UKB Application profile for Metadata Management in WorldCat
Version 3.0 – Februari 2017
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## Document Location

**UKB transitie naar Worldshare Platform / UKB Transition to the Worldshare Platform**

## History

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<td>UKB Kwartiermakers</td>
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<td>0.9</td>
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<td>Final amendments after Stuurgroep UKB meeting 10 Oct 2014 Minor edits prior to formal publication. Sections 4.15 and 5.1</td>
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<td>BeR</td>
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<td>BeR</td>
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<td>Small additions</td>
<td>SK, MvdB</td>
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<td>Rework of editing legacy data</td>
<td>BeR</td>
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<td>22/2/2016</td>
<td>After review UKB project team</td>
<td>SK</td>
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<td>BeR/ SK</td>
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<td>3.0</td>
<td>24/2/2017</td>
<td>Finalized version after decision (Stuurgroep 18112016) on the wish of libraries to be able to make changes to NLGCG-records in WorldCat (therefore no need to change 6.11).</td>
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The following tables contain links to documentation that libraries should consult to further their understanding of WorldShare data management and International bibliographic standards.

<table>
<thead>
<tr>
<th>Documentation</th>
<th>Description</th>
<th>Accessed</th>
</tr>
</thead>
<tbody>
<tr>
<td>Batchload Documentation</td>
<td>Documentation on how to order and prepare data files for Batchload directly to WorldCat.</td>
<td>5 May 2014</td>
</tr>
<tr>
<td>Cataloging Defensively: When to Input a New Record in the Age of DDR</td>
<td>Webinar and presentation slides of Jay Weitz, OCLC who discusses the importance of creating a new WorldCat record that distinguishes itself from others.</td>
<td>16 May 2014</td>
</tr>
<tr>
<td>Cataloging Documentation, Practices, and Programs</td>
<td>Contains links to all relevant OCLC cataloguing documentation, practices and programs.</td>
<td>28 Mar. 2014</td>
</tr>
<tr>
<td>Cheatsheet Collection Manager MARC record delivery</td>
<td>Overview of pages on OCLC website about Collection Manager.</td>
<td>10 Nov. 2015</td>
</tr>
<tr>
<td>Cheatsheet Record Manager</td>
<td>Overview of pages on OCLC website about Record Manager.</td>
<td>10 Nov. 2015</td>
</tr>
<tr>
<td>Cheatsheet Resource Description and Access</td>
<td>Simple instructions for implementing RDA created by the University of Amsterdam Library.</td>
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<tr>
<td>Collection Manager Documentation</td>
<td>Documentation on WorldShare Collection Manager.</td>
<td>4 Oct. 2014</td>
</tr>
<tr>
<td>Conversion of Pica+/Pica3 to MARC21</td>
<td>Tables containing mappings of Level 0,1 and 2 tags from Pica3, Pica+ to MARC21</td>
<td>16 May 2014</td>
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<tr>
<td>Digital Content Gateway</td>
<td>Self service tool for uploading metadata related to digital content or repositories.</td>
<td>16 May 2014</td>
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<tr>
<td>Index values and MARC fields in WorldCat.org and WorldCat Local</td>
<td>How WorldCat.org builds index values from MARC fields to get formats/facets.</td>
<td>6 Oct. 2014</td>
</tr>
<tr>
<td>International Cataloguing : Use Non-Latin Scripts</td>
<td>A guide to the use of non-Latin scripts supported for cataloging in the Connexion Client, including Arabic, Chinese, Cyrillic, Greek, Hebrew, Japanese, Korean, Tamil, and Thai.</td>
<td>13 Apr. 2015</td>
</tr>
<tr>
<td>Jennifer Schaffner, 2009: The Metadata is the Interface: Better Description for Better Discovery of</td>
<td>An essay which is part of a series of OCLC Research projects which concludes that Aboutness and relevance matter most for discovery of special collections and argues for changes in description practices.</td>
<td>4 July 2014</td>
</tr>
<tr>
<td>Documentation</td>
<td>Description</td>
<td>Accessed</td>
</tr>
<tr>
<td>------------------------------------------------------------------------------</td>
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<tr>
<td><strong>Archives and Special Collections, Synthesized from User Studies.</strong></td>
<td>Describes indexes that are applicable to LBD and LHR data.</td>
<td></td>
</tr>
<tr>
<td><strong>Local data in WorldCat Local</strong></td>
<td>Describes indexes that are applicable to LBD and LHR data.</td>
<td>2 Oct. 2014</td>
</tr>
<tr>
<td><strong>MARCEdit</strong></td>
<td>OCLC Developer network site that describes uses for MARCedit and provides additional links.</td>
<td>6 Oct. 2014</td>
</tr>
<tr>
<td><strong>OCLC Email and Discussion Lists</strong></td>
<td>A site to discover and subscribe to OCLC’s Internet lists.</td>
<td>25 Feb. 2016</td>
</tr>
<tr>
<td><strong>OCLC Glossary</strong></td>
<td>Glossary and explanation of OCLC terms and acronyms.</td>
<td>5 May 2014</td>
</tr>
<tr>
<td><strong>OCLC-MARC Records:1993 November - Present</strong></td>
<td>Describes the record structure, character sets, and formatting for OCLC-MARC records obtained via electronic file transfer and via export.</td>
<td>4 Oct. 2014</td>
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<tr>
<td><strong>Provider-Neutral E-Resource MARC Record Guidelines (P-N/RDA)</strong></td>
<td>PCC Guidelines and instructions on creating vendor neutral MARC records for e-resources (digital born as well as digitized materials)</td>
<td>07 Oct. 2014</td>
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<tr>
<td><strong>Worldshare Record Manager</strong></td>
<td>Support site for WorldShare Record Manager.</td>
<td>4 Oct. 2014</td>
</tr>
<tr>
<td><strong>Record Manager Online Help</strong></td>
<td>Online help and user guide for Record Manager.</td>
<td>25 Feb. 2016</td>
</tr>
<tr>
<td><strong>Searching WorldCat Indexes</strong></td>
<td>Comprehensive information about indexes used to retrieve records from WorldCat. OCLC services, including cataloging and discovery/reference, use the same search indexes. Shows MARC fields and subfields indexed for each WorldCat index, gives examples, and provides information about how each index works to help construct searches.</td>
<td>25 Sept. 2014</td>
</tr>
<tr>
<td><strong>Working with Local Bibliographic Data</strong></td>
<td></td>
<td>13 May 2014</td>
</tr>
<tr>
<td><strong>WorldCat Local: Quick Reference – Local Data For WorldCat Local</strong></td>
<td>Explains how to take use WCL functionality and use their local bibliographic and local holdings data.</td>
<td>14 July 2014</td>
</tr>
<tr>
<td><strong>WorldCat Metadata API Integration in MARCEdit</strong></td>
<td>Provides links, updates and information on the WorldCat Metadata API and MARCEdit interface.</td>
<td>5 Oct. 2014</td>
</tr>
<tr>
<td>Standards</td>
<td>Description</td>
<td>Accessed</td>
</tr>
<tr>
<td>------------------------------------------------------------------------</td>
<td>-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
<td>-----------------</td>
</tr>
<tr>
<td><strong>CCO: Cataloging Cultural Objects: A Guide to Describing Cultural Works and Their Images</strong></td>
<td>A data content standard for the cultural heritage community and is sponsored by the Visual Resources Association Foundation to promote cataloging best practices for the museum, image collection, library, and archival communities.</td>
<td>11 August 2014</td>
</tr>
<tr>
<td><strong>Describing Archives: A Content Standard (DACS)</strong></td>
<td>Output-neutral set of rules for describing archives, personal papers, and manuscript collections, and can be applied to all material types. Equivalent to ISAD[G] and ISAAR[CPF] for the description of archival materials and their creators.</td>
<td>11 August 2014</td>
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<tr>
<td><strong>Descriptive Cataloging of Rare Materials</strong></td>
<td>Index page to the published, and in progress</td>
<td></td>
</tr>
<tr>
<td><strong>Local Holdings Data for WMS and WorldCat Local</strong></td>
<td>Describes how holdings data in Connexion, WMS, and WorldCat Local: 1. Relates to other kinds of data 2. Displays in the three systems, including the rules for data display in WorldCat Local for WMS libraries</td>
<td>16 May 2014</td>
</tr>
<tr>
<td><strong>MARC 21 Specifications for Record Structure, Character Sets, and Exchange Media</strong></td>
<td>Describes the structure of MARC 21 records, the character repertoires and encodings used, and the formatting of records for exchange.</td>
<td>4 Oct. 2014</td>
</tr>
<tr>
<td><strong>MARC Code List for Organizations</strong></td>
<td>Contains a short alphabetic code used to represent names of libraries and other kinds of organizations that need to be identified in the bibliographic environment. The section on requesting new codes provides further instructions on applying for an organization code.</td>
<td>16 May 2014</td>
</tr>
<tr>
<td><strong>OCLC Authorities: Format and Indexes</strong></td>
<td>Provides details on selected topics that catalogers need to identify and verify information in bibliographic and/or authority records via the OCLC ® authority file.</td>
<td>30 Jun 2014</td>
</tr>
<tr>
<td><strong>OCLC Bibliographic Format and Standards</strong></td>
<td>A guide to machine-readable cataloging records in WorldCat. It provides tagging conventions, input standards and guidelines for entering information into WorldCat.</td>
<td>28 Apr. 2014</td>
</tr>
<tr>
<td><strong>OCLC Local Holdings Format and Standards</strong></td>
<td>A guide to Local Holdings records in WorldCat. It provides tagging conventions, input standards and guidelines for entering information into WorldCat.</td>
<td>26 Sept. 2014</td>
</tr>
<tr>
<td>Standards</td>
<td>Description</td>
<td>Accessed</td>
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<tr>
<td>-----------------------------------------------------------------------------------------------</td>
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<tr>
<td><strong>PCC RDA BIBCO Standard Record (BSR) Metadata Application Profile</strong> (RDA-PCC-BSR)</td>
<td>A metadata application profile that is based on RDA includes elements applicable to archival materials, audio recordings, cartographic resources, electronic resources (if cataloged in the computer file format), graphic materials, moving images, notated music, rare materials, and textual monographs. The RDA BSR is arranged along a baseline for RDA elements.</td>
<td>28 Apr. 2014</td>
</tr>
<tr>
<td><strong>Resource Description and Access</strong></td>
<td>Guidelines and instructions on formulating data to support resource discovery. RDA provides a comprehensive set of guidelines and instructions covering all types of content and media.</td>
<td></td>
</tr>
<tr>
<td><strong>Source code for Vocabularies, Rules and Schemes</strong></td>
<td>Source Codes identify controlled vocabularies of terms (e.g., subject terms), codes (e.g., language codes), identifiers (e.g., standard identifiers), or specific data formulation rules (e.g., RDA) or schemes (e.g., DDC). The section on <a href="#">source code maintenance</a> provides instructions on applying for a source code.</td>
<td>16 May 2014</td>
</tr>
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</table>
1 Introduction

