

COPY CATALOGING PROCEDURES --DLC/PCC

Revised 3 August 2004

This document presents general copy cataloging guidelines for the HCL TS backlog project using agreed-upon local standards and practices. It assumes a familiarity with Aleph and the MARC format.

General Overview

Workflow is generally determined by the differences in **destination**, **binding**, and **bibliographic copy**. A brief overview is described below:

Destination

There are two major locations for storing/shelving books --in the stacks at Widener Library or off-site at the Harvard Depository (also referred to as 'HD'). Most of the books in the backlog project will be sent to Harvard Depository.

Binding

There are different binding/labeling treatments for paperbacks and hardcovers depending on where they are shelved or stored.

- Paperbacks going to HD require a HD barcode and are sent directly to HD and are (dis)charged to 'in-transit' status
- Hardcover going to HD require a HD barcode and are charged to 'Monographs Shelf Preparation' and sent to End Processing for a bookplate and security strip
- Paperbacks going to the Stacks require a piggyback Stacks barcode and a handwritten call number on the t.p. verso. They are charged to 'Monographs Binding Preparation' and sent to End Processing for binding, bookplate, spine label and security strip
- Hardcover going to the Stacks require a single Stacks barcode and a handwritten call number on the t.p. verso. They are charged to 'Monographs Shelf Preparation' and sent to End Processing to receive a bookplate, spine label and security strip

Bibliographic Copy

There are different levels of bibliographic copy -- member or DLC (Library of Congress) -- requiring varying degrees of editing. Copy level is usually determined by the coding found on the Aleph bibliographic record in the variable field *040* (cataloging source) and in the fixed field LDR (Leader) *006:17 Encoding Level*. Backlog project copy catalogers will begin with the following types of copy:

- Library of Congress full or core copy
 - 040 |a DLC |c DLC
 - 050 00 (a call number assigned by LC)
 - encoding level [blank] or 4
- Library of Congress pre-publication (also known as CIP) copy
 - 040 |a DLC |c DLC
 - 050 00 (a call number assigned by LC)
 - encoding level 8
- Library of Congress copycat copy
 - 040 |a LPU (or similar 3 letter code) |c DLC
 - 042 |a lccopycat
 - 050 00 (a call number assigned by LC)
 - encoding level [blank]

Cataloging Backlog Reduction Project

- PCC member full copy

040 |a ONU (or similar 3 letter code) |c ONU (or similar 3 letter code)
042 |a pcc
050_4 or 090 (a call number assigned by an agency other than LC or locally assigned)
encoding level [blank]

- Library of Congress full or core copy with other types of call numbers

040 |a DLC |c DLC
050 collection level (call number followed by vol. number) or local call
 numbers (for law or African books, etc.) assigned by LC, e.g.:
 050 00 |a LAW
 050 00 |a MLCM 81/3002
 050 00 |a African Section Pamphlet Coll
 050 00 |a HC123 |b .D35 vol. 9
encoding level [blank] or 4

Finished 'Product'

There are 3 separate but linked records in the Aleph database associated with the book-in-hand:

- **bibliographic record**
- **holdings record** (must be linked to the bibliographic record)
- **item record** (must be linked to the holdings record)

Due to system conversion or past practices, not all of these 3 elements will be present in Aleph during the provisional (pre-cataloged) stage. Some books will have a bib. record and a holdings record, others will have a bib. record and an item record, and others will have all three records. Regardless of the number of elements in the pre-cataloging stage, books should have **completed** versions of all 3 elements to be considered 'cataloged.'

Copy Cataloging Procedures: Bibliographic Record

Call up the record for the book in hand (see *Searching for the bibliographic record prior to copy cataloging* document) and verify or revise bibliographic record. The procedures listed below represent a quick checklist for full or core level records. Consult the field descriptions (*MARC fields --local practice* document) for more explanation. Do NOT process multi-volume works or any book with supplementary material (e.g. microfiche, computer discs, etc.).

