Yale Dissertation Workflow

Overview: CMS Processing Workflow

Scope: this workflow is limited to Yale dissertations submitted to the Graduate School of Arts and Sciences. The archival copy is located at Manuscripts and Archives. The microfilm copy is part of the general YUL microform collection. Separate bibliographic records are created for the archival copy and the microfilm copy. Both bibliographic records are exported to MARS and to OCLC.

The Yale community has access to the digitized version of the dissertation via ProQuest, but CMS does not create a separate bibliographic record for the digital version in Orbis, although notes alert the user to the existence of the online copy. For recent dissertations, records for the online version are batch-loaded records derived from ProQuest data rather than YUL cataloging. Unlike the archival & microfilm copies, the records for the online version include the author's abstract.

Bibliographic records for Yale dissertations in this workflow are cataloged at minimal level (encoding level 7). At the request of some school and departmental libraries, full-level cataloging is sometimes performed by CMS for GSA theses in printed form for their collections. Publication status for reproductions of theses depends on the cataloging rules applied at the time.

GSA theses assigned full cataloging, non-GSA Yale theses, and theses of other universities are processed through the standard CMS cataloging workflow.

Historical note: In the original Yale dissertation workflow, a preliminary record was created to represent the thesis while it was being digitized and microfilmed at UMI, and was then used as the basis for the archival copy record. In the current workflow, the bibliographic record is not created until it has been delivered to Catalog and Metadata Services (CMS).

Archival Copy

After microfilming and digitizing, ProQuest (formerly UMI) sends the archival copy of the thesis to MSS&A, and the archival copies are sent for binding.

1. When the archival copies have been bound, MSS&A delivers them in batches to Catalog and Metadata Services (CMS) for minimal level cataloging.
2. A record for the archival copy (E/L 7) will generally be created by a CMS C&T staff member. The record will follow the Guidelines for cataloging the archival copy of the Yale dissertation.
3. If a fully cataloged record has already been created by another unit, a separate record will be created for the archival dissertation and a linking note will be added to the catalog record of the copy. If necessary, the bibliographic record will be upgraded to follow the standards of the Guidelines.
4. The location entered by CMS staff will be slmss, but no call number will be assigned. (LSF software will flip the location from slmss to lsfmsr upon receipt if the copy is sent to LSF)
5. After cataloging, the record will be exported to MARS and subsequently to OCLC with other records cataloged in Orbis.
6. The record will NOT be suppressed in the OPAC.
7. CMS staff will affix a barcode to the front cover of the archival copy (or to the front cover of its container) and create an item record linked to the barcode and the MFHD. The newly created item record will not be charged or discharged by CMS staff. Upon completion, CMS staff notify MSS&A staff for pick-up.

Microfilm Copy

After microfilming, ProQuest sends a positive microfilm copy of the thesis to MSS&A.

1. When MSS&A receives notice from CMS that the set of all archival copies for the semester have been
cataloged, their staff send the microfilm reels in batches to the CMS staff for minimal level cataloging.

2. CMS staff upgrades the preliminary record to EL/7 or higher using the cataloging for the archival copy as the source for the bibliographic description. The description is adjusted to account for microform format according to Guidelines for cataloging microfilm copy.

3. A sequential number is assigned using the Cataloging Accession Tool [1] (recommend using IE for browser)

4. After the call number has been assigned, the record for the microfilm is exported to MARS. The call number is written in pencil on the box containing the reel, and the boxes are left for pick-up by Microtext staff on the designated CMS shelf. An item record is not created by CMS staff. Microtext staff create the label using the call number written on the box.

Effective Date: February 5, 2014

Yale Dissertations: Archival Copy

SEARCHING/DERIVING/CREATING

1. Search Orbis by title to make sure a full or minimal-level cataloging record has not already been entered. (Records for science libraries are often created in Orbis before we receive the list. The authority checking for the author may be done as well at this time.) OCLC is not searched.

2. If a full or minimal level record is found, do not add as a second copy. See the guidelines under Added Copies. If the record is standard level, subject fields and added entries may be copied to the record for the archival thesis.

3. Create a NEW record in Voyager.

4. Click on the NEW icon (the first icon on the toolbar) to open a copy of the template. The template should look like this:
If it isn't, follow the instructions in the box.