This document is intended as a change management tool for guiding libraries towards cataloguing on WorldCat in a uniform and consistent manner, and so supporting shared collection management.

It compiles the topics most relevant to transitioning data management from the GGC to WorldCat, including changes to cataloguing policies, practices and quality.

The focus of this document is cataloguing, and the principles that apply when adopting WorldCat as the data management platform. The core audience is cataloguing staff, systems librarians and metadata specialists. The information is also of general relevance to local project co-ordinators, and UKB library staff with a professional interest in this initiative.

It

1) States the core principles for metadata management practices in WorldCat

2) Defines a standards framework for managing collections with strategic partners: collaboratively define and maintain standards that support cost-effective cataloguing on a global scale

3) Explains key strategies for creating and managing metadata in WorldCat

4) Describes how these vary from current metadata management in the GGC, and

5) Highlight actions libraries must undertake in preparation for, or, during the migration.

It does not include

a. Detailed instructions on how to use applications or apply specific cataloguing rules. These should be addressed in training programs. Training topics are recommended in the following manner:

   ☐️ Include in Training Program: ....

b. Metadata management strategies for the Knowledge Base or the Digital Content Gateway. Refer to the: UKB Application Profile Collection Management.

c. This document is not intended to repeat or replicate detailed information published or readily available elsewhere.
2 Joint UKB Metadata Policy: core principles

The following core principles define the strategies for creating and managing metadata in Worldshare:

01. Use open international standards
Adopt international formats and content standards for the description of libraries diverse collection types.

02. Shared metadata management through Worldshare platform
Identify and choose for strategic partnerships in Metadata management in order to gain efficiencies in back office processes.

03. Accept “trendbreuk” in the national database (Picarta) as well as in local catalogues
Accept a change from past practices and accept the legacy data on WorldCat “as is”. Accept a hybrid catalogue as it is simply evidence of different standards at different times. Adopt new International standards and seek out strategic partners.

04. ‘about-ness’ instead of ‘of-ness’
De-emphasize the descriptive cataloguing effort and re-emphasize authorities and controlled vocabularies. Libraries and metadata specialists should transition from managing the description of things to managing content and data that supports linked data models and what end users need – address their needs at their points of discovery.

Archivists and librarians have often focused on what collections are made up of (Ofness), while many users prefer to learn what collections are about (Aboutness)

3 Standards Matrixes

3.1 Collections, standards and partners

The following matrix lists the standards and vocabularies that can be used on the WorldCat database when creating and managing metadata. These align with the core principles.

<table>
<thead>
<tr>
<th>Publication Category</th>
<th>Format Standard</th>
<th>Content Standard</th>
<th>Vocabularies, rules, schemas</th>
<th>Strategic Partners</th>
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<tbody>
<tr>
<td>National Bibliography</td>
<td>MARC21</td>
<td>RDA-NL ('dut)</td>
<td>NTA/ISNI (dut)</td>
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<td></td>
<td></td>
<td>STCN (eng)</td>
<td>KB Corporatie thesaurus/ISNI (dut)</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>MMDC (eng)</td>
<td>STCN/ISNI</td>
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<td></td>
<td></td>
<td></td>
<td>Drukkersthesaurus (eng)</td>
<td></td>
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<td></td>
<td></td>
<td></td>
<td>Brinkman Trefwoorden Thesaurus (dut)</td>
<td></td>
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<tr>
<td></td>
<td></td>
<td></td>
<td>STCN Trefwoordenlijst (eng)</td>
<td></td>
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<tr>
<td>Institutional Academic output</td>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>Dublin Core</td>
<td></td>
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<tr>
<td></td>
<td>Others pending</td>
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<td></td>
<td></td>
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<tr>
<td>Academic information</td>
<td>MARC21</td>
<td>RDA-PCC-BSR (eng)</td>
<td>LCNAF</td>
<td>PCC</td>
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<td></td>
<td></td>
<td>RDA-PCC-CSR (eng)</td>
<td>LCSH</td>
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<td>NACO/SACO</td>
<td>FAST</td>
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<td></td>
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<td></td>
<td>DAI/ISNI (dut/eng)</td>
<td></td>
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<td>Cultural Heritage</td>
<td>MARC21</td>
<td>RDA-PCC-BSR (eng)</td>
<td>LCNAF ('Drukkersthesaurus names)</td>
<td>PCC</td>
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<td>EAD</td>
<td>RDA-PCC-CSR (eng)</td>
<td>LCSH</td>
<td></td>
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<tr>
<td></td>
<td></td>
<td>DACS (Archives and Collections)</td>
<td>FAST</td>
<td></td>
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<td></td>
<td>CCO</td>
<td>DAI/ISNI</td>
<td></td>
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<tr>
<td></td>
<td></td>
<td></td>
<td>AAT (eng / dut)</td>
<td></td>
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<tr>
<td>Digitized collections</td>
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<tr>
<td></td>
<td>Dublin Core</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Others pending</td>
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</tbody>
</table>

3.2 Material types & content standards

- Libraries should review and adapt PCC RDA BIBCO Standard Record (BSR) Metadata Application Profiles (PCC-RDA-BSR) to suit local requirements, especially those concerning staff training and change management.

<table>
<thead>
<tr>
<th>Material Type</th>
<th>Standard Record</th>
<th>Full Record</th>
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</thead>
<tbody>
<tr>
<td>Serials</td>
<td>PCC RDA-CSR</td>
<td>RDA / DCRM(S)</td>
</tr>
<tr>
<td>Textual Monograph</td>
<td>PCC RDA-BSR</td>
<td>RDA</td>
</tr>
<tr>
<td>Electronic Resources</td>
<td>PCC RDA-BSR</td>
<td>RDA</td>
</tr>
<tr>
<td>Sound Recordings</td>
<td>PCC RDA-BSR</td>
<td>RDA</td>
</tr>
<tr>
<td>Moving Image Materials</td>
<td>PCC RDA-BSR</td>
<td>RDA</td>
</tr>
<tr>
<td>Notated Music</td>
<td>PCC RDA-BSR</td>
<td>RDA (DCRM manual pending)</td>
</tr>
<tr>
<td>Rare Books</td>
<td>PCC RDA-BSR-DCRM (B)</td>
<td>PCC RDA-BSR-DCRM (B)</td>
</tr>
<tr>
<td>Cartographic Materials</td>
<td>PCC RDA-BSR</td>
<td>RDA (DCRM manual pending)</td>
</tr>
<tr>
<td>Graphic Materials</td>
<td>PCC RDA-BSR</td>
<td>DCRM(G)</td>
</tr>
<tr>
<td>Archival Collections: Letters</td>
<td>PCC RDA-BSR</td>
<td>DACS</td>
</tr>
<tr>
<td>Archival Collections: Manuscript material</td>
<td>PCC RDA-BSR</td>
<td>DACS</td>
</tr>
<tr>
<td>Manuscripts (item records): up to 1600; MMDC</td>
<td>PCC RDA-BSR-DCRM (B)</td>
<td>AMREMM</td>
</tr>
<tr>
<td>Manuscripts (item records): 1600-....</td>
<td>PCC RDA-BSR</td>
<td>APPM (DCRM manual pending)</td>
</tr>
<tr>
<td>Objects</td>
<td>CCO Core</td>
<td>CCO</td>
</tr>
</tbody>
</table>

1 The required Language of cataloguing is indicated in parentheses when relevant to the standard listed.
2 Drukkersthesaurus may become part of the LCNAF at a future date – decision pending.
4 Data Creation & Maintenance on WorldCat

4.1 Adding and Upgrading Authorities

Libraries will have the option to use either the Library of Congress Name Authority File (LCNAF) or the Nederlandse Thesaurus van Auteursnamen (NTA) when creating records on WorldCat. Both of these files will be available via Record Manager, for selecting and controlling headings in bibliographic records.

