PINES Cataloging Manual:

policies and procedures

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Chapter 1 **Sources for Cataloging Standards**

Libraries participating in PINES should have the following cataloging resources available to the cataloging staff. **NOTE**: If they will be doing original cataloging into OCLC it is *mandatory* that the most recent editions—with updates—are in hand when those records are created. Below is ordering information as of August 2008, but sources should be checked in case later editions/versions have been published since this documentation was prepared.

Joint Steering Committee for Revision of AACR, American Library Association, Canadian Library Association, and Chartered Institute of Library and Information Professionals (Great Britain). 2005. 2nd edition, 2002 revision plus amendments. *Anglo-American cataloguing rules*. Chicago: American Library Association.

Available for purchase at http://www.alastore.ala.org or http://www.amazon.com/

2002 Revision, 2005 Update (Kit)

Complete text with annual updates from 2003 through 2005, plus tabs

ISBN-13: 9780838935552

ISBN-10: 0838935559

2002 Revision: 2005 Update (Update Pages Only)

Binder ready loose-leaf pages

ISBN-13: 9780838935576

ISBN-10: 0838935575

OCLC. 2002. *Bibliographic formats and standards*. 3rd edition, last updated: August 2007. Dublin, Ohio: OCLC.

Print copies no longer distributed. Available online at http://www.oclc.org/bibformats/default.htm

Dewey, Melvil, Joan S. Mitchell, Julianne Beall, Giles Martin, Winton E. Matthews, and Gregory R. New. 2003. *Dewey decimal classification and relative index*. Edition 22. Dublin, Ohio: OCLC Online Computer Library Center.

All editions and formats available at https://www3.oclc.org/dewey/

4-volume hardback set, Unabridged

ISBN-13: 9780910608701

ISBN-10: 0910608709

Dewey, Melvil, and Joan S. Mitchell. 2004. *Abridged Dewey decimal classification and relative index*. Edition 14. Dublin, Ohio: OCLC Online Computer Library Center, Inc.

All editions and formats available at https://www3.oclc.org/dewey/

ISBN-13: 9780910608732

ISBN-10: 0910608733

WebDewey and *Abridged WebDewey*

WebDewey is a web-based version of DDC 22. *Abridged WebDewey* is a web-based version of the Abridged 14.

All editions and formats available at https://www3.oclc.org/dewey/

If you are cataloging a fiction item and want to add genre headings you may use the headings in *Guidelines on Subject Access to Individual Works of Fiction, Drama, Etc.*—known in abbreviated form as "gsafd."

American Library Association. 2000. *Guidelines on subject access to individual works of fiction, drama, etc*. 2nd ed. Chicago: American Library Association.

Available at www.amazon.com

ISBN-13: 978-0838935033

ISBN-10: 0838935036

The standards contained in the cataloging sources listed above should be consulted and followed when entering new records into OCLC and when modifying existing records in the PINES bibliographic database.

Chapter 2 **Records and Their Ownership**

Records in the PINES cataloging file consist of two portions. The first portion is a **bibliographic title record**, containing cataloging information at title level (e.g., author, title, edition, publishing information, physical description, etc.). The next portion of a cataloging record is an **item record** containing local holdings' information such as Call Number and copy information. Since only one bibliographic record for each unique entity should be entered into the database, the title record is "owned" by all participating systems. Local information of a library's holdings belongs to the entering library. While adding, deleting, or editing a bibliographic record at the title level should be undertaken in accordance with PINES Copy Cataloging Specifications below, local library systems make their own decisions on local processing policies and procedures for handling their item information.

Libraries participating in PINES should *only* make changes to their own Item Records. Consequently, only the "owning" library has the right—or the knowledge—to make changes. If someone working with a record notices what appears to be an error in an item record, or if a holding appears to be attached to an incorrect bibliographic record, a request to check on the matter should be sent to the cataloging contact person at the system in question. If many libraries need to be contacted, a message can be sent to the CAT-L. In such cases it is very helpful to list in the subject line the systems that need to do the checking. If there are too many to list, a more general notification may be sent.

If your system is notified that there seems to be a problem with one of more of your item records, you have an obligation to check on the matter and to try to resolve any problems that you find. If resolution of a problem is not possible with the authorization level available within a system, it may need to be referred to http://help.georgialibraries.org.

Chapter 3 **Cataloging Functions in Multi-Site Library Systems**

All cataloging functions carried out in a system should take place at the headquarters location. This practice applies to both multi-county systems as well as to single county systems that include more than one site. The exception to this would be if a cataloger from the headquarters office traveled to a branch to undertake a special bibliographic project. This type of activity should always be of a temporary nature.

Chapter 4 Qualifications and Training for PINES Catalogers

All PINES catalogers performing copy cataloging should be able to:

1. Understand/interpret MARC records;

2. Have knowledge of and follow established matching criteria for all major formats (such as books, sound recordings, and video materials);

3. Search PINES efficiently and accurately;

4. Use the Z39.50 to search OCLC and bring and edit matching records;

5. Search OCLC (using the Connexion Client) efficiently;

6. Edit records as needed according to PINES established standards;

7. Use the Transfer functions for transferring holdings from poor or wrong records to better records and/or merging duplicated records for its own system;

8. Overlay a poor record or a K-record with a better OCLC record.

9. All PINES trained catalogers should stay on PINES-cataloging list: please subscribe at

    http://libmail.georgialibraries.org/mailman/listinfo/cat-l

Chapter 5 **Copy Cataloging Procedures**

5.1 Definition of copy cataloging

Generally speaking, copy cataloging means that a cataloger copies a matching, existing cataloging record for an item in hand from a bibliographic utility or database, edits it to follow local cataloging rules and practices, and then attaches holding (item or copy) information to the bibliographic record.

In PINES, copy cataloging means more specifically that a PINES trained cataloger, known as CAT1, finds a matching bibliographic record either from the PINES bibliographic database or from OCLC's database WorldCat (OCLC hereafter), and if editing is required, edits it to follow PINES cataloging specifications, then attaches the library's holdings to the record.

A Cat1 person in the PINES system has the highest cataloging authorization to work with bibliographic records at each PINES library system. **Training for any new PINES cataloger is mandatory**. PINES has the right to revoke cataloging privileges of any member library if its work repeatedly fails to meet with the established standards. If there is a cataloging staff change in a PINES library, it is the library's responsibility to notify the PINES Cataloging Specialist of the change so that training can be done as soon as possible. The Coordinator arranges and conducts or oversees all training for new catalogers.

5.2 Required Attendance at Applicable PINES Training Sessions

Attendance at PINES training sessions is considered to be mandatory unless arrangements to the contrary have been made with the PINES Cataloging Specialist or another PINES staff member. "Make-up" sessions are normally required in such situations. For libraries that repeatedly do not send staff members to training sessions, it may be necessary to **require** additional training or request evidence (such as examples of applicable work) to determine if the training is necessary.

Continued failure to attend training sessions (usually missing three or more) without making alternate arrangements can result in a system being declared non-compliant and their Cat1 authorization being deactivated. The re-activation process is explained at the end of the following section.

5.3 Non-adherence to Established PINES Cataloging Policies

The following situations could cause a PINES system to be declared non-compliant. [NOTE: Additional conditions might be added to this list as new situations arise.]