- Click on Options->Preferences. Click on the Folders/Files Tab. Under Templates check the BIB: box. The path should be
  
  c:\voyager\catalog\template\preliminary templates\rda templates\RDA Yale DISS LSF.em

  Use your right arrow key if you can't see the entire path.

- If the template is not **RDA Yale DISS LSF.EM**, click on the ellipses button to the right of the BIB slot. Find the rda templates folder, locate the file and double-click to open it into the bib record's path. Click the OK button at the bottom of the window to save the new default.

4. The Leader template, when opened (click on the Leader button) will look like this:

```
Leader
Record? Status  n : New
Type of Record  t : Manuscript language Material
Bibliographic Level  m : Monograph/Item
Type of Control  _ : No Specific type of control
Encoding Level  7 : Minimal level
Cataloging Form  i : ISBD punctuation included
Multipart resource record level  _ : Not specified or not applicable
Length of the length-of-field portion  4 : Number of characters in the length-of-field portion of a Directory entry
Length of the starting-character-position portion  5 : Number of characters in the starting-character-position portion of a Directory entry
Length of the implementation-defined portion  0 : Number of characters in the implementation-defined portion of a Directory entry
```
Leader
Undefined
0 : Undefined

There is nothing to update in the leader template. Note that the encoding level is 7 for minimal level standard. We will treat the archival copy as a manuscript, so the Type of Record code will be T for Manuscript Material. The descriptive fields and the 100 field follow RDA and the LC-PCC Policy Statements to the extent possible, so the Cataloging Form is ISBD rather than AACR2.

5. The 008 template will look like this when opened (click on the 008 button):

```
008 -
General Description
(Book)
```

<table>
<thead>
<tr>
<th>Tag</th>
<th>I1</th>
<th>I2</th>
<th>Subfield data</th>
</tr>
</thead>
<tbody>
<tr>
<td>040</td>
<td>1</td>
<td>x</td>
<td>‡a CTY ‡b eng ‡e rda ‡d CTY</td>
</tr>
<tr>
<td>100</td>
<td>1</td>
<td>x</td>
<td>‡a , ‡e author.</td>
</tr>
<tr>
<td>245</td>
<td>1</td>
<td>x</td>
<td>‡a : ‡b / ‡c .</td>
</tr>
<tr>
<td>264</td>
<td>1</td>
<td>x</td>
<td>‡a [New Haven, Connecticut] : ‡b Yale University ; ‡c 2015.</td>
</tr>
<tr>
<td>300</td>
<td>1</td>
<td>x</td>
<td>‡a leaves : ‡b illustrations ; ‡c 29 cm</td>
</tr>
<tr>
<td>336</td>
<td>1</td>
<td>x</td>
<td>‡a text ‡b txt ‡d rdacarrier</td>
</tr>
<tr>
<td>337</td>
<td>1</td>
<td>x</td>
<td>‡a unmediated ‡b n ‡d rdacontent</td>
</tr>
<tr>
<td>338</td>
<td>1</td>
<td>x</td>
<td>‡a volume ‡b nc ‡2 rdacarrier</td>
</tr>
<tr>
<td>502</td>
<td>1</td>
<td>x</td>
<td>Ph. D. ‡c Yale University ‡d 2015.</td>
</tr>
<tr>
<td>590</td>
<td>1</td>
<td>x</td>
<td>SMLMSS: Archival copy. Patrons must use film available in Microtext Room.</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Dissertations may also be available in electronic form to the Yale community. For more information, consult with a reference librarian.</td>
</tr>
</tbody>
</table>

Update Date 1 to match the date used in 264. Change Illustrations 1 to a if there are illustrations.

6. The variable field template will look like this:

```
a. 100 field. Perform a Staff Name Search to determine whether the name has an established form, or, if not, whether the name conflicts with another name in the Orbis database.
```
If the author's birth date is available on a vita or other form at the beginning or end of the thesis, add it to the 100 field in subfield d whether or not there is a conflict. If the date ends in a hyphen, delete the comma preceding ‡e in the template. If no date is available to break a conflict, consult with your supervisor for an appropriate qualifier.