When deciding which file to use, libraries should follow those vocabularies that are relevant to the content standards used. These are outlined in the Collections, Standards and Partners Matrix. For example,
- Academic information
  - use RDA-PCC as the content standard and the LC authority files
- National Bibliography
  - use RDA-NL as the content standard and the NTA, optionally
  - optionally also use specialized thesauri (e.g. Drukkers, Brinkman, etc)

Authority control of headings in bibliographic records can be initiated by a cataloguer or done as a background offline process. Authority control in WorldCat means that names in 'author' fields will be validated against authority files. Names in bibliographic records are checked against the authority file associated with the identifier in subfield $0, if that is present, or the language of cataloguing in the record.

When a match is found against the NTA (by the user or an offline process) a subfield $0 containing the NTA identifier is added to the record. This subfield $0 can be exported via Collection Manager.

LCNAF identifiers are not currently embedded or exported in bibliographic records.

New LCNAF headings can currently only be submitted for approval by LC via the OCLC Connexion client or via the PCC web site. New NTA terms cannot be created on WorldCat during the transition period. Libraries can construct and use headings consistent with NTA practice. At a future stage, these headings could be controlled through
- an offline batch automated controlling process against the NTA (not yet on roadmap), or
- a retrospective project for example, optionally done as a joint UKB project.

For all headings that are authority controlled, only the names appearing in the headings fields are indexed in WorldCat discovery environments. Searching, linking and retrieving records associated with all name variants in an authority record is not yet possible when searching the WorldCat bibliographic database. However, it is possible to retrieve name variants when searching within the Authority files.

Cataloguers can use terms and identifiers from other vocabularies or schemas, even when a record contains headings controlled by authority files. For example, it is possible to include terms or names from:
- Gemeenschappelijke Onderwerpontsluiting (GOO)
- Nederlands Basisclassificatie (NBC)
- Drukkeresthesaurus
- ISNI

When using these additional vocabularies or schemas, consider that they must be
A. Permitted within the **content standards** used in constructing the record (e.g. RDA-PCC or NL). If in doubt use these in LBD fields until policies are secured, and these terms are not at risk from removal by other cataloguers. For example, if using an ISNI identifier, place it, along with the heading in an LBD field rather than a field within the Master record.

B. Consistent with the Language of cataloguing in the record, if terms are used in name fields. Use of additional vocabularies and schemas in subject fields is not language of cataloguing dependent.

C. A recognized MARC21 vocabulary with an established MARC21 source code. This is the case regardless of whether these vocabularies are used in main (Master) or LBD level fields.

Libraries:
► Should review the paper: ‘UKB proposal for Author Identifiers on the Worldshare Platform’ for strategies currently under consideration for the management and use of author identifiers.

Include in Training Program: how to control existing headings and request new headings.

### 4.2 Authorization levels

Within **Record Manager**, two cataloging roles are available: Full and System Administrator (InstAdmin). The System Administration role is provided so libraries can manage their own staff authorizations independently.

The Cataloging Full role gives the user a “Full” Authorization level in WorldCat.

Obligations and rights for Full level users are indicated in: **OCLC Cataloging Authorization Levels for Record Actions and Upgrades**. This document currently targets Connexion users and information on other authorization levels is not applicable to Record Manager users.

In Summary: Full level authorization enables cataloguers to create/update and enrich most bibliographic records in WorldCat, as well as add/update and remove holdings. Exceptions are records that have been edited by PCC or Conser. CIP records can be edited but may be upgraded later by a PCC or Conser cataloguer.

The types of upgrades allowed for specific types of records is also available on the **OCLC Bibliographic Formats and Standards, chapter 5, “Quality Assurance”**.

Include in Training Program: actions and options possible with Full level cataloguing.
## 4.3 Cataloging and Maintenance scripts

It is not possible to execute scripts in Record Manager to create or update records. Using MARCEdit with the WorldCat Metadata APIs is one alternative that can be further investigated. The Metadata API is available to all UKB libraries. Scripting requirements within Record Manager are being gathered as input to OCLC’s product roadmap.

Libraries:
- Should create an inventory of scripts currently used in WinIBW and why they need them.

This will enable OCLC to determine what scripting requirements can be met through existing functionality and those that require further development.

- Include in Training Program or Developer boot-camp: scripting capabilities available through Metadata API or other tools.

## 4.4 Character encoding

WorldCat supports the input of Unicode via Record Manager. Understanding the range and methods for input of the full Unicode character repertoire should be handled in training. Any character set input, search or display problems encountered after libraries start working on WorldCat should be registered via OCLC Support.

When using non-Latin-based scripts for cataloging, if English is the default language on the workstation, libraries will need to install other appropriate languages and input keyboards or Input Method Editors (IMEs) in Windows.

The exact path to opening this functionality may vary slightly from one Windows operating system to another. See Windows Help for information specific to your Windows version by executing the following steps:

Start > Help [or Help and Support])

See also the section titled “Windows provides input methods for using non-Latin scripts” in the OCLC Connexion Client Guide to “International Cataloging”. Though written for Connexion Client users the advice is still relevant for Record Manager.

In WorldCat, a single “CJK” script identification code is added and exported if records contain Chinese, Japanese or Korean scripts. That is, “066 $a$1” is present regardless of which of these specific scripts is present. Note that, field 066 is system supplied when any character sets for non-Latin scripts are in a record. Cataloguers cannot add, edit or delete the field.

For systems that adhere to UniMARC script identification codes, the language of publication code can be used to create a more specific value. For example, if the language is “chi”, the generic CJK code ’$1” is mapped to the more specific Chinese script code ’ea”. Libraries that need to distinguish the different scripts in records downloaded from WorldCat should ensure their conversion tables are appropriately adapted.

For more technical information about this field, see MARC 21 Specifications for Record Structure, Character Sets, and Exchange Media and Chapter 4 of OCLC-MARC Records:1993 November - Present on Character Sets.
Both Record Manager and Collection Manager support the output of records in Unicode. For further information on export options refer to the relevant chapters on Worldshare Collection Manager Record Delivery settings and setting preferences when exporting records in Worldshare Record Manager.

Libraries:
► Should subscribe to and monitor OCLC lists and the Record manager support site for further changes in this area. As OCLC rolls out full Unicode support across all applications and services in 2016, there will be changes to how records with non-latin script are managed and exported.

Include in Training Program: configuration for non-Latin script data entry.
4.5 Deletion of records in WorldCat

Bibliographic records on WorldCat or the GGC cannot be deleted while there are holdings or library symbols attached to them. But, unlike the GGC, libraries cannot delete bibliographic records once all the symbols, holdings or LHRs are removed.

OCLC Quality Assurance guidelines indicate how to request changes or corrections to WorldCat records. Libraries can send requests to: bibchange@oclc.org or complete and submit the WorldCat and Authority Record Quality Control Request form.

Note that: Requests for deletion of records are generally only done as part of duplicate removal or where a record has been erroneously or accidentally created in the database. WorldCat bibliographic records that represent a valid manifestation do not have to be removed if the last holding is removed from the record.

4.6 Deriving records

In WorldCat to derive new records is to use a pre-existing record to create a new record.

For example, when creating a parallel record or cataloguing a different manifestation (e.g. 2nd edition) When a record is derived in WorldCat a new OCN is assigned. In reports and statistics these are counted as original cataloguing actions.

This is not the same as “Ontlenen” in the GGC, which is just the addition of an exemplar or copy block (holding) to an existing bibliographic record.

4.7 Duplicate Detection and Resolution (DDR)

Automated duplicate detection and resolution (DDR) is performed on the WorldCat database. DDR software works across most types of records created or loaded into the WorldCat database.