- Not reading messages posted on the Cataloging Listserv (CAT-L) and/or not following the instructions/requests stated therein
- Not being familiar with and following established standards (listed at the beginning of this Policy document)
- Refusing to follow established PINES policies and procedures
- Allowing Cat1-level work to be done by a person who has not been adequately trained
- Allowing cataloging work to be done in the branches (other than by visiting catalogers from the central office who are working on special projects)

A PINES system can be declared as being non-compliant with PINES cataloging policies, procedures, and/or standards if on three separate occasions the PINES Cataloging Specialist has warned the system about a problem, and the PINES Program Manager has sent a warning letter to the system's director, but problems continue to occur. At that point their Cat1 authorization can be deactivated.

To re-gain authorization the system director and cataloging staff of the non-complaint system will have to confer with the PINES Cataloging Specialist and Program Manager to establish the process by which the system will be able to re-gain Cat1 authorization. When the Cataloging Specialist has determined that the conditions have been met successfully, Cat1 status will be reinstated.

5.4 Copy Cataloging Workflow:

1. Start with searching PINES bibliographic database thoroughly. If a matching record is found for an item in hand, attach and process holdings.

2. If no matching record is found in PINES, then search OCLC's WorldCat via the z39.50 gateway or the Connexion Client. If a match is found in WorldCat via the client, record the OCLC control number. Go back to PINES to bring it in via z39.50 using the control number.

3. If no matching record is found in either database or World Cat, and the item is not something needed right away, set it aside for a week or two and search again. Chances are someone else will have added a record for the item within that time.

4. If a matching-record is not found, and a new record is needed, a cataloger may want to create an original record. Training in original cataloging is required for those who have never done original cataloging. Please contact the PINES Cataloging Specialist to arrange for training. Creating new records based on PINES existing records is forbidden in PINES (no such function on Evergreen as of May 2008).

5. Creating new records on the local system is limited only to certain cases (see K-record guidelines p. 17); all new records should be entered in OCLC if possible.

5.4.1 Copy Cataloging Specifications

5.4.1.1 Bibliographic Matching Criteria (monographs only) : A Short Version

PINES matching guidelines: **An in-coming record must be an exact match**: a PINES cataloger has to find an exact matching record for the item in hand either in PINES or from OCLC. If it is decided that a match is not found from either database, s/he should NOT bring in a near-match from OCLC and alter it to fit the description of the item in hand. When in doubt as to whether a near-match bibliographic record is an actual match, please contact the PINES Cataloging Specialist.

When searching PINES or OCLC WorldCat for monographic bibliographic records, the following criteria apply. For detailed field-by-field matching, see OCLC's manual Section 4 "When to input a new record" in Bibliographic Formats and Standards at http://www.oclc.org/bibformats/default.htm or the pamphlet format:

Association for Library Collections & Technical Services. 2007. *Differences between, changes within guidelines on when to create a new record*. Chicago, IL: Association for Library Collections & Technical Services. http://bibpurl.oclc.org/web/20667

You can download the document's pdf file from the ALCTS (Association for Library Collections and Technical Services) website at http://www.lita.org/ala/alcts/sections/cataloging/default.cfm.

5.4.1.1.1 Field guidelines

245      $a   must match (esp. for books);

  Note: for AV materials, check 500 notes on sources of title information if titles in 245 fields don't quite match your title on the piece in hand.

245      $b   May match; matching information could be in a note.

245      $c   May match; matching information could be in a note.

250      $a   must match (OK 1st ed. vs. no edition statement).

260      $a   should match in most cases, but change of place within the same country between printings of the same edition and variation in choice of place for items with more than one place of publication is allowed. If more than one place of publication is involved, the FIRST place on your piece should match the first place in the record.

260      $b   should match in most cases, but change of publisher among parts of multipart item, variation in choice of publisher for an item having more than one publisher, and variation in choice of publisher when the publishers are part of the same organization (e.g. Puffin vs. Penguin) is allowed.

260      $c   must match unless the date is in brackets or with question marks.

300      $a   must match, but there are slightly varying styles of entry for multi-parts of on-going publications (e.g., 300 4 v. vs. 6 v. etc.), use best judgment or ask for help if you are not sure.

300      $b   must match for AV materials, but there may be slightly varying styles of entry.

300      $c   must match for AV materials. For books, if the dimension varies by a few centimeters, and that is the only difference, consider it a match.

440 or

490/8xxs $a   must match if present, but tracing can differ. Be aware of non-standard series statements.

501   "With note." Must match.

511   Performers, narrators, presenters, etc. must be same for AV materials; such information could be in a 500 note.

505   Contents must be same; but be aware of partial or incomplete contents by examining the first indicator of this formatted note field.

533   Reproduction note: Must match if present.

538   For Audiovisual materials, formats must be the same: Beta is not VHS; CD is not cassette; DVD is not videocassette. For electronic resources, System requirements should be the same.

546/041   Language note/code must be the same.

5.4.1.1.2 Selected Publishers and their imprints:

Penguin Group (USA)

Berkley Books	Paperstar
DAW Books	Perigee Books
Dial Books for Young Readers	Plume
Dutton	Puffin Books
Dutton Children's	Rendezvous Press
Jove (Pyramid Books)	Riverhead Books
New American Library (NAL)	Rough Guides
Roc Books	Topaz
Signet	Verso
Onyx	Viking Press
Signet Classics	Viking Children's

Rowman & Littlefield Publishers

Rowman & Littlefield Publishers	R & L Education
AltaMira Press	Rowman Education
Cowley Publications	Scarecrow Press
Government Institutes	ScarecrowEducation
Hamilton Books	Sheed & Ward
Jason Aronson Psychotherapy	S R Books
Lexington Books	University Press of America

Harlequin Romance Imprints

Gold Eagle	Kimani Press Sepia
Harlequin Romance	Kimani Press TRU
Harlequin American Romance	LUNA Books
Harlequin Blaze	MIRA Books
Harlequin Everlasting Love	Red Dress Ink
Harlequin Ginger Blossom	Silhouette Desire
Harlequin Historicals	Silhouette Nocturne
Harlequin Intrigue	Silhouette Romantic Suspense
Harlequin Medical Romance	Silhouette Special Edition
Harlequin NASCAR	Steeple Hill Cafe
Harlequin Next	Steeple Hill Love Inspired
Harlequin Presents	Steeple Hill Love Inspired Suspense
Harlequin Superromance	Steeple Hill Love Inspired Historical
HQN Books	Steeple Hill Women's Fiction
Kimani Press Kimani Romance	Spice Books
Kimani Press Arabesque	Worldwide Library
Kimani Press New Spirit	

Simon & Schuster imprints

Adult

Atria Books	Scribner
Beyond Words Publishing	Strebor
Free Press	The Touchstone and Fireside Group
Howard Books	Threshold Editions
Kaplan	Washington Square Press
Pocket Books	

Young adults and children

Aladdin Paperbacks	Paula Wiseman Books
Atheneum	Ruckus
Fireside Books	Simon & Schuster Libros Para Niños
Little Simon	Simon Pulse
Little Simon Inspirations	Simon Scribbles
Margaret K. McElderry Books	Simon Spotlight
Simon & Schuster Books for Young Readers	Simon Spotlight Entertainment

Kensington Books

Aphrodisia	Twin Streams
Brava	Urban Soul
Citadel	Vibe Street Lit
Dafina	Zebra
Pinnacle	

Thomas Bouregy & Co

Avalon Books

Infobase Publishing

Bloom's Literary Criticism
Facts On File
Cambridge Educational
Checkmark books
Chelsea House
Ferguson Publishing
Films for the Humanities & Sciences

5.4.1.1.3 Some special cases:

1. Paperback ed. vs. Hardback ed.

   You can attach a paperback item to a record for a hardback and vice versa if the binding (|c cm.) is the only difference. (Note: A paperback added to a record for a hardback edition would probably be a "Trade paperback" not a "Mass Market" one.)

