearly).
9. Hyperlink the electronic location to the full-text of the title in the Web OPAC brief view.

B. Bibliographic Control

1. Use notes and linking entry fields to provide the linkage between the records for digital and print versions of the same title.
2. In the record for the print version, add the electronic address (e.g. URL) for the text of the digital version using the MARC field 856.
3. Use the MARC tag field for access restrictions (506).

4. Use the phrase "**INTERNET RESOURCE**" in the Innovative location field.
5. Use "**INTERNET**" in the call number field in the Innovative Item record and not the classification or call number.
6. Investigate using Persistent Uniform Resource Locators (PURLs), other naming conventions, and hyperlink verification software to control the instability of the electronic addresses for remote access electronic serials.

C. Workflow

1. Collection Management, Acquisitions, and Cataloging will mainstream the selection, acquisition, and cataloging of remote access electronic serials.
 - A. Collection Management will notify Acquisitions when a remote access electronic serial has been selected, and whether it will be cataloged or placed on the Library's Home Page.
 - B. If the remote access electronic serial is to be cataloged, Acquisitions will create a temporary bibliographic record with attached Order and Checkin records in the Innovative catalog.
 - C. If the remote access electronic serial is not to be cataloged, Acquisitions will notify the Systems Office to add the title to the Library's Home Page.
 - D. Cataloging will create permanent Bibliographic and Item records in the Innovative catalog for all remote access electronic serials selected for inclusion in the OPAC.
2. Develop procedures for the withdrawal of remote access electronic serials.
3. Continually re-examine the policies and procedures for remote access electronic serials to ensure optimum efficiency.

Annotations for the Recommendations

A. OPAC displays

1. *Treat the digital and print versions of the same title as different editions. In other words, use separate bibliographic records for digital and print versions of the same title.*

This is a critical decision, one with great consequences for readers and librarians. Many other recommendations follow from this one. Technical requirements of Innovative and MARC, as well as The HELIN Consortium environment necessitate separate bibliographic records for both print and digital formats.

2. *Provide linkage between the records for digital and print versions of the same title and investigate the use of MARC related record fields in Innovative to automatically generate linkages between records for print and digital versions of the same title.*

In the record for the print version, add the electronic address (e.g. URL) for the text of the digital version using the MARC field 856.

3. *Display the electronic address in the OPAC brief view.*

For remote access electronic serials, the URL is the location information that the reader must have in order to get the resource. Since URLs do not fit within the Innovative Checkin record, the Checkin record will not inform the reader adequately regarding the location of the resource being sought. Since URLs placed in the MARC holdings record are one display level away from the brief view OPAC display, the MARC holdings record is not best source of location information for the reader. (See Appendix A).

4. *Display any access restrictions in the OPAC brief view. The **Status** field in an Item record refers to its Circulation status. The Committee recommends the library use **Status** for levels of access. (See Appendix A).*

Adding access restrictions to the OPAC brief view gives the reader another piece of information in the puzzle of remote access. Use the Status Field to display restrictions. (See also Appendix A)

5. Display the phrase "INTERNET RESOURCE" in the location field of the Item and Checkin records.

Using the location field to generate relevant location text in the item and checkin records is common practice at the URI University Library. The phrase "INTERNET RESOURCE" cues the reader to expect something other than a traditional library and stack location for the resource. (See Appendix A).

6. Display words such as "INTERNET" and not the classification or call number in the item record display.

As the presence of a call number may mislead librarians and patrons with regard to the item's location, substituting a phrase like "INTERNET" may serve to alert the user to the digital, networked nature of access to the resource.

7. Do not put the call number in the Checkin record.

The call number in the Checkin record displays awkwardly.

8. Put the call number in the Item record to identify electronic journals in the catalog.

The Item record displays the call number most clearly.

9. Hyperlink the electronic location to the full-text of the title in the Web OPAC.

Access to the full-text of a title is the one of the chief values of a Web OPAC. Hyperlinks to the full-text should be made in the records for remote access electronic serials. In records for the print version/edition, hyperlinks should be made from the URL in the linkage note.

B. Bibliographic Control

1. *Use notes and linking entry fields to provide the linkage between the records for digital and print versions of the same title.*

2. *In the record for the print version, add the electronic address (e.g. URL) for the text of the digital version using the MARC field 856.*

Adding the URL for the digital version to the record for the print version using the MARC field 856 provides the hypertext link to the online resource from within the catalog record for the print version when viewed using a WWW-aware online catalog. Adding the URL of the digital version/edition to the print record raises troublesome issues. In particular, it obscures the critical distinction made between one object in the collection and another.

3. *Use the MARC tag field for access restrictions (506).*

Notifying the reader about access restrictions for a given title is essential. The 506 field is the MARC field for access restriction notes.

4. *Use the phrase "INTERNET RESOURCE" in the Innovative location field.*

5. *Use "INTERNET" in the call number field in the Innovative Item record and not the classification or call number.*

6. *Investigate using Persistent Uniform Resource Locators (PURLs), other naming conventions, and hyperlink verification software to control the instability of the electronic addresses for remote access electronic serials.*

Unstable electronic addresses pose serious maintenance problems for the library that catalogs remote access electronic serials. PURLs are one of several measures that promise to minimize the maintenance needed for electronic addresses. In addition to schemes for stabilizing URLs, software that test the URLs in a web site or database can identify URLs that may have stopped working and need to be verified manually. Work on Universal Resource Names (URNs) continues, and this work promises a more stable electronic addressing scheme.

C. Workflows

1. Collection Management, Acquisitions, and Cataloging will mainstream the selection, acquisition, and cataloging of remote access electronic serials.