Verify that the bibliographic record matches the piece:

- title in the 245 field of the bibliographic record matches exactly that on title page of the book. Title should be transcribed exactly as to wording, order and spelling but not necessarily as to punctuation and capitalization.
- do you have the same edition (pay special attention to the edition/printing date conflict)

Check the 020 field (ISBN):

- if 020 contains ISBN for hardcover but book is paperback, add the paperback ISBN if same edition (see *New edition or copy of monograph* document)
- a different ISBN might signal a different edition (see *New edition or copy of monograph* document)

Check 050 (call number), if available:

- books may be sent to HD without a call number
- the 050 or 090 field may contain call numbers unsuitable for use in Widener's collections (see examples below). If the bibliographic record contains a call number of this type and book is destined for HD, process as usual but without the call number. If book is destined for Stacks, set aside for cataloger:

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|a LAW
|a MLCM 81/3002
|a African Section Pamphlet Coll
|a HC123 |b .D35 vol. 9
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Check the 245 field (title):

- 2nd (filing) indicator of the 245 field is correct (i.e., account for the number of characters to be ignored in filing if the title begins with an article)
- subfields *a* (title), *b* (subtitle, if present), and *c* (statement of responsibility) are all required and must match the information on the title page

Check the 1xx and 7xx fields (access points):

- appropriate authors, editors, compilers are present
- if more than 3 of any one type of contributor, only the first name is listed as an access point

Add 246 fields (alternate title) if necessary:

- spell out ampersands or numerals, except for years (246 3_)
- add cover titles that are different (246 14)

Check 250 field (edition):

- edition statements appearing prominently (t.p., t.p. verso, other preliminaries, cover, colophon) must match that in the bibliographic record (using AACR2 abbreviations). A different edition will require a new bibliographic record (see *New edition or copy of monograph* document)

Check the 260 field (publication):

- subfields *a* (place), *b* (publisher), and *c* (publication date) are all required
- account for U.S. city as place of publication in a 2nd subfield *a* if foreign city is typographically prominent as first listing, e.g.:

|*a* Toronto ; |*a* Buffalo : |*b* Guernica, |*c* 2004.

Do a *quick* check of the 300 field (physical description):

- subfields *a* (pagination), *b* (illustrations, if present), and *c* (dimensions) are all required
- correct typos in pagination, but be wary for indications of alternate editions
- Do NOT include plates unless they are separately numbered as pages or leaves
- if subfield *b* is missing and the book in hand is illustrated, add only the general term “ill.” and/or “maps” and remember to correct the fixed field as well (008 field / byte 18)
- add subfield *c* if it is missing, but do not verify measurements unless there is an obvious typo. Dimensions are rounded up to the nearest cm. If the width of the book is either less than half the height or greater than the height, record the dimensions as height times width, (e.g. 10 x 18 cm.)

Check 440 or 490/8xx fields (series statement):

- any series statement found on the book must match that on the bibliographic record
- consult series document for specific procedures (see *Monograph series* document)

Add a 504 field (bibliography note) if applicable:

- add if missing or edit if pagination is incorrect or missing. The most commonly found format of a 504, with or without the index note, is:

Includes bibliographical references (p. #-#) and index.

Check for valid 6xx fields (subject headings) for non-literary works:

- 2nd indicator of 6xx fields must be 0
- ignore 653 fields

Check 008 Fixed Field for accuracy:

- position 07-10 (Date 1) should correspond to 260 subfield *c*
- position 15-17 (Place of publication) code for place of publication in 260 subfield *a* (see *HCLTS home page --Net resources --Cataloging resources--Quick links --MARC 21 country codes*)
- position 18-21 (Illustration codes) should correspond to 300 subfield *b*
- position 24-27 (Nature of contents) will include a 'b' if bibliographic record includes a 504 field
- position 31 (Index) is '1' if book has an index or '0' if no index present
- position 35 (Language) code for language of the book (See MARC code list for languages at <http://www.itsmarc.com/crs/lang0098.htm>).

Delete 049 field if bibliographic record has been edited:

- changes to the bibliographic record cannot be saved if 049 is present

Copy Cataloging Procedures: Holdings Record

Open or create a holdings record. (See *Editing a bibliographic record and creating a holdings and item record in Aleph* document.) Past practices and conversion processes may result in variations in the existing holdings record, or no holdings record at all. Once a Widener holdings record has been created or opened, add or revise the following fields. (Listed below is an explanation of the values entered by the holdings macro.)