2. Book club ed. vs. regular ed.

You can attach a Book club edition to a record for a regular edition if the ed. statement is the only difference.

3. Use the record if an art work date for a new binding is the only difference: There are occasions when books, particularly paperbacks, are re-released with a new cover. In such a case there is no content change.

4. 028 fields when matching AV material

a. For a visual item (VHS/DVD), if the number in 028 is the only difference, consider the record a match.

b. For an audio item (cassette/compact disc), if the number in 028 is clearly different, DO NOT consider the record a match.

5. Choice of preferred record when there are multiple options--given in the order of preference:

- DLC records
- PCC records (with 042 field, created by libraries participating in the Program of Cooperative Cataloging)
- Records having the largest number of library symbols in the 040 field

In addition:

• Learn which libraries do quality records and prefer their records.

• Choose the record with the higher level of encoding over one with a lower level.

• Choose the record with a complete set of access points over one without a complete set.

5.5 Editing In-coming Records from OCLC: DOS and DON'TS

Types of records to be edited in PINES: we require that incoming OCLC records not be altered or edited in any way that affects matching parameters. Editing should be limited, especially in the descriptive fields 2xxs—5xxs, to correcting typographical errors and/or coding errors or adding obviously missing information. Local notes that only apply to copies at one library system should not be added to bibliographic records. Local notes are restricted to the volume/copy level of the record in PINES.

PINES requires that a member library edit a record in the following cases, particularly if this library is the very first one to import the record:

5.5.1 Editing records with obvious typing and/or coding errors:

Check all incoming OCLC records carefully: correct obvious coding and spelling errors and supply important bibliographical information and its related MARC fields that may be missing in the record. Supply all mandatory fields (such as 245, 300, 260 fields for printed format) if they are missing. Ask for help if needed.

5.5.2 Editing CIP records (Cataloging-in-publication records):

CIP records are created without published pieces in hand; therefore, bibliographic information in descriptive fields of a CIP record may not be accurate or present. There are two types of CIPs: one created by DLC, the Library of Congress, and the other, by UKM, the British Library. Both DLC and UKM CIP records have an "8" in the encoding level in the Fixed Field (FF hereafter) and leave a 263 field (e.g. 263 0712) and an empty 300 field (e. g. 300 p. cm.). UKM allows for the estimation of pagination and dimensions of an item. Such information in UKM CIP records will not be accurate.

PINES asks that the very first member library that imports a CIP record edit it according to the bibliographic information found on the piece; in other words, the information you find on the piece in hand is more authoritative than what you may find in a CIP record.

Edit such records either during the loading process or after they are brought into PINES.

You can edit all fields of a CIP record except for the FF encoding code "8". More specifically, complete 300 and 260 and other missing data as needed; remove field 263 if present. Correct 245 data if it differs from the piece in hand. Verify 505 table-of-content information if applicable.

Note: When you remove an entire field, please remember to position the cursor in the data well of the MARC tag (e.g. 263) then click on the "Remove" button or Ctrl Delete. Remember not to just remove data within the tag without the tag itself.

UKM CIP records: Please always use a DLC CIP record if available. If a DLC record is not available and a UKM record is a match, you may use it.

5.5.3 Upgrading OCLC "K-level" records (not PINES "K" records):

Editing OCLC "K-level" records is optional, depending on how comfortable a cataloger feels with editing records in OCLC. For those who are able to do so, please edit them using "Lock" and "Replace" functions in the Connexion Client before records are brought into PINES. If subject

headings are missing in a "K" level record, supply at least one subject heading. Please do not upgrade "K" records if you have never cataloged on OCLC. In these instances, you can import such records and edit them in PINES.

5.5.4 Use of "K" records created in PINES:

If the only matching record found in PINES is a locally created "K-record" (see PINES Guidelines for creating K-records), a cataloger should search OCLC to see if a match can be found to overlay this "K" record before attaching their holdings (Please refer to procedures for overlaying records in PINES). If a PINES K-record is the only record available, a cataloger can attach holdings to a PINES "K" record or create a new record in OCLC (if trained to do so) and overlay the existing PINES "K" level record.

5.5.5 Dealing with irrelevant ISBNs/secondary ISBNs in records

Because different items may share same ISBN numbers, PINES catalogers are encouraged to put a subfield $z in front of an irrelevant or secondary ISBNs to avoid missing matching or linking to wrong cover art work in the OPAC. Typical irrelevant/secondary ISBNs can be found in the following situations:

- ISBNs for large print editions in records for regular editions
- ISBNs for AV materials in records for printed materials, etc.
- ISBNs added from a paperback ed. to a Hardback ed. record or from Book Club ed. to a regular ed., and vice versa.
- ISBNs linked to wrong art work.
- ISBNs already used in existing records

5.5.6 Adding additional ISBNs to matching records:

Sometimes additional ISBNs exist on items that are not in the bibliographic record and need to be added. For instance, if you have attached a paperback item to a hardback record or vice versa and the ISBN on your piece in hand is missing from the record, please add the number in subfield z of a different 020 field.

5.5.7 Adding/updating 505 fields (optional):

In a full level record, updates of 505 fields are optional unless there are obvious typos in the fields. Updates should be done only by experienced catalogers.

5.5.8 Adding 520 (abstract) to records for juvenile or AV records is optional.

If you add a directly quoted 520 from the piece or another source, enclose the note in quotation marks and give attribution. For example: 520 "This book provides the context and tools to create successful science projects"—Cover.

If you create your own abstract for the piece in hand, try to be neutral and avoid value statements.

5.5.9 Remove all 9xxs fields and 029 fields (except 994)

Either after or immediately before importing or overlaying a PINES record, delete all 9xx (except 994) and 029 fields. Current newly imported or overlaid records don't have 901 fields.

5.5.10 Dealing with Pre-AACR2 records:

Occasionally you will find pre-AACR2 records in OCLC and in PINES. In such a case, take a close look at the code in the fixed field for "Desc". If it is not code "a", upgrading the description of pre-AACR2 records to AACR2 standards is optional.

5.5.11 Dealing with records missing or with incorrect 4xx/8xx fields:

Editing 4xx fields (440 title traced and/or 490 1_ title traced differently) and 8xx fields is optional. Adding missing series statements is optional but encouraged, since it increases patron access to materials in the series.

5.5.12 Local subject headings and other local practices:

No information of a strictly local nature should be added to any bibliographic record. Such data includes gift or donor information, information about the physical condition, location about an item, access restrictions, etc. Such local information can be put at copy level via the "Copy Note" function on the copy editor screen. If any such information *is* discovered in a bibliographic record, it should be removed since it would not be possible to determine to which copy/ies it might apply. If the person who makes the discovery does not possess an authorization level that allows for such deletion, it should be reported to the system's CAT1.

An exception: In order to aid users in identifying works by local authors, PINES catalogers may add 690 headings to a bibliographic record for a local or Georgia author. Local headings identifying the place of residence or birth of the author are not required and are dependent on cataloging workflow.