Libraries should understand the principles for creating bibliographic records in the context of automated duplicate detection. The following webinar explains how to catalogue in a manner compatible with the WorldCat de-duplication algorithms: Cataloging Defensively Webinar: “When to Input a New Record in the Age of DDR

By following these instructions libraries ensure that the data they create on WorldCat, which is in scope for de-duplication, is not incorrectly de-duplicated by the DDR software. The DDR software and algorithm is constantly adjusted to accommodate the ever growing scope of WorldCat and the cataloguing practices reflected in WorldCat records. Significant changes to the DDR algorithm are announced on the OCLC-CAT list, and sometimes the more specialized discussion lists for specific cataloguing communities.

Some categories of publications for Dutch libraries e.g. proefschriften, are under further investigation to determine if cataloguing practices or the matching algorithms must change in WorldCat.

Records merged via DDR can be undone under certain conditions. To action and remove duplicates Libraries can send requests to: bibchange@oclc.org or complete and submit the WorldCat and Authority Record Quality Control Request form. OCLC staff investigate these and when appropriate,
restore (un-merge) the bibliographic record and move LHRs accordingly. A response is sent to the 
original reporter and if needed, recommendations about preventing incorrect merges in the future.

Here are a few of the guidelines extracted from the Cataloguing Defensively Webinar that describe 
the most important points of comparison that the DDR algorithm evaluates in bibliographic 
records. More information on the evolution of the algorithm and a more detailed description will be 
available shortly. Availability will be announced via OCLC-CAT.

1) Catalog and code records accurately and thoroughly. After searching WorldCat and determining 
that no existing record matches the resource at hand, be sure to capture in your original record 
all of the elements that convinced you a new record was justified in the first place.

2) Pay specific attention to the following elements which the DDR algorithm depends upon:

   a) Form of Item (BKS, CNR, COM, MIX, REC, SCO: 008/23 and 006/06; MAP, VIS: 008/29 
      and 006/12
      Ensure that this fixed field element is correctly coded in both the 008 and 006, when 
      appropriate, for electronic resources, microforms, large print, and Braille publications.

   b) 245: Title Statement
      o When possible and appropriate, avoid common, generic titles through the use of:
         ▪ Specific part titles in subfield $p.
         ▪ Volume or other numbering in subfield $n.
         ▪ Both of the above, when appropriate.
      o Include parallel titles when available.

   c) 250: Edition Statement
      An edition statement can be among the most powerful and effective means of avoiding an 
      incorrect merge, both under AACR2 and under RDA:

      AACR2 1.2B4, the corresponding rules in subsequent chapters, and their associated 
      LCRIs allow the optional addition of an edition statement: “If an item lacks an edition 
      statement but is known to contain significant changes from other editions, supply a 
      suitable brief statement in the language and script of the title proper and enclose it in 
      square brackets.” LCRI 1.2B4 further states: “Do not apply this optional rule to any 
      case of merely supposed differences in issues that might make them different 
      editions. Apply the option for manifest differences where the catalog records would 
      otherwise show exactly the same information in the areas beginning with the title and 
      statement of responsibility area and ending with the series area.”

      RDA 2.5.1.4 allows essentially the same option: “If a resource lacks an edition 
      statement but is known to contain significant changes from other editions, supply an 
      edition statement, if considered important for identification or access.”

      Distinguish among various drafts, preliminary versions, pre-publication versions, proof 
      versions, uncorrected versions, and the like through the use of an appropriate edition 
      statement in field 250. If there is a date associated with these versions, include that as part 
      of the edition statement.

      Note that certain types of editions statements are considered to be bibliographically 
      insignificant and are ignored by DDR, all other things being equal. These include variations 
      on the following:

      First edition.
Paperback edition.
Book club edition.

   o Make sure the data is in the correct subfields and that any corresponding fixed field data for Country of Publication, Etc. (008/15-17) and Dates (008/06 and008/07-14) are correctly coded.
   o For electronic resources, sound recordings, and visual materials including videorecordings, ensure that the date of publication does not predate the first availability of that particular medium. Guidelines can be found in *Bibliographic Formats and Standards* Field 260 subfield $c (http://www.oclc.org/bibformats/en/2xx/260.html).

e) 300: Physical Description
   o Correctly describe and subfield for whole and part items, such as scores and parts.
   o When there is significant accompanying material, be sure to include a description in subfield $e.

**Records that are Exempt from DDR Processing**

   o Digital Collection Gateway records: Identified by codes “CNTNT”, “CNTCOLL”, “DGCNT”, or “DGCOLL” in field 029 subfield $t.
   o SCIPIO records: Identified by code “scipio” in field 042.
   o Records for photographs: Identified by one or both of the following Material Types:
     o “pht” (photograph): 007/00 = k and 007/01 = g, h, r, or v.
     o “pic” (picture): Leader/06 (Type Code) = k and 008/33 = i; OR 007/00 = k and 007/01 = I, k, p, or q; OR 006/00 = k and 006/16 = I, k, p, or q.
   o Maps records (Leader/06 [Type Code] = e or f) with dates of publication earlier than 1901, determined in consultation with the American Library Association (ALA) Map and Geospatial Information Round Table (MAGIRT) Cataloging and Classification Committee (CCC).
   o All records with dates of publication earlier than 1801.
   o All records identified in field 040 subfield $e as being cataloged under description conventions for rare materials, codes "bdrb", "dcrb", "dcrmb", or “dcrms”.

OCLC is currently consulting with the rare and archival materials communities regarding possible expansion of the last two points above. Further note that the final three points do not apply to electronic, microform, or other reproductions of these resources.

▶ Libraries should watch the “Cataloging Defensively” webinar in advance of training and bring questions about the process to the training sessions.
▶ Libraries should read the DDR Summary documentation on OCLC’s web site.
▶ Libraries should subscribe to the OCLC-CAT list to stay informed about and contribute to changes to the DDR algorithm.

TextWriter include in training program: Principles of DDR

4.8 Heritage materials

As recommended in the Standards Matrixes, libraries can use the following content standards:

- PCC RDA BSR for Rare Materials
4.9 Language of cataloguing

Libraries will create metadata in the language of cataloguing that is applicable to the publications they catalogue and the content standards and vocabularies that are associated with these. These are outlined in Section 3.1 Collections, standards and partners.

For example, when using RDA-PCC-BSR to create data at the main level, use language of cataloguing “eng” (English). If RDA-NL or the NTA is used in the main level record, use “dut” (Dutch).

Libraries must also be aware of and adhere to OCLC’s policies on Parallel Records for Language of Cataloging. In particular, if using Dutch Terms for RDA content, media and carrier types, the Language of cataloguing must be “dut”.

Include in Training Program: Consider additional but separate heritage materials training once final advice is delivered on standards.
In special cases a library may decide to add holdings to records created with other languages of cataloguing if this is deemed more efficient.

Data created in LBD fields does not affect the choice for language of cataloguing but be aware of the implications for local catalogues and end user discovery interfaces. Avoid presenting inconsistent information to users.

- Libraries should review their local system configurations to ensure that (an equivalent for) MARC21 040 $b Language of Cataloging is available, and language of cataloguing is retained when importing records from the WorldShare Platform.

Libraries should also be aware that the language of cataloguing code is not present in many GGC records. The policy to introduce language of cataloguing was only recently established. Retrospective action has not been taken on the GGC to apply codes to previously created records. In most cases records without codes can be assumed to be Dutch language of cataloguing and are reflected as such in WorldCat.

Include in Training Program: Language of cataloguing practical application.

### 4.10 Lending codes: lending and reproduction policy

Historically, WorldCat to GGC mappings for lending codes have been very generic. Most lending codes are mapped to “Will not lend” or “Policy unknown”.

Though MARC21 offers fewer options for conveying lending and reproduction policies, OCLC has reviewed the options available and refined the GGC lending code export mappings. Please refer to the Controlfields LHR records (Local Holding Record) mapping tables.

### 4.11 Minimum level record requirements

**Bibliographic**

Libraries should create bibliographic records in accordance with the Core requirements established in the standards listed in Section 3.2 Material types & content standards.

For most material types this will be the RDA Core element requirements as listed in the PCC RDA BIBCO Standard Record (BSR) Metadata Application Profile (PCC-RDA-BSR). The BSR follows RDA 0.6.1 in its approach to the concept of core:

"As a minimum, a resource description ...should include all the core elements that are applicable and readily ascertainable. ” The “PCC Recommended” elements are not core; their inclusion is encouraged but discretionary.”

The core or standard record requirements are applicable to:
“archival materials, audio recordings, cartographic resources, electronic resources (if
cataloged in the computer file format), graphic materials, moving images, notated music,
rare materials, and textual monographs …and also incorporates supplemental requirements
for these resource types when presented in digital formats, and it can be used to describe
digital reproductions.”

Core or standard record requirements work together with encoding levels in that they are only
applicable when a record is no longer “in process“. E.g. acquisition or CIP status records are
exempt.