Always retain the relationship designator, which should already be present in the template.

When authority verification takes place, double-check to make sure the heading is not creating a split file or is conflicting with another heading.

b. 245 ‡a ‡b. Transcribe the title proper and other title.

- Make sure the filing indicator is set correctly if there is an initial article.
- Use either the capitalization as found or library capitalization (see RDA Appendix A for the more obscure situations).
- It is not necessary to supply diacritics if they do not appear on the source.
- If there are errors, transcribe them as found without [sic]
- If necessary, make a 246 1_ with the corrected title
- For chemical and mathematical symbols, refer to the LC-PCC Policy Statements in the RDA Toolkit, section 1.7.5. Signs and Symbols. The Policy Statements can be found under the Resources Tab in the Toolkit. They can also be accessed via the Cataloger's Desktop in a slightly different form. See especially section 4. (infinity symbol and other symbols with known verbal equivalents), section 5. (where the verbal equivalent is not known), and section 6. (where the symbol is in the ALA character set but must still be spelled-out in brackets).
- Transcribe the subtitle in subfield b, exactly as found.

c. 245 ‡c. Statement of responsibility is mandatory for E/L 7. Transcribe after ‡c. Under RDA, you transcribe the statement of responsibility as found.

- Unlike AACR2, if the statement of responsibility is not on the title page, you can take it from elsewhere in the item where the name is presented formally, and the statement of responsibility would not be bracketed.
- If the author name only appears in a phrase of the type "A dissertation submitted to the Graduate Faculty of Arts & Sciences, Yale University by Father John L. Smith," transcribe the phrase exactly as found, including the religious title.
- Transcribe abbreviations as found, but do not supply abbreviations.
- There should be a period at the end of the field.

c. 264 ‡c. Update to match the date on the thesis.

- The second indicator should be 0 since the thesis is considered to be unpublished (no place of production/name of producer is needed)
- Enter the date based on the copyright date or the date the degree was granted, whichever date is earlier.
- Do not enter the date in brackets.
- Do not add a copyright c or a copyright symbol in 264 _0.

d. 300 ‡a. Transcribe the number of the last numbered page or leaf, and indicate whether pages (text on both sides) or leaves (text on one side only) with either pages or leaves. Note that pages is NOT abbreviated.

300 ‡a 412 leaves
300 ‡a x, 314 pages
**300 ‡b (illustrations)** is not required, but OK to transcribe. Be sure to update 008 if illustrations are recorded, and if they are in color. Do not abbreviate *color* or *illustrations*.

| 30 | ‡a 314 pages : ‡b color illustrations |
| 300 | ‡a 412 leaves : ‡b illustrations (some color) |

**300 ‡c (dimensions)** is not required, but should be recorded, following semicolon subfield c. Record the height in centimeters (cm is no longer considered to be an abbreviation, so leave out the period). Yale archival copies are generally a standard 29 cm in height.

| 300 | ‡a 412 leaves : ‡b illustrations (some color) : ‡c 29 cm |

If the dissertation is in more than one volume, record the number of volumes instead. If the multivolume set is paged continuously, record the pagination in parentheses. Otherwise, just record the number of volumes. Under RDA, volumes is no longer abbreviated.

| 300 | ‡a 2 volumes : ‡c 29 cm |
| 300 | ‡a 2 volumes (985 leaves) : ‡c 29 cm |

e. Update the date of the thesis in 502 to match the item in hand if necessary.

Examples:

- [http://hdl.handle.net/10079/bibid/11082145](http://hdl.handle.net/10079/bibid/11082145) [2]
- [http://hdl.handle.net/10079/bibid/11254076](http://hdl.handle.net/10079/bibid/11254076) [3]

7. Save the record to the Orbis database by clicking on the Sailboat icon on the toolbar.

8. Click on the SEND button on ExportQ. MARS should be checked.

9. MFHD.

- Location must be smlmss.
- No call number is entered; no first indicator is entered.
- Use second indicator 1 if there are multiple volumes. In that case, create an 866 if volumes need to be recorded.
- LSF software will flip the 852 $b from smlmss to Isfmssr after the item is received. NOTE: entering Isfmssr at the time of cataloging will throw off the LSF flip program, so DO NOT USE Isfmssr

**EXAMPLE (MFHD):**

| 85 | 0 ‡b smlmss |

10. Attach a SINGLE-SIDED barcode to the UPPER LEFT HAND CORNER of the FRONT COVER. Use it to create an item record for the volume.

