Outsourcing Policies and Procedures

For more information see CAT1 Functions as an Outsourcing Option and Vendor Obligation to Adhere to PINES Policies

If a PINES library system chooses to utilize the services of a vendor to handle any of their cataloging responsibilities, it is mandatory that those vendors follow the same set of standards and adhere to all approved PINES policies just as the hiring system itself would have to do. It should be stressed that the library that engages an outsource vendor is itself responsible for reviewing the work done in PINES on its behalf, and further, will be held responsible for the quality of the work just as if it had been done by its own staff members (See Appendix D)

For copy cataloging, vendors will adhere to the same PINES copy cataloging specifications as PINES catalogers; for original cataloging, vendors will adhere to the Original Cataloging Specifications as outlined below.

Vendor Evaluating Procedure for Copy and Original Cataloging for PINES

No vendor will be evaluated for PINES cataloging unless it first has a client library within PINES . Initial contact with the PINES Cataloging Specialist concerning the potential vendor must come from the PINES library and not the vendor.

1. Once a PINES library informs the PINES Cataloging Specialist of a new vendor to be approved and provides the vendor's cataloging contact person, the Specialist will contact the vendor to start the evaluation process.
2. Currently, PINES approves cataloging outsourcing for three formats: books, sound recordings, and visual materials. The PINES cataloging Specialist will first send over all PINES cataloging policies and procedures for the vendor to review. Once the vendor agrees to those policies and procedures, the Specialist will do the following:
3. For copy cataloging, the Specialist will send the vendor matching exercises for the formats the PINES library is intending to contract with the vendor for service. The Specialist will evaluate the vendor catalogers' answers to the exercises for accuracy.
4. For original cataloging: vendor needs to send the Specialist three new records for each desired format to check.
5. After the Specialist has checked the vendor's work and has evaluated the quality and accuracy of the work for copy or original cataloging, the Specialist will inform the library and the outcome.
6. If the vendor is approved for cataloging for the PINES library, the head cataloger of the library system will be responsible for training its new vendor on how to use OCLC and Evergreen. The Specialist will assist in vendor training if needed.
7. OCLC requires the completion of a third-party agreement form in order for a new vendor to use the client library's OCLC authorization to the OCLC cataloging utility.

The Specialist can help both the library and the vendor with the paper work once the cataloging evaluation is completed and the vendor is approved.

Original Cataloging Guidelines and Specifications for Vendors

February 25, 2005; Rev. January 23, 2007

Procedures for PINES Outsourcing Libraries: PINES libraries can outsource original cataloging of materials in three formats:

- Books
- Visual materials
- Sound recordings

1. A member library planning to outsource its original cataloging must have a fully-trained PINES cataloger (Cat1) who will ensure the quality of all vendor work.
2. Before an agreement is signed between a vendor and a library for outsourcing work, the vendor must agree to follow PINES policies and procedures and cataloging specifications for original cataloging as specified in this document.
3. In order to ensure analysis and approval of the vendor's qualifications, outsourcing libraries must send written notification of the intention to outsource as early in the process as possible to the PINES Director. In no case should outsourcing work begin before the vendor is approved by PINES.
4. Outsourcing libraries will use their own OCLC authorizations for their vendors' original cataloging on the OCLC utility; they will fill out OCLC third party agreements with their vendors for use of the OCLC authorizations and they will send the original documents to OCLC directly, with copies to the PINES Director.

Qualifying Procedures of Vendors and Quality Control of Their Original Records

Prior to working for PINES libraries, vendors must have a demonstrated ability to create quality, full-level MARC records following PINES and national standards in OCLC's WorldCat.

Before a contract is signed between a vendor and a PINES outsourcing library, vendor will present PINES at least 3 original records for items in needed format(s). There should be no matching records available for those items in national databases (OCLC and LOC). The PINES Cataloging Specialist and other PINES senior cataloging staff will review the quality of vendor's original records. If the vendor is considered qualified to do the original cataloging, PINES will notify the outsourcing library of the vendor's qualification to do original cataloging.

In addition to following the cataloging specifications below, vendor records should:

- Be error free in the descriptive fields of 245—300 fields;
- Contain only authorized headings when available; when not, construction of headings should follow AACR2r rules; and

- Maintain an overall error rate less than 5%.
- Duplicate records added to the OCLC database will constitute an error rate of 100% for that record.