LDR (Leader)

Only 3 positions are available for modification. The macro will enter the following values for monographs (except for multi-volume sets)

06 (Type of record) **x**
 17 (Encoding level) **1**

OWN (Owner of the holdings record)

The subfield **a** is coded **WID** for books in Widener's collections. This field is system supplied when holdings record is saved (or when using macro)

008 (Fixed length data elements)

The macro will enter the following values for monographs (except for multi-volume sets):

06 Receipt or acquisitions status	2 (received and complete)
07 Method of acquisition	p (purchase)
12 General retention policy	8 (permanently retained)
16 Completeness	4 (not applicable; used for single part items)
17-19 Number of copies reported	001 (only one copy of book is owned by Widener)
20 Lending policy	u (unknown)
21 Reproduction policy	u (unknown)
22-24 Language of captions	[blank] (no coded chronological data in the 863 fields)
25 Separate or composite report	0 (separate)

LKR (Aleph linking field)

The bibliographic record and the holdings record for the book have different system numbers but they must be linked together. The LKR field contains the system number of the bibliographic record to which it is attached (in subfield **b**). The macro will not adjust this field. It must be changed manually if necessary. (See *Editing a bibliographic record and creating a holdings and item record in Aleph* document.)

852 (Location)

The 852 field contains the shelving scheme, collection code and call number. Call numbers are not required for books going to HD but the macro will automatically add to the 852 whatever it can pull from the 050 or 090 of the bibliographic record.

first indicator (Shelving scheme)

[blank] no information provided (when bib. record has no call number)
 0 Library of Congress classification (when bib. record contains 050 or 090)

second indicator (Shelving order)

[blank] no enumeration (monographs, except for multi-volume sets)

subfield **b** (Collection code) coded **WID** for books in Widener's collections

subfield c (Shelving location)

- HD books sent to the Harvard Depository
- WIDLK books shelved in Widener Stacks with an LC or LC-style call number

subfield h (Classification part)

from subfield *a* of the 050/090 on the bibliographic record

852 0_ |b WID |c WIDLK |h HC123 |i .E78 1998

subfield i (Item part)

from subfield *b* of the 050/090 on the bibliographic record

852 0_ |b WID |c WIDLK |h HC123 |i .E78 1998

DLC (Library of Congress) copy with a Z class call number will often contain an alternate class number without the cutter. The macro will enter (after prompting) the base number from subfield *a* in the DLC record. It is OK to use the base number without a cutter if sending book to HD.

H08 (Cataloging status)

subfield *a*

- c cataloged (the macro will enter this value)
- p preliminary, not cataloged (an *incomplete, uncataloged* holdings record)