For those authors positively identified as being from Georgia; but no other place has been identified catalogers may use:

690   Georgia authors

For authors where the city of residence or birth has been positively identified, PINES catalogers may use the form:

690   Authors, American |z Georgia |z Name of city.

For example:

690   Authors, American |z Georgia |z Atlanta.
690   Authors, American |z Georgia |z Powder Springs.
690   Authors, American |z Georgia |z Between.

For authors where the county of residence or birth is known, catalogers may use the form:

690   Authors, American |z Georgia |z Name of county.

For example:

690   Authors, American |z Georgia |z Fulton County.
690   Authors, American |z Georgia |z Cobb County.
690   Authors, American |z Georgia |z Walton County.

Catalogers can add multiple 690 headings to a single record to indicate city and county and multiple places of residence:

690   Authors, American |z Georgia |z Atlanta.
690   Authors, American |z Georgia |z Fulton County.

5.5.13 Adding regular LC subject headings (LCSH) to juvenile records that have only children's headings:

For easier access to juvenile materials in our OPAC, PINES catalogers with original cataloging experience are encouraged to add regular LCSH to juvenile records that have ONLY children's (annotated card) headings. Remember that juvenile headings can differ from LCSH, so do not automatically edit the indicator and add |v Juvenile fiction, etc. to the heading. Check the authority file for the authorized forms. The authority records for annotated card or juvenile headings have a 010 field that begins with "sj." (e.g. 010 sj 96006230)

Examples:

If a record has only LC's children's subject headings (e.g. 650_1 Dogs |v Fiction), a regular LCSH can be added to this record as follows:

650 _1 Dogs |v Fiction (original LC children's heading).

650 _0 Dogs |v Juvenile fiction (LCSH added).

650 _1 Pigs |v Fiction. (original LC children's heading).

650 _0 Swine |v Juvenile fiction (LCSH added)

650 _1 Dogs (original LC children's heading).

650 _0 Dogs | Juvenile literature (LCSH added).

5.5.14 Dealing with records not properly edited as required:

We encourage our catalogers to edit old PINES records according to the above guidelines when they run into records that need editing. For recent imports not properly edited or not edited at all, catalogers can either edit those records or contact the first importing library to finish its work if that library can be easily determined. Such a case should also be reported to PINES Cataloging Specialist for follow-up work with the library in question.

5.5.15 Upgrade BTCTA Level 3 records in OCLC and in PINES

BTCTA level 3 records are acquisition records that are machine generated from metadata. For cataloging purposes, they are incomplete and can be missing critical information as well as being coded incorrectly.

An example of Baker & Taylor Level 3 records:

040   BTCTA $c BTCTA $d BAKER

020   9781597261227

092      $b

245 04 The Endangered Species Act at Thirty.

260      $b Island Pr $c 2007.

720   Goble, Dale D.

720   Scott, J. Michael

720   Davis, Frank W.

938   Baker and Taylor $b BTCP $n BK0006969462

938   Baker & Taylor $b BKTY $c 60.00 $d 60.00 $i 159726122X $n 0006969462 $s active

If the only record that is found in OCLC is a BCTA level 3 record, don't import it as it is. A typical BTCTA Level 3 (fixed field ELvl) has just ISBN, author, title, some incomplete imprint information, and it typically puts some unauthorized personal names in 720 fields. Since such brief records are not useful for cataloging purposes as found, catalogers need to update them to include full 245—300 information, correct name headings and add at least one subject headings to the record. The fixed field should also be checked and edited for inaccuracies.

Those who have original cataloging experience, please update such a record to an the Specialist or K level in OCLC before importing it. Those who cannot do original cataloging and must use such a record, please inform the PINES Cataloging Specialist of the record. In order for the Specialist to correct the record and import it into PINES, provide her/him with the OCLC title control (accession) number of the record and also fax copies of the title page, title page verso, table of content, summary, etc. and 300 field information (illustrations and dimension), 504 information and other pertinent information.

If your system uses vendors for original cataloging, your vendors should do the same. Anyone who spots an unedited BCTA level 3 record in PINES should report it to PINES Cataloging Specialist.

Chapter 6 **Database Maintenance**

6.1 Qualifications for doing PINES Database Maintenance Work:

All related bibliographic searching and matching knowledge/skills as required for PINES Cat1s: knowledge of PINES title control numbers (TCNs); knowledge of, and experience with, the use of Z39.50 interface to OCLC's WorldCat, and experience with using transfer and merging functions in PINES Evergreen.

6.2 Steps in importing, merging, or updating bibliographic records:

1). Avoid bringing in duplicate records or overlaying wrong records in PINES. Always search PINES database again before importing a record. When loading an in-coming OCLC record, please stop the process if you are warned of a matching record found in PINES. For example: "A record with TCN ocm33023358 already exists."

Currently, Evergreen does not stop you from importing a duplicated record whose other numbers (ISBN, LCCN, etc) may be used as TCNs of pines records. For instance, you won't see a warning as "matching record found on ISBN [020]—i0890240825", so please be extra careful in searching to avoid importing duplicated records in such cases.

2) If the matching record is an old version of an OCLC record and the in-coming OCLC record has been updated (such as a CIP record), replace the PINES old record with the updated one. However, a PINES record may have added ISBNs or other useful notes such as 520/505, etc.; so please make a printout of the PINES record before overlaying it if additional information is present. That way, you can re-enter that data from the PINES record.

3) If the PINES record has the original OCLC number but the bibliographic record has been altered, please report the case to the PINES Cataloging Coordinator.

4) If the PINES record uses anything other than an OCLC number for the TCN but the record matches the in-coming OCLC record, you may overlay the PINES record so that its TCN will be an number based on an OCLC number.

6.3 Transferring copies to better records or merging duplicated records:

1) All catalogers are encouraged to respond to postings on the CAT-L list, suggesting transferring their copies from poor records to good ones, especially when TCNs of both the bad and the good records are provided for such a purpose.

2) All PINES CAT1 catalogers have merging authority, so they are responsible for merging duplicate records with their own system. They are also encouraged to help PINES merge obvious duplicated records across the system.

Chapter 7 **Brief Records Entered at Circulation**

For more information, see Appendix A

Sometimes a patron will wish to borrow an item for which no record is found in the PINES database. Rather than tell the person that the item cannot be borrowed, a temporary brief title record can be entered at the circulation desk, and the item can be checked out to the patron. These records are ***not*** meant to be permanent records and they do not, in fact, appear in the OPAC. The default "home location" is given as CATALOGING. This is meant as a prompt to the circulation staff to send the item to the Cataloging Department when it is returned so it can be fully cataloged. Evergreen deletes these records upon check-in.

If the brief record is not automatically deleted from the database upon check-in or if it predates Evergreen, it is the responsibility of the Cataloging Staff to <u>remove</u> such brief records from the database. They should *not* be allowed to linger any longer than absolutely necessary.

NOTE: Most libraries handle the circulation of Inter-library Loan items by entering Brief Records for them at the Circulation Desk. In such cases it should only be necessary when the item is returned, to send to the catalog department the item ID number that was assigned to the ILL item so the brief record can be deleted if it was not deleted at check-in. It should be noted that any and all additions, deletions or changes to the cataloging database must be handled by a person with a *cataloging* authorization.

Chapter 8 **Original Cataloging Policies and Procedures**

Training for original cataloging on OCLC and on Evergreen is mandatory for all except those catalogers who have already had experience on OCLC. Copy catalogers wishing original cataloging training should contact the PINES Cataloging Specialist for arrange for training to be scheduled.