For three-months, the library's head cataloger will work closely with the PINES Cataloging Specialist to check all vendor original records in the following manner:

- The cataloger must verify the accuracy of bibliographic information in each record against each piece in hand (focusing on 100, 245, 260, 300, 505 and the rest of 5xx fields as needed).
- The cataloger must report all bibliographic inaccuracies in records accurately and in a timely manner, both to the vendor and to the PINES Director.
- The PINES Cataloging Specialist will check for other possible coding and descriptive errors as well as verify all controlled fields (1xxs, 2xxs, 4xxs, 6xxs, 7xxs, and 8xxs). The library will provide the Coordinator with any materials required to accurately assess these areas, if needed.
- When a qualified vendor starts original cataloging for a PINES library (if using OCLC), it will provide all OCLC control numbers of its original records to the head cataloger of the library, who will in turn report them to the PINES Cataloging Specialist for quality control. The head cataloger of the contracting library remains the primary manager of descriptive quality control for all original cataloging.

Failure to sustain PINES standards for original cataloging will result in immediate notification to the contracting library that the vendor has exceeded the specified error rate. It is the library's responsibility to ensure that the vendor's work meets the standards set by PINES for all cataloging work; failure to address significant problems may result in the suspension of the library's Cat1 access to PINES.

Level of Original Cataloging: PINES requires that full-level cataloging (OCLC "I" level) records be created for all English language materials

1. Descriptive cataloging: full-level (I-level) descriptive cataloging on OCLC system corresponds to the second level of description in AACR2R 2002 rev. Rule. 1.02D (as follows):

- Title proper [general material description] = Parallel title : other title information / first subsequent statement of responsibility ; each subsequent statement of responsibility. – Edition statement / first statement of responsibility relating to the edition. – Material (or type of publication) specific details. – First place of publication, etc. : first publisher, etc., date of publication, etc. – Extent of item : other physical details ; dimensions. – (Title proper of series / statement of responsibility relating to series, ISSN of series ; numbering within the series. Title of subseries, ISSN of subseries ; numbering within subseries). – Note(s). – Standard number

2. Subject headings: Whenever possible, PINES uses Library of Congress Subject Headings and/or Guidelines on Subject Access to Individual Works of Fiction, Drama, Etc. (2nd edition) as supplement genre headings as needed.

3. Authority checking:

- Check authority files for all controlled headings 1xxs, 2xxs, 4xxs, 6xxs, 7xxs and 8xxs.

4. Other general practices:

- Always give a 500 note on source of title proper if a title in 245 is not from the chief /prescribed

sources of information (for each format of materials being cataloged).
- No local headings (69x fields) and information (59x fields) should be added to the bibliographic record. Only LSCH or genre headings from GSAFD are accepted. As above, 1xx and 7xx fields must either be authorized forms or, if no authorized form is available, they must follow AACR2 guidelines.

5. For non-fiction books, add DDC call numbers matching (at minimum) the first subject heading in record. 6. Follow AACR2 note order for books format and the recommended order for AV materials (see note order attached under each format below).

PINES Original Cataloging Specifications for Books

Fixed fields: All fixed fields must be coded correctly according to current practice (see OCLC Formats and Standards); always use “I” for Encoding Level.

Variable fields: The following variable fields must be present in delivered MARC records when information is available and/or applicable.

(Controlled variable fields: “_” =blank value in indicators; “$” = subfield delimiter.)

010 LCCN number

020 ISBN

024 1_ UPC number, usually 12 digits

024 3_ EAN number, usually 13 digits, if there is an additional 5 digits, use $d following $a, e.g.024 3_ 1234567891023 $d 12345

082 _4 use 1st indicator 0 if using a full DDC ed.

Add a Dewey call number for non-fiction books in the 082 field with 2nd indicator 4. The 082 should match the first subject heading of the record, e.g.

082 04 641.3/09 $2 22

650 _0 Food $x History.

100 (authority check required).

240 (authority check required).

245

246 As necessary:

245 10 **1st** to die.

246 3_ **First** to die

245 10 Father **&** son.

246 3_ Father **and** son

For large print books, follow LC practice for subfield $a: 300 524 p. (large print)

For unpaged children's books, follow LC practice instead of bracketing counted pages:

300 1 v. (unpaged); Not 300 [24] p.

440 (authority check required).