Local Holdings Records

For synchronizing holdings records to WorldCat the following MARC fields are required:
Leader, Directory, 001, 004 and 852 ($a, $b and $c). Required fields and subfields are also listed
in the following documents: Local Holdings Data for WMS and WorldCat Local. Data fields not listed
may also be sent to OCLC as long as they are supported in the OCLC holdings format defined here:
Local Holdings Formats and Standards. Please refer to Level 2 to LHR mappings on this OCLC-NL

When creating holdings records in WorldCat, for monograph or single part items only the 852 field
is required.

For serial or multipart items use fields in the ranges 85X & 86X to capture information about
captions, patterns, enumeration and chronology according to the instructions available in the OCLC
Local Holdings Format and Standards. Where possible KMC 7120 (Pica+ 231@) now maps to
MARC21 85X/86X fields and back, but otherwise as before to field 852/866.3

Refer to the Level 2 (exemplaar niveau), to LHR (Local Holding Record) and OCLC LHR to GGC Level
2 mappings (updates and new mapping documents pending).

The 008 coded data fields for Lending (008/20) and Reproduction (008/21) policy should be coded
specifically as this information is used within WorldShare ILL. If libraries specify their lending and
reproduction polices, WS ILL uses this information for automated deflection of loan requests. Avoid
coding these positions as “unknown”.

For non-WMS libraries the local item lending policies are not recorded in WorldCat LHRs. These are
maintained locally.

- Libraries should review and adapt PCC RDA BIBCO Standard Record (BSR) and CONSER
  Standard Record Metadata Application Profiles to suit local requirements for staff training and
  change management.
- Include in Training Program: BSR/PCC MAPS and how to interpret the documentation.

4.12 Separate vs Single Records

Creating separate records for an item is preferable when both remote access electronic versions
and tangible (print material) or direct access versions exist. However, some libraries may find a

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3 The unfixed, positionally-dependant MARC21 LHR structure does not consistently map well against the more fixed position
structures of Pica+ exemplaars and vice versa.
single record approach is better for their local environment. Libraries should verify the impact of these choices with local system vendor and other partners prior to implementation.

Further instructions on the options available for creating single or multiple records when cataloguing electronic resources is available [Cataloging Electronic Resources: OCLC MARC Coding Guidelines](#).

**Include in Training Program**

### 4.13 Transliteration standards

Scholarly transliteration standards are typically used in UKB libraries. For example, Russian Cyrillic titles (from the University of Amsterdam and Leiden) mostly use ISO/R9 1968, though sometimes it is difficult to observe. Other standards could be in use.

WorldCat does not prescribe the use of specific transliteration standards but as the majority of titles in WorldCat are from US libraries, the most encountered standard is ALA-LC Romanization, which is consistent with adherence to the PCC guidelines. Data from European libraries (with the exception of the British Isles), rarely use ALA-LC.

UKB libraries transliteration practices and standards on the platform will be linked to the choice of standards and strategic partners used for different collections and publications (as indicated in the Collections, standards and partners matrix). Noting that:

- Legacy transliterations and standards do not need to be corrected nor always changed in preference to ALA, and that
- RDA 1.4 alternative 1 offers libraries the option to record elements in transliterated form, and that LC-PCCs alternative 1 directions state that:

  `'...If following minimal level cataloguing guidelines, the records for these languages/scripts may be fully Romanized following the ALA-LC Romanization Tables: ‘’`

When libraries adopt ALA-LC Romanization, this will impact authority files and discovery. For example, the preferred name for an author may change form depending on which Romanization scheme is used. In the short term this will impede discovery until search services are able to resolve between variant forms of the same name.

Libraries should make an inventory of the transliteration standards they currently use and analyze how adopting ALA-LC Romanization will impact cataloguing, authority control and retrieval for their end users. An excellent starting point is the following OCLC staff paper: [Transliteration of Cyrillic as used by libraries in their catalogues](#).

Libraries may also opt to create such papers for other languages of interest, or encourage a student or intern to do so.

**Include in Training Program (Optionally): Implications of different Transliteration standards. This training is only relevant for a smaller group of libraries.**
### 4.14 Upgrading records

In the GGC libraries could update any records that are not “v” status. In WorldCat there are a few constraints when updating bibliographic and authority records. These are described on OCLC’s [Quality Assurance guidelines](https://www.oclc.org). The [Expert Community: Guidelines for Experts](https://www.oclc.org) site also has useful instructions that are applicable for all cataloguers with [Full level authorizations](https://www.oclc.org) or higher.

**Some important points to note:**

When editing records libraries can decide whether to upgrade it to the latest content standards relevant for the collection type (e.g. RDA). You should not create a separate record for the same manifestation if the cataloging codes. Please refer to the [OCLC RDA Policy statement](https://www.oclc.org) for further information.

Most full level cataloguing authorization enable libraries to change records with the exception of those added or edited by PCC or Enhance participants. These can be recognized by codes such as “pcc” in field 042$a.

Libraries can upgrade or enhance records with the following encoding levels to “K” (OCLC defined) or higher:

- **K** (Less-than-full input by OCLC participants)
- **M** (Less-than-full added from batch).
- **2** (Less-than-full level, material not examined)
- **3** (Abbreviated level)
- **5** (Partial, preliminary level)
- **7** (Minimal level)

Records with encoding level ‘M’ need not be upgraded if they meet the standard record requirements as set out in the RDA-PCC BSR instructions.

**Enhance CIP-titles**

CIP records cannot be upgraded and the encoding level cannot be changed. Only Tag 300 can be edited.

Include in Training Program: Explain what conditions must be met for each encoding level.
4.15 Vendor neutral records

GGC and WorldCat follow the same cataloguing policy on vendor or provider neutral records.

However, on both platforms it is evident that the application of the policy has not been consistent – cataloguers may find records that do not comply with the policy.

Using the Worldcat platform provides options to use Local Holdings Records (LHRs) in order to adhere to PCC’s Best Practice for Provider-Neutral E-Resources (P-N/RDA).

Best practice is to put vendor specific (i.e. institution specific) URLs in LHRs and not use URLs in the Bibliographic record.

An efficient mechanism for this is to use Collection Manager to generate the URLs for Knowledge Base collections. During Collection Manager export, these URLs are automatically placed in the LHRs and can then be imported into the local library system.

_include in Training Program: Working with Knowledge Base_
5  GGC Specifics

5.1  B-status records

B-status records are added to the GGC when the loading software cannot definitively match or add the records to the database. WorldCat does not create the equivalent of B-status records when data is loaded or synchronized from an external database. Therefore, GCC B-status records that currently synch to WorldCat (via SRU), carry the WorldCat encoding level of “M” (Less-than-full added from a batch process). This encoding level is given to every GGC record in WorldCat.

OCLC will inform Local project co-ordinators how many B-status titles their library currently has on the GGC. However, reviewing B-status records on the GGC is not a dependency for the migration to WorldCat cataloguing.

Some records could already be de-duplicated in WorldCat as a result of the WorldCat DDR program. If B-status records are not resolved, libraries that wish to use these on the GGC will have to upgrade them to normal status. Therefore,

▶ For Libraries with larger numbers of B-status records it is best to resolve these as part of the migration. Options include resolving manually or approaching OCLC for a complete or partial scripting solution.
▶ Libraries with fewer B-status records, ≤0.02% of their bibliographic titles, can leave these unresolved.
▶ Libraries can search for B-status records on the GGC in the following way:
  
  z SIM <label name – provided at the time of loading>

5.2  Encoding levels

Encoding levels in WorldCat identify the cataloguing level to which a bibliographic record conforms, or the processing status of the record. They are similar to the codes used in the GGC KMC 0500 which can also be used to indicate the processing status or quality of a record. For example

‘‘’ – Full level
‘5’ – preliminary level (A record in process... not final e.g. in acquisition status)
‘8’ – CIP
‘L’ – Full level input from a batch process

KMC 0500 Position 3 permits the following code: a,B,c,p,r,v,x,y. WorldCat offers more options and uses a mix of numeric and alpha encoding levels, some of which are outside the MARC21 values. to indicate when a record complies to Full or Minimal level cataloguing requirements.

These codes have not been mapped to specific MARC21 encoding levels. The GGC export converter maps all codes to ‘full level’ (M21 Ldr/17 = “”) and the WorldCat ingest programs map these to “M” (Less-than-full added from a batch process).

For further instructions refer to the Input standards for Encoding Level (ELvl)

Include in Training Program: MARC21 and WorldCat encoding levels and data requirements.
5.3 Filing indicators

Filing indicators should be used as specified in the MARC21 and OCLC Bibliographic Formats and Standards documentation.

Note that
- The maximum number of possible non-filing characters is “9”
- Some GGC legacy records have filing indicators incorrectly set to “0” due to differences in cataloging practices between GGC and WorldCat. That is, where the @ sign in the GGC was used to indicate a non-filing sequence greater than 9 characters, it has been mapped to a MARC21 filing indicator of “0”. It is unlikely that these will create validation problems but if this occurs, the cataloguer must align the actual number of non-filing characters in the title with the non-filing indicator. That will mean changing the title as it is not possible to have a filing indicator higher than “9”.