To create an item record on Voyager: Record>Create Items. Item type is: Isfr

11. Check work in the Orbis public view.

12. When all items have been cataloged, notify MSS&A for pick-up.

**Effective Date:** February 12, 2014
Example: Archival Variable Fields for Completed Record

Variable Fields for the dissertation Aristotle and Eleatic monism using the RDA bibliographic template for the archival record. Information added by the cataloger to the template is bolded.

| 040 | ‡a CTY ‡b eng ‡e rda ‡c CTY |
| 100 | 1 | ‡a Clarke, Timothy James, ‡e author. |
| 245 | 1 | ‡a Aristotle and Eleatic monism / ‡c by Timothy James Clarke. |
| 264 | 1 | ‡a [New Haven, Connecticut] : ‡b Yale University ; ‡c 2012. |
| 300 | ‡a vi, 214 leaves ; ‡c 29 cm |
| 336 | ‡a text ‡b txt ‡2 rdacontent |
| 337 | ‡a unmediated ‡b n ‡2 rdamedia |
| 338 | ‡a volume ‡b nc ‡2 rdacarrier |
| 590 | ‡a SMLMSS: Archival copy. Patrons must use film available in Microtext Room. Dissertations may also be available in electronic form to the Yale community. For more information, consult with a reference librarian. |
| 502 | ‡b Ph. D. ‡c Yale University ‡d 2012. |

Yale Dissertations: Added Locations

ADDED LOCATIONS

Under RDA, consider the archival dissertation as separate from its copies. If a photocopy of the dissertation has already been cataloged at full, core, or minimal-level for another Yale library, do not add the Mss&A dissertation as an additional MFHD. If the catalog record for the copy is standard level, derive it and add the 590 field. Change the 260 or 264 tag to 264 _0 and the Leader, Type of Record, to "t" (manuscript language material).

| 590 | ‡a SMLMSS: Archival copy. Patrons must use photocopy available from the <Yale library> or film available at the Microtext Room. Dissertations may also be available in electronic form |
to the Yale community. For more information, consult with a reference librarian.

If the dissertation was cataloged at minimal-level as is sometimes done by departmental libraries, check for the following and update if necessary:

LEADER:

- Verify that Type of record is t (NOT a); update if necessary
- change Encoding Level from 5 to 7 <minimal level cataloging standard>

008:

- If necessary, change any "pipes" to blank from the following fixed fields: Date 2 and all fixed fields between Illustrations and Conf Publication.
- If the preliminary record has any value in the Form of item, such as a, change it to: <blank>
- Enter code 0 <zero> in the following fixed fields: Conf Publication, Festschrift, Literary Form, Index

VARIABLE FIELDS:

- Make sure there is an 040 CtY ‡b eng ‡rda ‡c CtY.
- Review the 100, 245, and 300 fields. See instructions under VARIABLE FIELDS above
- Treat the photocopy as a reproduction. That means: 264 _0 ‡c <date>. No brackets are needed. The 008 date should match the 264 date
- If the record was not created from an RDA template, it is not necessary to add 336-338 fields or to spell out abbreviations in 300
- Do not delete any 590 field entered by the departmental library. Add a 590 for SMLMSS as instructed above.
- Review the 502 field and make sure it follows proper RDA form.

Corrected to RDA form:

| 502 | ‡b Ph. D. ‡c Yale University ‡d 2002. |

If a 533 field was not created, add one following LC-PCC PS for 1.11:

| 533 | ‡a Print reproduction. |

Yale Dissertations: Microfilm

Searching/Creating

1. Search Orbis and retrieve the bibliographic record for the archival thesis (and possibly a record for a photocopy of the archival thesis).