500 Title from … note: This is mandatory if 245 title proper is not from the title page. e.g., 500 Cover title. 504 If fixed field Cont: is "b"—biographies.

521 Target audience note if such information available on piece.

520 A brief, objective note needed for children's materials and adult visual and sound recordings.

505 As needed.

6xxs At least one LCSH is needed in a record, more if necessary to accurately reflect the subject of the work. 655 _0 for coding LCSH genre headings: 655 _0 Large type books. Not 650 _0 Large type books. 655 _0 Domestic fiction. Not 655 _7 Domestic fiction $2 lcsh

Use form heading "$v Juvenile literature" or "$v Juvenile fiction" for juvenile materials.

7xx As needed. 8xxs Must be present if 490 1_ (first indicator) is present in record.

PINES Cataloging Specifications for Sound Recordings

Fixed fields: All fixed fields must be coded correctly according to OCLC Formats and Standards. The following variable fields must be present in delivered MARC records when information is available and/or applicable. Use only authorized general material designations [GMD] for subfield $h.

Controlled variable fields:

- 010 LCCN
- 007
- 020 ISBN
- 024 1 UPC number, usually 12 digits, Or
- 024 3_ EAN number, usually 13 digits, if there is an additional 5 digits, use $d following $a, e.g. 024 3_ 1234567891023 $d 12345
- 028 02 Music number $b Publisher (from 260 $b) if such information is available.

Variable fields:

- 1xxs
- 240
- 245 $h [sound recording] –AACR2-authorized GMDs only
- 250
- 260
- 300 For sound cassettes, no $c; for sound disc, $c 4 ¾ in.
- 440
- 500 Compact disc. This note is needed for a compact disc record.
- 500 Source of title as needed.
- 521 Add target audience note only if such information is available on piece.
- 520 Add a summary note if information in rest of record is not clear.
- 505 Add contents for music sound recordings if such information appears on piece.
- 511 0_ Read by … is a required note if such information is available for an audio book.
- 518 Date/place of recording if such information is available.
- 5XX Other notes as needed.
- 6xxs At least one LCSH in record. Use form headings “$v Juvenile sound recordings” for juvenile fiction and/or non-fiction work.
- 7xx As needed
- 8xx Must be present if 490 1_ (first indicator) is present in record.

PINES Cataloging Specifications for Visual material

Fixed fields: All fixed fields must be coded correctly according to OCLC Formats and Standards, use of “K” for Encoding Level is acceptable if videocassette is not viewed and the record was created according to information on cassette label/container, etc. The following variable fields must be present in delivered MARC records when information is available or applicable:

Controlled variable fields:

- 010 LCCN number
- 007
- 020 ISBN
- 024 1_ UPC number 12 digits, Or,
- 024 3_ EAN number, usually 13 digits, if there is an additional 5 digits, use $d following $a, e.g. 024 3_ 1234567891023 $d 12345
- 028 40 Publisher’s numbers $b Producer in 260 $b if such information is available.
- 1xxs
- 240
- 245 $h [videorecording] use only AACR2-authorized GMDs
- 250 Mandatory if information is available.
- 260
- 300
- 440
- 538 VHS, or DVD: mandatory.
- 500 Source of title as needed. As needed.
- 508 As needed.

- 521 Target audience note if such information appears on piece.
- 520 If information in rest of record is not clear.
- 505 As needed.
- 6xxs At least one LCSH.
- Add one genre heading “655 -0 Feature films” to all non-juvenile fiction film of 40 minutes or longer.
- Use one genre heading “655 _0 Children’s films” for all juvenile videorecordings, AND add one form heading “$v Juvenile films” for either fictional or factual treatment of a topic.
- 7xxs Trace film producer/director/screen writer if available. Trace leading actors/actresses; leading supporting roles. Trace first publisher/distributor: e.g. 260 Fayetteville, GA : $b Georgia Home Education Association : $b Lundberg Productions, $c 1996.
- 8xx Must be present if 490 1 (first indicator) present in record.

Current PINES Approved Vendors:

- **Baker and Taylor**: copy cataloging and original cataloging for books only.
- **Ingram**: copy and original cataloging for the three formats approved.
- **BWI**: copy and original cataloging for the three formats approved.
- **Brodart**: copy and original cataloging for the three formats approved
- **Quality Books**: copy and original cataloging for the three formats approved
- **Recorded Books**: copy and original cataloging of audio items only.

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