Include in Training Program: MARC21 (do not use ’@’ symbol).

5.4 Linking (Koepel and deel titels)

The MARC21 format supports linking via the encoding of information that identifies related bibliographic items. These are referred to as the linking entry fields, and additionally the series field. The linking entry fields deal with 3 classes of relationships. Independant but related items, dependant and related items (to use one part the whole item is needed), items that are constituent units of a larger component.

These approximate to the koepel, sub-koepel and deel titel relationships that are possible in the GGC. Therefore it is possible to create records that reflect hierarchical and parallel relationships within the MARC21 format, including the use of control numbers or standard numbers within the linking fields, for example
- $w (**Record control number)
- $x (ISSN)
- $z (ISBN)

**For data created in WorldCat the most appropriate control number is the OCN.

The linking and search expansion functionality available in the GGC is currently not available in WorldCat but is on the development roadmap. It is still too early to determine how linking will function in the new discovery interface or if/how links will be populated and deployed. In particular, how WorldCat records might use or be enriched with link keys already available in the GGC and other data sources.

Include in Training Program: Working with linking entry fields and analytic records

5.5 Pica Mail & Communication

PicaMail will not exist as a library to library communication mechanism within WorldCat. Libraries that wish to correct or change records have the option to send requests to: bibchange@oclc.org or complete and submit the WorldCat and Authority Record Quality Control Request form.
Questions on cataloging policies, standards, and practices can be addressed to the WorldCat Quality Control Team: AskQC@oclc.org

5.6 Selection Key

Selection keys are used in the GGC for
- the selection of records for
  - batch export (e.g. Aanwistenlijsten, e-journals) or,
  - as input to WinIBW batch record changes
- to indicate workflows status in the 1st position e.g. acquisition status

Libraries should discontinue use of Selection keys and base reporting and collection management through the use of standard MARC21 fields available in WorldCat as MARC21 does not have a specific field or coded data position for this content or function.

However as some libraries have indicated their wish to retain this key, they may adopt a MARC21 Local Holding Record (LHR) field as a substitution.

Libraries can use MARC21 LHR Action Note field 583, subfields $a, $c and $5.

Field 583 is indexed in WorldCat in the Action Note index [io] and the Keyword [kw] index. It is possible to make Collection Manager queries and outputs against this indexed field. Data in LHR fields is specific to a library, but the “io” index captures data from both the bibliographic and LHR fields. Using subfield $5 ensures that the query retrieves the selection key belonging to a specific library. The institution code can be searched as part of the query string or by an additional “io” query (see examples below)

To ensure that the Selection Key can be imported into the GGC, and correctly identified as a Selection Key, the data in subfield $a, should comply with the Richtlijnen guidelines for selection keys. The key requirements:
- a minimum of 1 and maximum of 8 characters,
  - but starting with an initial *th*SEL prefix
- a specific definition of first position values “a”, “A” and “t”, and “sfx” in the first 3 positions

If tag 583 is not in a WorldCat LHR, a default Selection Key is constructed using the OCLC symbol as it is mandatory in the GGC.

Data example:
70XX 14-09-2012 : 9ECO300a is equivalent to 583: 0# $a SEL9ECO300a c 20120914 $5 NL-TiUL

Searching example:

<table>
<thead>
<tr>
<th>WinIBW</th>
<th>Toelichting</th>
<th>Record Manager met 583</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

4 The “SEL” prefix is recommended to get similar functionality as WinIBW. Worldshare truncation and wildcards only operate from the 4th position onwards.
<table>
<thead>
<tr>
<th>Z SEL !!!!!!!N</th>
<th>Searches for selection key positions:</th>
<th>io:SEL######_N nl-waurl</th>
</tr>
</thead>
<tbody>
<tr>
<td>Z SEL R!!!!!!N</td>
<td>8° positie</td>
<td>io:SEL######N</td>
</tr>
<tr>
<td>Z SEL R?</td>
<td>1°, 8° positie</td>
<td>io:SELR#####N</td>
</tr>
<tr>
<td>Z SEL !!!4!!!N</td>
<td>1° positie anything</td>
<td>io:SELR? AND io: nl-tiul</td>
</tr>
<tr>
<td></td>
<td>4°, 8° positie</td>
<td>io:SEL####4##N nl-utru</td>
</tr>
</tbody>
</table>

- Libraries should analyze how and why they use selection keys and determine if this functionality can be replicated through options within the standard MARC21 format, in combination with Collection Manager, or via other modules within their ILS (including WMS).

- Non-LBS Libraries that decide to adopt the Selection Key work around and currently get a selection key export from GGC in MARC21 should check their import tables and ensure that Collection manager output is appropriately mapped.
6 Migration and Synchronization

Migration
This section covers topics associated with the initial transfer of a libraries bibliographic data to WorldCat. Populating the Knowledge Base is out of scope.

6.1 Data Retention in the GGC: Legacy data
Legacy data will be retained on the GGC. Legacy is defined as any data created in or loaded to the GGC prior to starting cataloguing on WorldCat.

Level 1 and 2 data may be removed or mapped to other tags (as appropriate) as a by-product of other projects or repair activities, for example, the MARC21NL project.

6.2 Identifiers: OCNs, PPNs, EPNs LSNs
As Libraries transition to using WorldCat, for many, the OCN will become an important key for synchronizing their catalogues with WorldCat, and for an interim period, with the GGC. The exception is LBS libraries as they will not need an OCN in their system. The primary synchronization will be between LBS and CBS (the GGC) using the PPN.

To utilize all available identifiers effectively:
► Libraries can add OCNs (OCLC numbers) into bibliographic records in their local catalogues.

► Libraries can request a concordance list from OCLC that contains the OCNs, PPNs, and LSNs for their records on the GGC. This will be a one-time extract covering everything up to the Worldshare migration date. The request must be timed to coincide with their intended migration date as PPN/OCN links change over time.

► Libraries should identify where PPNs or EPNs have been used as linking identifiers in their local systems or repositories e.g. as a link to repository items or in file names for digitized items. In these cases, the local implementation project should specify the time period for retaining legacy PPNs and transitioning to the use of OCNs or some other persistent identifier schema.

Some libraries may notice problems with their OCN/PPN/LSN concordance. For example, records that contain the same OCN. These occur due to differences in cataloguing practices between the GGC and WorldCat, insufficient data in GGC records, or the fact that the GGC records are legitimate duplicates. In such cases please report the problem to OCLC via OCLC support (in the Netherlands).
6.3 ISILs (Standard Library Identification: International Standard Identifiers for Libraries) and MARC organization codes

It is recommended that Libraries adopt and apply ISILs in their WorldCat registry profiles. These are unambiguous identifiers that can be used in resource sharing systems to identify and direct end users to the right organization.

The Koninklijke Bibliotheek is the registering agency for the Netherlands but the allocation of ISILs is done by OCLC, Leiden. Local project officers for the UKB migration will be notified of the correct ISIL for their library.

▶ Libraries should apply these codes to their WorldCat registry profiles, removing obsolete or invalid codes and de-duplicating WorldCat registry entries when necessary. Obsolete forms of ISILs can also be removed CBS library profile tables.

MARC organization codes are also valuable when identifying your library in a shared international bibliographic environment. They are used in bibliographic records to identify the agency that created a record or data within the record.

▶ Libraries should first search the code database to check if they have a MARC organization code and if not, apply for one at the following location: http://www.loc.gov/marc/organizations/form-engl-a.php. These are usually allocated within 15 days of application.

6.4 Mapping tables

Mapping tables are available on OCLC-NLs MARC21 documentatie website:

There are periodically updated to reflect the latest mapping information for bibliographic, holdings and local level data.

▶ Libraries should monitor OCLC-CAT and Listserv-GGC to stay informed on updates to mapping tables.

6.5 Migration: Bibliographic data

For Libraries whose data is fully reflected in the GGC, OCLC will migrate all bibliographic data that can be sent to WorldCat via the SRU 1 way synchronization mechanism. Most bibliographic records on the GGC are already in WorldCat. The section on WorldCat to GGC synchronization describes the remaining gaps.

For Libraries whose data is partially reflected in the GGC, each library should determine

a. whether the data is in fact required in WorldCat, AND
b. if it is required prior to transitioning to the platform

▶ UKB Libraries have identified these in 2014 and these are now scheduled for loading as part of the UKB Transition. These are the known and not yet finished loading projects:
  ▶ UB Twente
If the 2014-deadline is missed, there are 2 options open to all libraries.

1) Undertake a batch load project to load records directly to WorldCat. If needed this is best done after the transition. The main constraints with this option are that the local LMS must be able to
   - export MARC21 bibliographic and holdings records
   - load OCNs into their local systems

2) Catalogue items directly into WorldCat.

Harvesting records via the Digital Collections Gateway can also be considered for metadata associated with digital repositories, noting that the supported ingest format is Dublin Core.