Currently there is full level cataloging training for books and AV formats, and K-records (created in PINES). K-records creation in PINES are only limited to certain categories as outlined below. Whenever possible, original records, either full or K level, should be created with the OCLC Connexion Client.

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:

   a. 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).

   b. 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).

8.1 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.

8.2 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.

500 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.

8.3 PINES Cataloging Specifications for Visual materials:

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.

710 2_ Georgia Home Education Association.

8xx Must be present if 490 1 (first indicator) present in record.

Chapter 9 **Guidelines for creating K-level records in the PINES Database**

Adopted 2003

Updated October 2007 and May 2010

I. **Procedures:**

1. Search PINES for matching records and attach holdings.

2. If no matching record is found in PINES, search OCLC and import the match into PINES, edit record as needed, and attach holdings.

3. If no matching record for item is found in either PINES or OCLC, and the item belongs to the following categories (listed in section II), a K-level record can be created in PINES.

4. Creating K-level records in PINES is a type of original cataloging. Each library is responsible for the quality of the records added to the database by their institution. Lead cataloger should check his/her own institution's K-records created by cat1s who have never done original cataloging before or should arrange for the library's original cataloger to check on work done by new original cataloger(s).

5. Subsequent libraries can attach their holdings to an existing PINES K-level record if no match can be found in OCLC for an item. If a match can be found to replace the K-record, please do so or input a record into OCLC's WorldCat to replace the record.

6. PINES K-records for general, regularly-circulated materials should be of temporary nature, and libraries that have created those records should keep upgrading them when they are able to (either by finding matching OCLC records to overlay them or by creating full-level records on OCLC and then overlay their K-records).

7. PINES K-records for certain local materials, such as locally assembled kits, vertical files, etc. can stay in PINES indefinitely. However, libraries should remember to remove their K-records if the materials represented by records are weeded from their collections.

8. Training for creating K-records is mandatory for catalogers who have never done original cataloging.

II. **Item Categories for K-records:**

1. Items created locally and either circulated locally or not circulated.

    a. Artificial kits created by the library.

       [**NOTE:** This type of record can stay in PINES indefinitely but do not need to be entered into OCLC; libraries should remove records when materials in question are no longer in its collections).

b. Vertical file materials

[**NOTE:** This type of record can stay in PINES indefinitely but do not need be entered in OCLC].

c. Videos and sound recordings
d. Maps
e. Photographs
f. Microfilms

2. Ephemeral items (items in essence temporary)

a. "Budget" books
b. Board books for children

3. Genealogical/local materials

Libraries are encouraged to fully catalog genealogical materials in OCLC to provide wider access to these materials. However, given the nature of these materials and the difficulties they can represent, inputting temporary K-level records in PINES will provide an acceptable short term solution

III.   **MARC Fields to Be Used for PINES K-records (All Formats):**

1.   **Fixed Fields:**

Desc: a Required.

Enc_Lvl: K Required.

Appropriate codes for **_all_** other Fixed Fields (FFs) are required if applicable.

2.   **Variable Fields:**

020   Required if found on piece.

100   Required if found on piece.

Use authorized forms if they can be found.

245   Mandatory.

|a Mandatory.

|b Required if found on piece.

|c Required if applicable.

250   Required if found on piece. Use abbreviations:

1st ed., 2nd ed., 3rd ed., Rev. ed., etc. (not First Edition, Second ed…)

260   Required if found on piece.

Use AACR2R abbreviations for names of states/provinces if they are spelled out in full on piece:

> On piece: Hollywood, California.

> On record: 260   Hollywood, Calif.

NOTE: For a list of abbreviation of states/provinces' names: see AACR2R Appendix B14.

Published Materials:

If place of publication is unknown, use [S.l.]:

> 260   [S.l.] : |b LRS, |c 2000.

If publisher is unknown, use |b [s.n.]:

> 260   Mukilteo, WA : |b [s.n.], |c 2000.

If both place of publication and publisher are unknown, use:
> 260   [S.l. : |b s.n.], |c 2000.

If dates are unknown, make a guess based on information you may find on the item and put it in brackets. Most common scenarios:

> 260   Mukilteo, WA : |b LRS, |c [2000]

> 260   [S.l. : |b s.n., |c 2000?]

> 260   Mukilteo, WA : | LRS, |c [198u?]

> 260   Mukilteo, WA : | LRS, |c [19uu?]

> 260   Mukilteo, WA : | LRS, |c [1980-1990?]

> 260   Mukilteo, WA : | LRS, |c [-1980?]

> 260   Mukilteo, WA : | LRS, |c [1980-?]

Unpublished/locally assembled materials:

Enter only subfield |c date, either real or estimated, in 260 field:

> 260 |c 2000.

> 260 |c [2000?]

> 260 |c [2000-]

300 Mandatory (except for Vertical files)

|a. For unpaged books, follow LC practice:

300   1 v. (unpaged)

For materials with irregular paging numbers or with different numbering systems:

300   1 v. (various pagings)

For printed materials with text only on one side of a page, use, 300 (number) leaves:

300   345 leaves

|b. Illustrations:

If all color:

300   45 p. : |b col. ill. ; |c 22 cm.

If some color some blank and white:

300   45 p. : |b ill. (some col.) ; c 22 cm.

440 Obsolete.

490 Optional.

504 Optional.

505 Optional, except for collections such as short stories, music sound recordings, etc. Required in those cases where the collection numbers less than 10 (at catalogers discretion for more than 10).

A typical 505 field:

505 0_ Dying for franjibelle -- Tug of war -- The joyride -- The secrets of lizard magic -- The street boy -- The glass room -- You must, you must, you must -- Satanium -- Behind the mirror -- The path.

6xx's

A list of commonly-used headings for genealogy/local history materials will be distributed. Catalogers are encouraged to use at least one established (LCSH) heading if found from the list.

655 Optional, will distribute list of most common headings.

Added entries in 7xxs and 8xxs are not required.

8XX Optional; except required if 490 traced is used.

IV.   Use of Evergreen for creating K-records:

Go to **"Cataloging"** -- **"Create New MARC Record"** and choose a format and click on "**Load**" to display a MARC workform.

TCN numbers for K-records are to be generated by machine only in Evergreen.

V. Special MARC Fields to be used in major types of MARC formats:

1. Video VHS/DVD Format—"g" type:

Fixed Fields:

Type-Mat: v Required.

Appropriate codes for **_all_** other FFs if applicable.

Variable Fields:

245 |h [videorecording]. Required (for both VHS and DVD) and is placed after title proper and before other title information:

245   00 Gone with the wind |h [videorecording].

245   00 Scarlett |h [videorecording] : |b the sequel to Gone with the wind.

300   Mandatory.

For videocassettes (VHS):

300   2 videocassettes (ca. 120 min.) : |b sd., col. ; |c ½ in.

300   300   2 videocassettes (ca. 120 min.) : |b sd., b&w. ; |c ½ in.

For videodiscs (DVD format):

300   4 videodiscs (6 hr.) : |b sd., col. ; |c 4 ¾ in.

538   Required for VHS or DVD.

511

For feature films:

511   1_ Cast: (the first few leading actors and/or actresses): Required if found on piece.

For non-features:

511   0_ Major presenter, and first few major performers: Required if found on piece.

508   Names of director/producer/screen-play writer: Required if found on piece but NOT already stated in 245 |c.

2.   Audio format—"j" and "i" type(for musical and audio books respectively.

028 Music number: Required for music sound recording. Record the number and/or with letters exactly as found on piece:

>028 02 CK 37574 |b Optional.