- Collection Management will notify Acquisitions when a remote access electronic serial has been selected, and whether it will be cataloged or placed on the Library's Home Page.
- If the remote access electronic serial is to be cataloged, Acquisitions will create a temporary bibliographic record with attached Order and Checkin records in the Innovative catalog.
- If the remote access electronic serial is not to be cataloged, Acquisitions will notify the Systems Office to add the title to the Library's Home Page.
- Cataloging will create permanent Bibliographic and Item records in the Innovative catalog for all remote access electronic serials.
- Subject selectors at this time will be responsible for checking hypertext links for journals added to the Home Page. The Systems office will automate this process as soon as possible.
- The Committee recommends that Govt. Pub e-journals be treated the same as other Internet resources: if substantial, forward to Catalog Unit for cataloging in HELIN. If deemed less important for URI, add to Home Page only. Still to be determined is how Marcive plans to handle records for Internet resources and other electronic publications.

2. Develop procedures for the withdrawal of remote access electronic serials.

3. Continually re-examine the policies and procedures for remote access electronic serials to ensure optimum efficiency.

APPENDIX A

DISPLAYS

Data for Item record display:

| LOCATION | CALL NUMBER | STATUS |
|-----------------------|-------------|-----------|
| URI Internet Resource | Internet | Available |

Figure 1

Recommended Status code phrases:

| PHRASE | MEANING |
|------------------------|--|
| Available | e-journal available to everyone |
| URI access only | e-journal restricted to URI campus computers |
| Lib Use Only | e-journal restricted to computers in URI Library |

Figure 2

Data for Checkin record display

| | |
|-----------------------|----------------------------|
| URI Internet Resource | LIB HAS: electronic access |
|-----------------------|----------------------------|

Figure 3

APPENDIX B

Issues Considered

A. OPAC displays

Concerns for OPAC and WebPAC displays center upon

- design of public displays in the on-line catalog
- appropriate location and access information
- links to full-text of remote access electronic serials by means of hypertext
- notice of access restrictions due to licensing agreements, software requirements, etc. relation of electronic and print versions/editions of the same title
- use of classification/call number schemes

B. Bibliographic Control

Cataloging policies and processes must use the intellectual structures provided by AACR2r, LCRIs and URI Library policies, MARC, and our local Library System (HELIN) -- currently Innovative -- to provide the database that supports access to the URI Library collections. For remote access electronic serials, additional concerns for bibliographic control focus on dealing with multiple versions of resources and using MARC tagging effectively in conjunction with Innovative record structure and AACR2r.

Multiple Versions

How one uses bibliographic records to represent different versions of remote access electronic serials and their print equivalents has a critical effect on effective description of the materials represented in the catalog and on public access to these materials.

Concerns include:

- whether to use one record to represent both print and electronic versions of a title
- whether to use one record to represent a title's print version and another record to represent its electronic version
- whether to use one record to represent all electronic versions or use one record per version when the title is in multiple electronic formats, e.g. ASCII, postscript, and html how to show the relations among the multiple versions whether one uses one record or many to represent the versions of a title
- how to best display copy or version specific information to readers such as mode of access and electronic location using MARC holdings fields or Innovative notes.

MARC Tagging And The Innovative Record Structure

Concerns for bibliographic control and the use of MARC center upon the use of MARC tag fields for inclusion of the electronic address of the material cataloged and notes explaining the mode of access. Appropriate use of other MARC tag fields, such as the 506 for notes regarding access restrictions are also important. Use of MARC holdings fields and Innovative item level notes to indicate copy or version specific modes of access (e.g. e-mail, telnet, or WWW) or electronic address information is critical to effectively telling readers what they need to do to get the full text.

Concerns include:

- how to use the new MARC tag field for electronic location (856)
- how to use the MARC tag field for mode of access
- how to use the Innovative Item and Checkin records to identify location, and classification/call number
- how to use the MARC holdings fields to inform the reader about copy or version specific requirements for access: URL, software or hardware, etc.
- how to clearly present access restrictions dependent on licensing agreements, software, or hardware requirements

C. Workflow

Remote access electronic serials present workflow challenges. Without a physical object in-hand to receive, verify, review, analyze, mark, or return; workflow becomes purely a communications process, a series of messages from one person or group to another. Concerns for workflow center on the workflow internal to the cataloging process per se, and the larger library framework of selecting, acquiring, cataloging, and providing reference services.

Cataloging workflow

Concerns include:

- who will catalog remote access electronic serials?
- what is the role of cataloging staff?
- how will catalogers know that a remote access electronic serial has been selected?
- how will catalogers know that a remote access electronic serial has been acquired?
- how will catalogers know how to access a remote access electronic serial that has been selected and acquired?
- how will electronic locations (URLs, etc.) be maintained?
- what documentation (local and profession-wide) is needed to support cataloging remote access electronic serials?
- what training is needed to support cataloging remote access electronic serials?

Library workflow

Concerns include:

- what serials available on the Internet will be selected and require cataloging?
- what does it mean to acquire a remote access electronic serial?
- how will public services staff know the library has selected, acquired, and cataloged a remote access electronic serial?
- how will access restrictions required by licensing agreements be put into effect?
- how and when will selectors review remote access electronic serials?
- how will the status of remote access electronic serials throughout the process of selection, acquisition, cataloging, and use by readers be communicated?
- what might be done to preserve remote access electronic serials acquired by the library?

Bibliography

The Committee was unable to find much in the literature on this subject and had little better luck with an internet search. The literature in this area is remarkably thin. It seems most libraries are waiting for others to pave the way. This report owes much to the Yale Task Force Report listed below.

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