6.6 Migration: Local Holdings Data (Exemplaar data)

GGC Local Holdings data, also known as exemplaar data, will be loaded to WorldCat per library as part of the local transition project.

Local Holding Record (LHR) synchronization, implemented in 2015, synchronizes detailed holdings data in the GGC to create LHRs in WorldCat. LHRs are synchronized to WorldCat to support:
   - UKB libraries migrating their cataloguing to Worldshare
   - the new PiCarta discovery solution
   - WorldShare ILL and
   - WMS projects (though these are outside the scope of the UKB transition)

The LHR synchronization service maps most of the fields in the GGC exemplaar blocks to a corresponding MARC21 holdings fields. Please refer to Level 2 to LHR mappings on this OCLC-NL MARC21 website: https://www.oclc.org/support/services/ggc/marc-21.en.html

The main omission is barcodes. These are generally not present in GGC exemplar data, and when they are, export is only needed for libraries implementing WMS.

Though WMS migration are out of scope, it is advisable that libraries transitioning to full WMS functionality signal this in advance to help eliminate a second synchronization effort for WMS. In some cases a second attempt might be unavoidable, e.g. if the data in the GGC is not complete.

6.7 Migration: Level 1 data in the GGC

With the exception of some WMS and WCL implementations, GGC level 1 data has not been migrated to WorldCat.

Migrating level 1 fields to LBD fields is only possible via a Local Bibliographic Data batch load, which must be ordered as part of a local migration project and can take 3 months to complete. Level 1 data is preferable to migrate before starting cataloguing on WorldCat. No additional level 1 data should be created on the GGC once the LBD loading project starts.

The general recommendations are
libraries should not migrate Level 1 data in the GGC to WorldCat. Statistics indicate that libraries are creating and maintaining less level 1 data than previously. The value of retaining this data does not equate to the effort of migrating and maintaining it.

- If migration is required this should only be local keywords and classification numbers AND LBS libraries must agree to a common level 1 data export (explanation is below)

- Unmigrated Level 1 tags should also be removed from the GGC at an agreed date (TBD)

Level 1 Migration Process

- In 2014 all UKB libraries reviewed their level 1 data in the GGC to determine whether to migrate this data or not. OCLC supplied them with:
  - A list of the level 1 tags in use by their library
  - Statistics on the creation and update of their level 1 data in the GGC over the last 4 years
  - Questions to consider when reviewing level 1 data

- Libraries have selectively checked level 1 tags.
  - Those that occur more than 0.2% in your data.
  - Those that carry local classification or keywords.
  - Some must check data in the 150* to 155* ranges with a view to requesting that OCLC delete this data from their GGC records.

- Libraries were asked to consider the following questions during the review:
  - Is level 1 data complete on the GGC?
  - If it isn’t: do not migrate level 1 data. No value in migrating incomplete data from the GGC to WorldCat.
  - If it is,
    - are tags from the following ranges still relevant?
      - trefwoorden (144* range)
      - codes or classifications (145* range)
    - and, can OCLC delete all other level 1 fields outside these ranges?

- Record migration decisions will be part of the local transition project.

Libraries that choose to migrate GGC Level 1 data to WorldCat will need to undertake further actions to prepare for this migration. These will be conveyed as part of the local transition project.

Level 1 Migration Options

Libraries that decide to migrate level 1 data have 2 options.

1. **Migrate selected level 1 fields to local 9XX fields**

   a) fields with trefwoorden (144* range)
b) fields with codes or classifications (145* range)
   - Decide if MARC21 subfield $2$ source codes are needed and apply for these from the Library of Congress. Note: only needed if your classification system is used by other organizations and is not purely local to your institution.

See Table 1: Level 1 to 9XX fields below for the mapping.

**Table 1: Level 1 to 9XX fields**

Each level 1 tag (in the specified ranges above) is mapped to the first usable 9XX field. MARC21 indicators 1 and 2 are used to reflect the 4th position of the Pica+ field and the occurrence values respectively.

<table>
<thead>
<tr>
<th>GGC Level 1 field</th>
<th>OCLC MARC 9XX field</th>
</tr>
</thead>
<tbody>
<tr>
<td>144D/00 – 144D/09</td>
<td>901 00 – 901 09</td>
</tr>
<tr>
<td>144K/01 – 144K/09</td>
<td>902 01 – 902 09</td>
</tr>
<tr>
<td>144L/01 – 144L/09</td>
<td>903 01 – 903 09</td>
</tr>
<tr>
<td>144N/01 – 144N/09</td>
<td>904 01 – 904 09</td>
</tr>
<tr>
<td>144O/01 – 144O/09</td>
<td>905 01 – 905 09</td>
</tr>
<tr>
<td>144Z/00 - 144Z/99</td>
<td>906 00 – 906 99</td>
</tr>
<tr>
<td>145B/00 –</td>
<td>907 00</td>
</tr>
<tr>
<td>145Q/01 – 145Q/09</td>
<td>945 01 – 945 09</td>
</tr>
<tr>
<td>145R/01 - 145R/09</td>
<td>945 11 – 945 19</td>
</tr>
<tr>
<td>145Z/01 - 145Z/99</td>
<td>946 01 – 946 99</td>
</tr>
</tbody>
</table>

NOTE: the range of 9XX fields available are 901-907, 910, 945 – 949. These fields can be viewed and edited via Record Manager. However they are not indexed or displayed in any of the WorldCat.

2. Migrate keywords and codes/classification numbers to specific OCLC LBD fields

Libraries should also decide if some of these require subfield $2$ source codes.

The level 1 to OCLC LBD mappings assume that the level 1 data on the GGC has been used according to the original field definitions defined in the Pica+/P3 format.

If these mappings do not work for your library, that is, you have used these fields in a different way, you can supply your own mapping table which can be used when loading the LBD data into WorldCat. The standard export mappings from the GGC will not be customized or changed. If you need to supply this type of customized mapping please use the following mapping template:
<table>
<thead>
<tr>
<th>records</th>
<th>my LBD Batch Load order</th>
</tr>
</thead>
<tbody>
<tr>
<td>(*the LBD fields as exported from GGC in the standard mapping in Table 2)</td>
<td></td>
</tr>
<tr>
<td>650 Index term – Genre form 655</td>
<td></td>
</tr>
<tr>
<td>711 Local subject added entry – Corporate name (697)</td>
<td></td>
</tr>
</tbody>
</table>

Libraries should note that there will be no WorldCat to GGC import mapping documentation.

Definitions of WorldCat LBD fields can be found in the Quick reference: Local Data for WorldCat Local document.

Background Notes
Level 1 data in the GGC is equivalent to WorldCat Local Bibliographic Data (LBD) fields. That is, WorldCat LBD fields allow libraries to create institution specific notes and access points which are not shared with other WorldCat users. These LBD fields can be indexed and displayed in WorldCat Local and can be exported using Collection Manager.

In WorldCat there is a difference between LBD fields and Local MARC21 fields (fields in the range 9XX). The difference relates to the search and discovery of data. Both the LBD fields and 9XX fields can only be viewed and edited by the library that created them or ‘owns’ the data. However, only LBD fields are indexed and visible through WorldCat discovery interfaces whereas local 9XX fields are not.

In addition, some local 9XX fields are defined only for use by the Library of Congress or OCLC staff, eg.: 936, 938, 956, 987, 989, and 994. The others, like 901-907, 910, and 945-949 can be used by libraries.

6.8 Pre-Migration Data Cleaning of Legacy Data

Legacy data includes bibliographic records at level 0, 1 and 2 in the GGC that were:
- Created or existing in the GGC prior to commencing Worldshare cataloguing, or
- Created according to standards or guidelines that differ from those used in WorldCat

During the migration UKB libraries should not touch GGC records with language of cat = “dut”.

Enrichment projects:
- Changes done in level 0

Enrichment registering process
- Build an impact profile
- Wait with large projects until migration is over – move to Aleph
- Discuss with likely affected partners
Until the last library is migrated, OCLC will correct via scripts GGC legacy data problems that will prevent the transfer of bibliographic and holdings data (LHRs or symbols) to WorldCat. This includes data that:

- generates WorldCat validation errors on the bibliographic level
- increases the likelihood of incorrect automated de-duplication of records by the WorldCat DDR (de-duplication) program
- prevents the creation or migration of a valid LHRs in WorldCat

Some errors may impact indexing or linking of data in discovery or delivery services. Where possible and know in advance these will also be addressed but not as a matter of priority.

Some records might not synch or load to WorldCat despite cleaning efforts in the GGC. These records conflict with WorldCat validation rules or contain Unicode characters that are not handled by batch or synchronization ingest. Libraries should re-enter these records manually in WorldCat.

OCLC will provide reports per library. Where there are multiple holdings attached, a group file will be delivered and a communal cleaning effort should be arranged amongst the libraries themselves.

Libraries that load part of their collections to directly to WorldCat, and not via the GGC, should be aware of these validation and Unicode constraints for their local batch load projects.