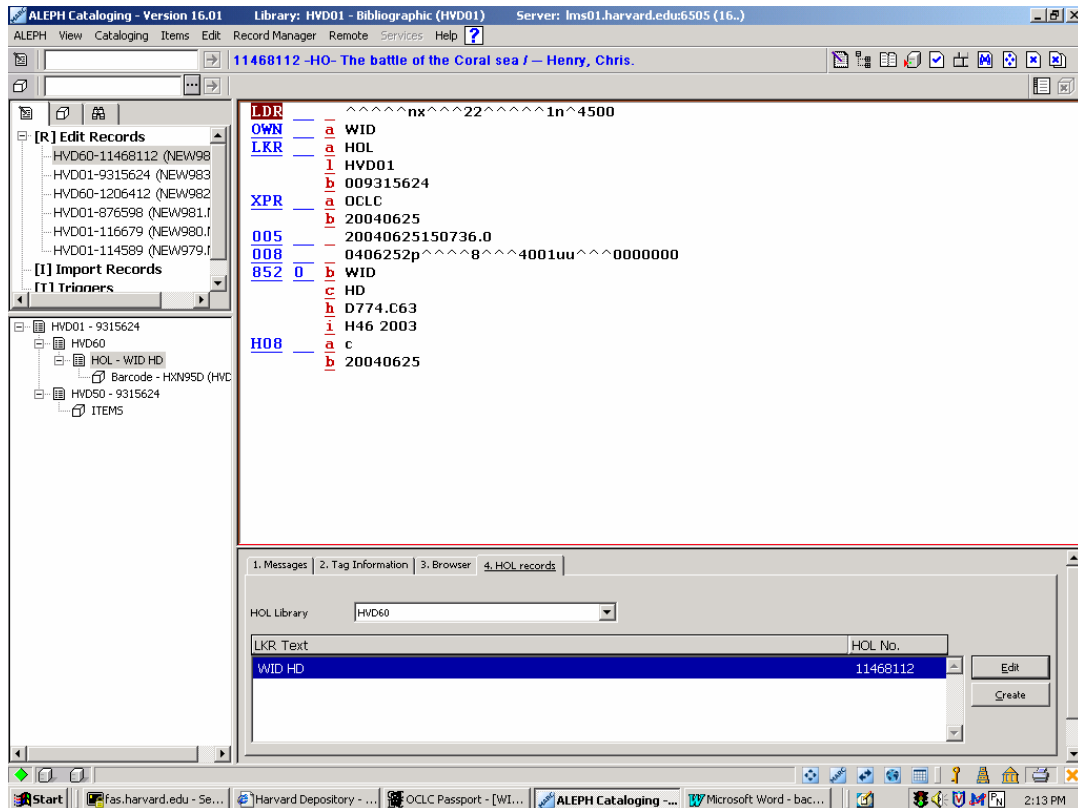
subfield *b*

- t the macro will enter this value (upon saving record, system will change this code to current date)

XPR (Send record to utility)

The macro will enter the following values:

- subfield *a* OCLC (the name of the national utility)
- subfield *b* current date in form *yyyymmdd*



Copy Cataloging Procedures: Item Record

Open or create an item record (See *Editing a bibliographic record and creating a holdings and item record in Aleph* document.) Past practices and conversion processes may result in variations in the existing item record, or no item record at all. Once an item record has been created or opened and its link to the correct holdings record has been established, add or revise the following fields:

Tab 2 (General Information (1))

- Barcode Replace system supplied barcode by scanning HD or Stacks barcode into this field. Verify that the item record received the barcode correctly. This is a critical step for books sent to HD. Use the appropriate barcode for the piece. HD barcodes have 6 alpha-numeric digits with 1 check digit and begin with the prefix 'H'. Single Stacks barcodes have 14 digits and (currently) begin with the numbers 3 2004. Piggyback Stacks barcodes look like single Stacks barcodes but have an extra layer of coated paper between the adhesive and the printed barcode.

HD hardcovers	HD barcode on the upper left corner of the cover
HD paperbacks	HD barcode on the upper left corner of the cover
Stacks hardcovers	single Stacks barcode on the top right corner of the inside back cover
Stacks paperbacks	piggyback Stacks barcode on bottom of t.p. verso
- Sublibrary coded automatically via 'Refresh' button from subfield *b* of holdings record
- Collection coded automatically via 'Refresh' button from subfield *c* of holdings record
- Material Type code as **BOOK** (change any instances of the abbreviated form 'BO')
- Hol. Link the item record must be linked to its appropriate holdings record by system. See *Editing a bibliographic record and creating a holdings and item record in Aleph* document.)
- Call number coded automatically via 'Refresh' button from subfield *h* and *i* of holdings record
- Item Status most books in the backlog project are coded as **01** (Regular loan)
any book stamped "Does not circulate" is coded **02** (In-library use)
- Item Process Status code as 'HD' for books sent to Harvard Depository or code as [blank] for books shelved in Widener. Any existing 'RE' code will need to be replaced.

Tab 3 (General Information (2))

- Remote Storage ID
code as 'HDEP' for books sent to Harvard Depository or code as [blank] for books shelved in Widener

Copy Cataloging Procedures: Charging Books in Circulation Module

All books are tracked as they move from cataloging to their final destination. This is accomplished by charging the barcode on the piece to another department or to an 'in-transit' status. (See *How to edit a bibliographic record and create holdings and item record in Aleph.*)

Hardcover books for Widener **Stacks**
charge to 'Monographs Shelf Preparation' in End Processing (00678333)

Paperback books for Widener **Stacks**
charge to 'Monographs Binding Preparation' in End Processing (00678325)

Paperback books to **Harvard Depository**
(dis)charge to display an 'in-transit' status

Hardcover books to **Harvard Depository**
charge to 'Monographs Shelf Preparation' in End Processing (00678333)