245 |h [sound recording]. Required after title proper and before other title information:

>245 00 Gone with the wind |h [sound recording].

>245 00 Scarlett |h [sound recording] : |b the sequel to Gone with the wind.

300 Mandatory.

>For sound cassette(s):

>300 6 sound cassettes (ca. 9 hr.) : |b analog. (|c NOT needed).

>For compact disc(s):

>300 4 sound discs (ca. 4 hr.) : |b digital, stereo. ; |c 4 3/4 in. (|c is required).

511 0_ Read by…. Required (for audio books) if found on piece.

3.   Artificial Kits (Kits locally assembled by library):

Which types of MARC format to be used for a kit record largely depends on the components of your kits:

- If a kit set consists of more books than any other materials, use book format.
- If a kit consists of more sound cassettes, use MUSIC (sound recording) format.
- If a kit consists of more video pieces, use VM format.

245 |h [kit] is required after title proper and before other title information.

If you need to make up a title for a kit, put it in brackets and add a 500 note, "Title supplied by Cataloger."

>245 [Cultural awareness kit] |h [kit].

>500 Title supplied by Cataloger.

If you choose title proper from any one piece in the collection, give it a 500 note:

>245 Going to the doctor |h [kit].

>500 Title from videocassette label.

260 Enter date only, that is, the year your library puts the kit together:

260 |c 2003.

300   Required.

You may list all items in one 300 field like this:

> 300   1 book, 1 audio cassette, 1 video, 1 large set of plastic teeth with large toothbrush, 1 guide book; |c in cloth sack.

You may also choose to use multiple 300 fields in one record, each to describe one type of materials in the collection. Add a 500 note to indict the items' container:

> 300   1 v. (unpaged) : |b col. ill. ; |c 22 cm.
>
> 300   2 sound cassettes (ca. 45 min.) : |b Analog.
>
> 300   1 videocassettes : |b sd., col. |c ½ in.
>
> 500   In cloth sack.

For items with a large number of different materials, give a general term as the extent. Give the number of such pieces if it can be easily ascertained:

> 300   Various pieces
>
> 300   28 various pieces ; |c in box 34 x 34 x 34 cm.

4   Vertical Files:

You can create vertical files several ways:

> Create separate records according to categories of the materials or create records at collection-level and do one record for all of your vertical materials.
>
> Use book format: Fixed Field code (primarily for Blvl) "BLvl: c".

245 |h [vertical file]* is required. (*Not an AACR2R GMD).

245   [Child adoptions] |h [vertical file].

300   300   As necessary. An example:

300   1 portfolio ; |c 25 x 38 cm.

Can also use a 500 note in place of a 300 field:

500   Newspaper clippings from 1990- in cabinets behind reference desk.

Local notes: specific local notes are allowed for vertical file records.

If you create one record for all your vertical files, you can put the contents of your collection in a 500 note like the following:

500 Consists of: city/street maps; newspaper clippings of local annual international festival from 1955-; sources of information on abortion services; sources of occupational information; brochures/pamphlets from local churches; pamphlets and clippings on local homeless centers; newspaper clippings on local authors …

6xx's

Can use a few established genre headings as follows:

650 _0 Vertical files (Libraries)

650 _0 Libraries |x Special collections |x Clippings (Books, newspapers, etc.)

650 _0 Clippings (Books, newspapers, etc.)

650 _0 Printed ephemera |z Georgia |z Macon.

650 _0 Archival materials |z Georgia |z Griffin.

655 7 Clippings. |2 aat

Can use uncontrolled local headings in 690 fields:

690   Duluth high schools.

690   Atlanta Greyhound bus stations.

690   Gwinnett County public libraries.

690   Stamp collections.

690   Newspaper clippings.

Or use uncontrolled key words in 653 fields:

653   Diseases.

653   Pets: Dogs.

653   Pets: Cats.

653   Questionnaires.

If you want to assign regular LCSH subject headings to your vertical file records, you may find them from the example headings provided for genealogy/local materials.

5   Photographs:

MARC fields for photographs:

Use VM format for worksheet template in PINES

Special Fixed Fields codes:

Rec_Type: change "g" to "k"

Type_MAT: i

Time: nnn

Tech: n

If dates for the photographs are questionable, use code "q" in DtSt:

DtSt: q and two dates in "Dates:" such as

Dates: 1925, 1930

Variable Fields:

245 field: use [graphic] for GMD

245 04 The Rocky Mountain reviews |h [graphic].

245 10 [A.C. James hoe, "Surprise Valley", view of flowers and columns in the Blue Garden, Newport, Rhode Island] |h [graphic].

Note: bracketing title information:

Follow LC practice: bracket devised titles for items but not to bracket them for collections:

Single item:

245 00 [man smoking at window]

Collections:

245 00 Nineteenth-century bird prints

Can also use [Untitled] when describing original contemporary art that may be abstract or conceptual.

260 field:

If dates are questional with "q" in FF DtSt: code 260 as follows:

260 |c [between 1925 and 1930?]

Record copyright date following published date even if the dates are the same year.

260 |c 1905, c1905.

300 field: |a

Use the word "photographic prints" or "negatives" in 300 |a:

1 photographic print.

Note: 300 fields can end with here. In other words, 300 |b and |c is not mandatory.

Can add the format in parentheses after the general SMD.

25 photographic prints (postcards)

300 field: |b use only "color" and "hand-colored" and do not abbreviate.

can use: b&w, color, hand-colored, gold toned, black, sepia toned, many color

144 photographic prints (posters) : |b some b&w, most color.

50 photographic prints : |b many color.

45 photographic prints : |b 27 color.

300 field: |c

144 photographic prints (posters) : |b some b&w, most color; |c various sizes.

1 drawing ; |c 18 x 14 cm.

1photographic print ; |c 10 x 8 in.

1 negative ; |c 35 mm.

1 photographic print ; |c oval image 7 x 5 cm.

6xx fields:

Can use general topical subject headings and |v Photographs form heading.

Or lctgm terms (Available at: http://www.loc.gov/rr/print/tgm1/)

650 _7 Gardens |z Georgia |z Atlanta |2 lctgm.

Chapter 10 **Outsourcing Policies and Procedures**

For more information see Appendices B & C

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 a 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"

7. **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.

8. Authority checking:

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

9. Other general practices:

   c. 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).

   d. 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.

10. For non-fiction books, add DDC call numbers matching (at minimum) the first subject heading in record.

11. 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.

500 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.

710 2_ Georgia Home Education Association.

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.

Chapter 11 **Updating Holdings Information in OCLC**

Attaching holdings in WorldCat

As OCLC member libraries, we are obliged to update our holdings information in World Cat (OCLC's bibliographical database) in a timely manner for resource sharing purpose. PINES is responsible for updating all its member libraries' holdings via a batch-loading project with OCLC on a quarterly basis.

Delete holdings from World Cat

If you don't remove your holdings from OCLC, your library may receive Interlibrary-loan requests from other OCLC member libraries for items no longer available for lending, thus wasting processing time for a borrowing library on the one hand and time tracing the non-existing item by your library staff on the other. Because one PINES library has removed its last copy on an OCLC record in PINES does not mean all have done so, batchloading for deleting holdings from World Cat at PINES level is not plausible. Further, GOLD member libraries have always been responsible for deleting their own holdings from OCLC. Each PINES library system needs to delete their holdings in OCLC's WorldCat after the library has deleted its last copy from an OCLC record in PINES.