### 6.9 Post-Migration Data Cleaning of Legacy data

Libraries can clean and edit records in the GGC database as long as the GGC remains their primary data creation platform (or system of truth). Note that not all changes to level 0 data are reflected in WorldCat records. Some fields and records are protected or blocked from update once they are in WorldCat.

When a library migrates to the platform, they should not edit or clean GGC records on WorldCat. These can be identified by the presence of the NLGGC symbol in the 040 field (subfield $a$)

If cleaning is essential, ask WorldCat Quality Control (QC) or OCLC’s Benelux Support office for assistance. Changes made by OCLC QC will not block a GGC record on WorldCat from further offline updates. Libraries can also ask the Royal Library to correct records that are part of the Dutch National Bibliography. Requests can be made via their helpdesk: Catalogisering@kb.nl

In most cases editing is not necessary, for example:
- bibliographic validation errors do not prevent a library from add a holding (LHR) to a record previously created in the GGC (legacy data).

The main consequence of editing GGC records on the WorldCat database is that it blocks any further updates coming from the GGC platform. In addition, cataloguers must maintain skills in 2 different editing interfaces and databases, AND, establishing the system of truth becomes very difficult. If the same records can be edited by the same library on different systems it is not easy to determine which edits take precedence.

To request changes or corrections via OCLC Quality Control, follow OCLC Quality Assurance guidelines and request either
- via an email to bibchange@oclc.org or
- submit a WorldCat and Authority Record Quality Control Request form.

Include in Training Program: basics about primary cataloguing platforms and editing etiquette
Synchronization

This section addresses the routine of bibliographic and holdings data before and after data migration, including an explanation of how synchronization currently works.

It is important that Libraries understand the impact of synchronization and what this means for Metadata management on the WorldCat database.

Include in Training Program: Implications and requirements for synchronization, the parallel “source record” model in the GGC.

### 6.10 Synchronization: GGC to WorldCat

Most bibliographic records in the GGC are synchronized to WorldCat in real-time.

For background:

The current synchronization adds or matches GGC records to WorldCat records with updates permitted in some cases. OCLC library symbols are added or removed. Bibliographic records are not deleted. Exemplaar data is not synchronized yet so there are no Local Holdings Records in WorldCat for most libraries (excluding specific WMS or WCL users) LHR synchronization from the GGC to WorldCat was implemented in 2015.

The real-time bibliographic synchronization is supported by 2 supplemental procedures. An offline synchronization which sends records in batches using the SRU protocol, and the CBS WorldCat consistency check software which runs weekly to identify differences in record identifiers and the ranges of ILNs (or library symbols) in both systems. Corrective scripts are executed to fix any discrepancies in the GGC or in WorldCat.

Note that synchronization is effective but not perfect.

1. Some collections and material types have not been added to WorldCat. These collections cannot be distributed beyond the GGC:
   - EEBO (Early English Books Online)
   - ECCO (Eighteenth Century Collections Online)
   - STCN {May not be a legal constraint but just pending a policy or instruction}

2. Some data has not been added to Worldcat due to concerns over incorrect merging by the WorldCat DDR program. These include:
   - Local/LBS files (pos. 1 KMC 0500 = L)
   - Archiefmateriaal (pos. 1 KMC 0500 = R)
   - Thesaurus (pos. 1 KMC 0500 = T)
   - Objecten (pos. 1 KMC 0500 = V)
   - Acquisition status records (pos. 3 KMC 0500 = a) [Except for WMS migrations]
   - Records where year of publication date begins with “29”
   - Non-moving images (pos. 1 KMC 0500 = I) if 009D/3255 kenmerk or inventory number is missing

3. Some records have different MARC21 content in the GGC and WorldCat. It is important that libraries are aware that a record imported from WorldCat to their local system may have different content when it is ingested from the GGC, and vice versa.
In addition to the scoping constraints of synchronization, differences in the MARC21 content of records across these 2 platforms is caused by 3 factors:

- Historical legacy. At one time GGC records were matched to any existing WorldCat record. Now all are matched to “dut” language of cataloguing records.
- Progressive improvements in the MARC21 export from the GGC. Records synchronized later have a more complete or correct mapping than those sent earlier. If libraries have to address validation errors when editing the record in WorldCat refer to ‘Post-Migration Data Cleaning’
- Work-arounds to WorldCat validation constraints. Sometimes records in WorldCat show characters that have been modified in order to by-pass Worldcat ingest limitations with the full Unicode character set.

Work is in progress to synchronize Archiefmateriaals and Objecten. Libraries that do not hold these materials can commence data creation in WorldCat ahead of synchronization. Others with these materials can start cataloguing their standard collections on WorldCat while they wait for this legacy data to be synchronized.

A global re-synchronization from the GGC to WorldCat will not be performed to improve these M21 content issues. It would be

- partially ineffective: updates are blocked on 15% or approximately 1.1 M records which have already been edited in WorldCat.
- highly disruptive for libraries already working on the platform, especially those using discovery services e.g. WorldCat Local.
- difficult to predict the full extent of the disruption as this type of re-synch has not been tried before.

A partial re-synchronization was performed during 2015, prior to the first UKB transitions to the platform, to reduce the number of GGC records that shared OCNs and improve the situation with previous mis-matches (for example, “e” records to “p”). The main implication for all GGC users was that re-synched records re-linked all attached GGC holdings from one WorldCat record to a new one – usually by creating a new WorldCat record where language of cataloguing is “dut”.

**Strategy for migration:**

As each UKB Library transitions to Worldshare

- OCLC will de-activate SRU 1 way synch of data from GGC to WorldCat.
- OCLC will activate the daily return of WorldCat records to the GGC

Platform transition dates must be known 1 month in advance to ensure OCLC can perform required configuration changes in time.

**6.11 System of truth and implications**

The system (database or source) of truth is the database where the metadata was born or first created. In terms of current OCLC data synchronization practices, the system of truth also requires that data should be maintained or edited where it was created, that is, in its’ system of truth’.

Returning to the system of truth for data maintenance cannot be enforced or practically realized and works against the principles of participating in a shared cataloguing platform. Furthermore
libraries can only return and edit data when there is access to the source system and this is generally unfeasible.

There is also no technical support for database of truth in WorldCat. That is, UKB libraries that start cataloguing on WorldCat will be able to edit records in WorldCat that were originally created and might continue to be maintained in the GGC.

So as noted in the section on Post Migration Data Cleaning, Libraries should
- Use records ‘‘as is’’ and exercise restraint in editing any bibliographic records contributed by other libraries,
- Take specific actions in relation to records for the Dutch National Bibliography

If libraries use and upgrade WorldCat records originally created in the GGC, or elsewhere, adhere to instructions for the shared management of bibliographic data as outlined in the Post Migration Data Cleaning section.

6.12 Synch from WorldCat to GGC

OCLC will activate the daily return of bibliographic and local holdings records from WorldCat to the GGC for data created or updated by UKB libraries on WorldCat. This is done in order to

- support IBL (Interlibrary loan) for the GGC
- support the NCC discovery interface
- sustain the creation of a National Bibliography
- libraries that continue to work in LBS systems
- update the VU-ILS-VUBIS Smart

This return synchronization, using Collection Manager, starts in 2016. It will continue during the period of the transition and cease when there is a common agreement to discontinue the return of data to the GGC. Frequency of loading will be daily.

To support more efficient and simpler maintenance and configuration of existing GGC to WorldCat synch procedures, the GGC will implement a parallel source record model. The basic principles being that

- Records entering the GGC from WorldCat will be treated as a parallel source record
  - No assumptions are made as to whether the record was originally created on WorldCat or added to WorldCat from another source (e.g. GGC synch, British Library load)
- Parallel source records can match GGC records
  - They cannot update the bibliographic (level 0) data
  - They can add or update (change or delete) exemplaar data (level 2)
- Parallel source records that do not match GGC records will be added to the GGC and be visible to cataloguers using WinIBW.
  - The short presentation title will carry the symbol ‘‘W’’
- Parallel records will be clustered for display in the end user interface
  - Clustering will identify, match, merge and link WorldCat Source and GGC Source records that represent the same manifestation.
  - A specific linking tag will be defined. It may be visible to cataloguers but cannot be edited.
Not everything in a WorldCat record will map back to the GGC. New fields will be available for the new discovery tools. Not all new fields will be mapped back as there is not position defined for them in the Pica+ format.

6.13 Synch from WorldCat to LBS

The return of data from WorldCat to LBS will occur via the GGC. The basic methods and mechanisms for first returning data to the GGC are the same as those described in Synch from WorldCat to GGC.

Once the data is in the GGC, existing synchronization or download facilities between CBS and LBS will deliver the required data to the LBS system.

6.14 Synch from WorldCat to local ILSs

The return of data from WorldCat to the non OCLC ILS will occur via Collection manager and might need enhancements to the ILS to ingest data.