Recommended procedures for deleting holdings from OCLC

1. Record the OCLC TCN numbers (ocm12345678, ocm91123456, etc.) or make a print out of them when you are sure that you have withdrawn your system's **LAST** copy on such a record.

2. If you've withdrawn your last copies from a PINES's record which does not have an o-TCN [i.e.: i123456789X or l (small "L")860123456 or PIN1234567891, etc.], you need to search WorldCat via Connexion or the Connexion Client to find the record's corresponding OCLC record, and can remove your library's holding right then (when it is confirmed that the holding is still held by your library).

3. If you remove or update your holdings sporadically, you can do so record by record—removing holdings online one at a time.

- Log on to the Connexion Client
- Pull up the record on display
- If the record is shown "Held by" your library's symbol,

- Go to Action -> Holdings ->Delete Holdings

4. If you plan to remove or update holdings in a batch, especially for a large weeding project, you may want to do a batch deleting by following procedures:

- Compile a .txt file for all OCLC records' title control numbers from which you want to remove your library's holdings and save the file in your C:\temp or any folder.

    2345687 (please remember to drop any zero(s) from an o-TCN)

    12345678

    23456789

    34567891

    45678923

- Open Connexion Client offline

    --Click on **Batch→Holdings by OCLC Numbers;**

    --On the screen of <Batch Holdings by OCLC Numbers>, first click on **Browse** on the top-right hand corner to find the file you want to import, and then click on **"Import"** button;

    --Will see your OCLC numbers displayed to the left of the window and the message "Do you want to delete your original import file?" (I'd say "No" just in case all numbers are not imported or keep record for stats).

    --Click on the radio button for **"Delete holdings"** and click on **"OK."**

    --Connexion logs on automatically to do batch searching and deleting and immediate after that, you will see a report for your batch.

Note: If you just want to delete holdings a few records at a time, you can simply copy and paste a few OCLC TCNs in the left window on the screen of "Batch Holdings by OCLC Numbers", click on "Delete holdings" and "OK". This feature saves you the trouble of creating a .txt file for a large batch project.

Update Holdings.

If you want to update holdings in a more timely manner, you can repeat the same procedures except that you should remember to click on **"Updating holdings" instead of "Delete holdings."**

Chapter 12 PINES Authority Control Project with MARCive, Inc.

PINES has outsourced its authority control operations to a commercial vendor MARCive, Inc. in terms of updating PINES authority records on a monthly basis and updating controlled headings in bibliographical records on a quarterly basis.

Each month, MARCive sends a list of nationally-updated authority records, which subsequently update PINES authority file. Every four months, PINES extricates and sends newly-cataloged title records to the vendor to have all the controlled fields authenticated. During this period between the PINES extrication of the title records and the end of loading the updated records, a cataloging freeze will be imposed on editing, overlaying, and deleting title records. A notice of such cataloging freeze will be normally posted on cat-l at least two weeks prior to an updating event.

Chapter 13 **PINES Cataloging Contacts:**

PINES maintains a list of all PINES library systems' cataloging contact information--usually head of technical services and/or head cataloger of each PINES library system. To obtain a current copy of this list, please contact PINES Cataloging Specialist at blin@georgialibraries.org or 404 235 7139.

Chapter 14 **Appendices**

Appendix A :Guidelines For Adding Brief, Pre-Cataloging, Title Records To The Pines Database

Purpose of Brief Title Records: The purpose of brief title, or pre-cat, records in the PINES database is to allow materials that do not have item records attached to permanent bibliographic records to be circulated, and to have those transactions associated with a particular patron record. [NOTE: This would include ILL transactions for items that come from outside the PINES system.] Brief Title records are "shadowed" and, therefore, do NOT display in the OPAC; they are, however, visible from staff logins.

With Evergreen, brief titles can only be created when the item is to be checked out to the patron. If a barcode not in the system is used, staff will see this screen:
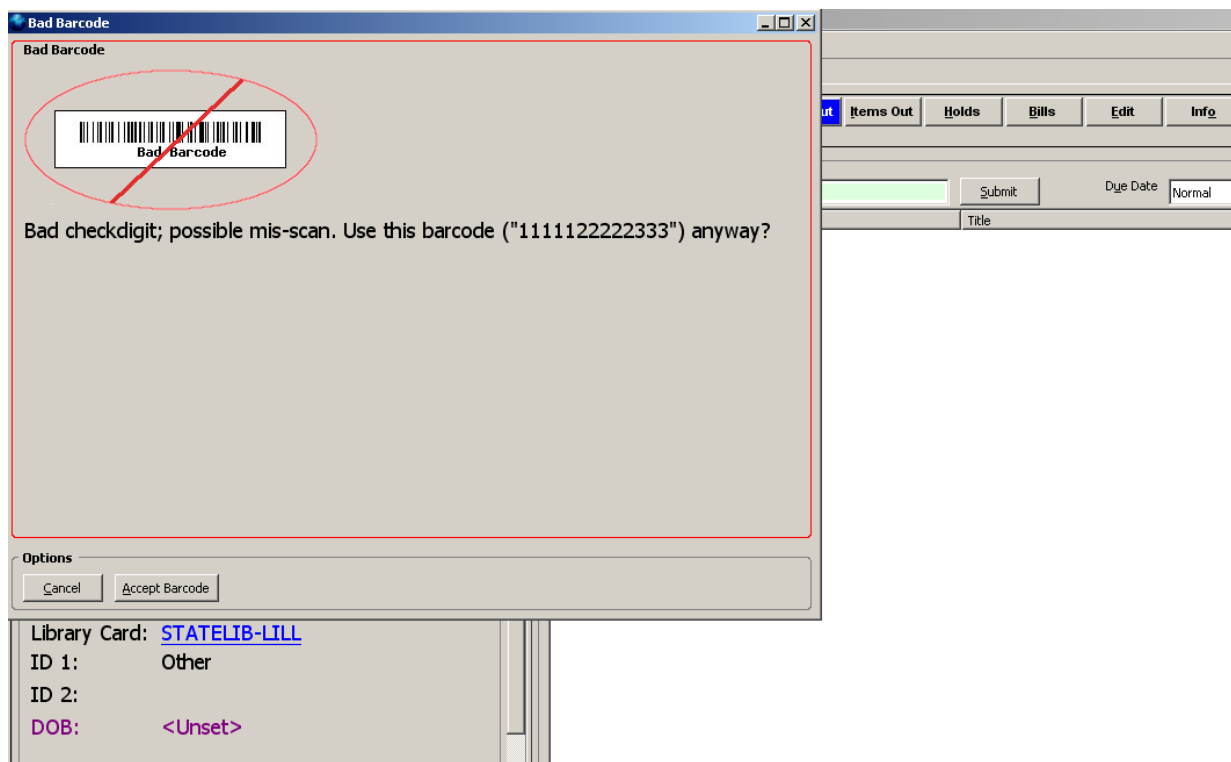
Verify the barcode was input correctly and then click on "accept barcode":
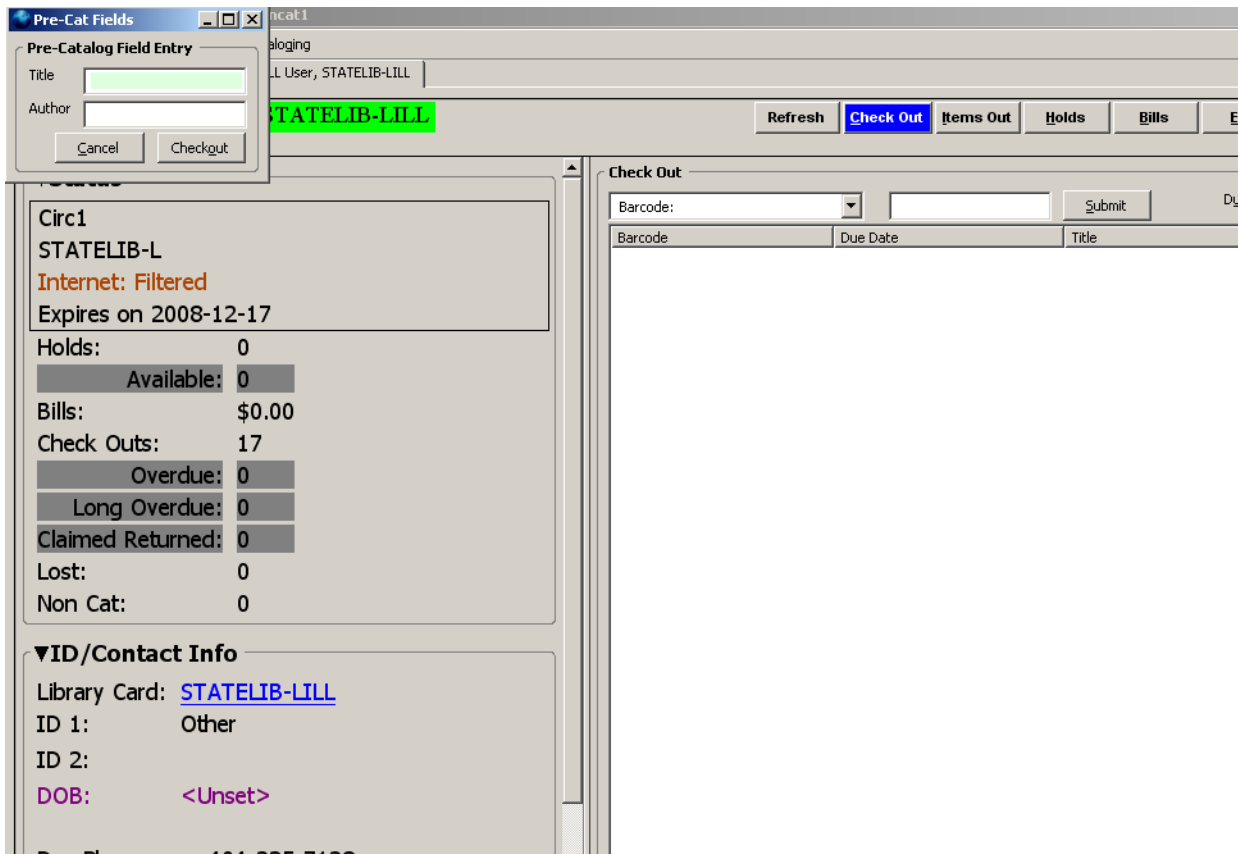
At this point, click on "Pre-Cat"

Enter title and author of item to be checked out and click on "Checkout"

The item will be checked out to the patron.

Evergreen deletes these brief records on check-in of the item. A dialog box will warn staff to route the item to cataloging staff so that it can be added to the database.

PINES staff should not add or indefinitely retain Brief Records for items that would normally merit full cataloging, especially if there already are full records in the PINES database. While most pre-cat records will be deleted at checkout, there will be those that will not (e.g. when fines are attached to the item). Cataloging staff should monitor the pre-cat records for any lingering records.

NOTE: To avoid creating confusion and database clutter, proper volume records with attached copy information on a title record should be created by library system staff members who have cataloging authorization.

Appendix B CAT1 Functions As An Outsourcing Option

FOR PINES MEMBER LIBRARY SYSTEMS

(DRAFT)

If a PINES member library system wishes to investigate the possibility of outsourcing CAT1 functions, the following conditions must be met:

1. All outsourcing vendor*s* will be expected to adhere to the same Cataloging Standards that are required from any CAT1 user. (See Georgia Library PINES Project, Section II Cataloging policies, pgs. 2-4.)

5. All outsourcing vendor*s* will be expected to add only Full MARC records to the PINES database, as is required from any CAT1 user. This includes upgrading any CIP (Cataloging-in-Process) records before adding these records to the PINES database. (See Georgia Library PINES Project, Section II Cataloging policies, pg. 3.)

6. Batch-loading of bibliographic records into the PINES database is not an option for either current CAT1 users or outsourcing vendors, as this may result in the duplication of bibliographic records; this is in direct conflict with one of the state goals of PINES to create and maintain a union catalog (PINES Mission, Goal #5).

7. Cataloging Profiles, usually requested by a vendor in order to define specifications, should be reviewed by the PINES Cataloging Specialist in order to ensure consistency and quality in the PINES database.

8. Prospective vendors must agree to hold GPLS and OCLC harmless for access and access time to the PINES and OCLC databases.

9. The PINES Cataloging Specialist should monitor the Cataloging Standards of the vendors who receive CAT1 authorization and will, as part of a continuing monitoring process to identify the most reliable/responsible outsourcing vendors, report any problems/discrepancies to the PINES member library which is contracting with the vendor. Progress reports may also be shared with the Cataloging Subcommittee.

10. The PINES Cataloging Specialist should determine what constitutes a Full MARC record and will, as part of a continuing monitoring process to identify the most

reliable/responsible outsourcing vendors, report any problems/discrepancies to the PINES member library which is contracting with the vendor. Progress reports may also be shared with the Cataloging Subcommittee.

Appendix C Vendor Requirements for Outsourced Cataloging for PINES Libraries

September 2002; Revised January 2007

1. The vendor must review, understand, and adhere to all current PINES cataloging policies and procedures

2. The vendor must demonstrate proficiency in searching the PINES database, including knowing how to utilize the following elements--and combinations:

   a. Author

   b. Title
   c. Series
   d. Publisher
   e. Year of publication
   f. GMD
   g. ISBN
   h. Title control number

3. The vendor must demonstrate proficiency in matching in-hand items with records found in PINES, as well as matching in-hand items with records found in OCLC (see #7, below).

4. The vendor must demonstrate proficiency in PINES procedures re: adding copies to existing bibliographic records (CAT2 access).

5. The vendor must adhere to local call number practices, as specified by the contracting library system.

6. If the vendor is its client library's OCLC authorization to access OCLC's world cat, a signed OCLC Third Party Agreement is required by OCLC..

7. The vendor must demonstrate proficiency in searching the OCLC database, including the Authority File, if needed:
   a. Author

b. Title
c. Series
d. Key words
e. LC Number
f. ISBN
g. OCLC control number
h. Qualifiers (GMD, year, format, etc.)

8. The vendor must be knowledgeable of when and how to import records from OCLC into the PINES database, through the Z39.50 gateway. This includes being familiar with and utilizing the standard PINES cataloging workflow.

9. The vendor must demonstrate proficiency in editing records--especially CIP records--to full MARC standards.

10.   The PINES Cataloging Specialist will review initial vendor records for quality and accuracy; spot checks will be conducted as the vendor adds other records to the database. Continued vendor access to PINES is contingent upon vendor adherence to PINES policies and procedures, including the insistence on quality full MARC records.

11.   The vendor must agree that there will be no batch loading of records by the vendor into the database. The contracting library system must also agree not to batchload records produced by the vendor.

NOTE: Vendor on-site training by PINES staff may be required.