2. Create a NEW record for the microfilm version.

3. Verify that the template is for the microfilm Yale dissertation. The current RDA template for the variable fields should look like the illustration following. If it does not, follow the instructions for changing templates under Yale Dissertations: Archival Copy, but change the file to: RDA YALE DISS MIC.TEM

| 040 | ‡a CtY ‡b eng ‡e rda ‡c CtY |

| 100 1 | ‡a , ‡e author. |
| 245 | 1 | x | ‡a : ‡b / ‡c . |
| 264 | 0 | ‡c 2014. |
| 300 | ‡a leaves : ‡b illustrations ; ‡c 29 cm |
| 336 | ‡a text ‡b txt ‡2 rdacarrier |
| 337 | ‡a microform ‡b h ‡2 rdamedia |
| 338 | ‡a microfilm reel ‡b h d ‡2 rdacarrier |
| 500 | ‡a Title from title page surrogate. |
| 502 | ‡b Ph. D. ‡c Yale University ‡d 2014. |
| 533 | ‡a Microfilm. ‡b Ann Arbor, MI : ‡c ProQuest, ‡d 2014. ‡e 1 microfilm reel ; 35 mm. |
| 590 | ‡a SMLMIC: Dissertations may also be available in electronic form to the Yale community. For more information, consult with a reference librarian. |
| 690 | 4 | ‡a Thesis : Yale University, Graduate School, |
| 690 | 4 | ‡a UMI no <NOT YET AVAILABLE> |
| 776 | 0 | 8 | ‡i Reproduction of (manifestation): ‡b <author>. ‡t <title proper>. ‡d 2014. ‡h leaves ; 29 cm |

Note: do not bracket the production date (264 _0).

Note: do not add copyright date or dates to 264 _0. If there is a copyright date, optionally you may create a second 264 with 2nd indicator 4. Use the copyright symbol (on Voyager, CTRL-ALT-C) not "c." Do not end 264_4 with a period. If a 264 _4 field is added, the 008 date configuration should be changed to Publication Status t, with Date 1 the production date and Date 2 the copyright date.

Example:

Publication Status t _Date 1 2014 Date 2 2014

| 264 | 0 | ‡c 2014. |
| 264 | 4 | ‡c ©2014 <optional> |

Note: Do not add ‡w <ID number of original> to 776.

4. The Leader template, when opened (click on the Leader button) will look like this:
There is nothing to update in the leader template. Note that the encoding level is 7 for minimal level standard. For now, we will consider any copy of the archival thesis to be published (i.e., not a manuscript), so the Type of Record will be "a" rather than "t." This may change if OCLC and PCC policies are clarified. The descriptive fields and the 100 field follow RDA and the LC-PCC Policy Statements to the extent possible, so the Cataloging Form is i [ISBD] rather than a [AACR2].

5. The 008 template will look like this:
6. The 007 will look like this.
There is nothing to update or check in 007. All fields have been pre-loaded in the template.

7. From the Window menu, select Tile to display the new microfilm record and the cataloged record for the archival dissertation side-by-side. Copy and paste the 100, 245 and 300 information in the archival record to the microfilm template. See the example on the next page. Use the information in these fields to complete the 776 field in the microfilm template. Save the updated record to the database.

8. Use the Yale University Library Microform Accession Numbers [4] website to create a call number for the reel(s). From the Voyager bibliographic record, create a MFHD by clicking on the New Hldgs icon on the toolbar. Copy the number to the new MFHD using the following pattern:

   852 8 0 | ‡b smlmic ‡h Film ‡i D<shelf number>

Save the new MFHD to Orbis.

8. Write the call number on the reel box in pencil. Microtext staff will create the box label. Leave the reel(s) on the shelf assigned for Microtext pick-up.

Example: Microform Variable Fields

Microform of the archival dissertation example. Information added to the template by the cataloger is bolded.
Medical Library Dissertation Variant Edition Cataloging, Print to E-Version

DRAFT

authors: Patricia Thurston, Rowena Griem, Janusz Kulakowski

Leader

Open the Voyager Cataloging Client.

Open the Excel spreadsheet, which contains author names, titles, years of completion, and EliScholar URL.

Copy the first five words of the title, and paste them into a Voyager Index Search. You can also type in the title.
In the Menu bar of the Voyager Cataloging Client, go to RECORD. Select "Make a copy".

Change the Leader, so it looks like the following:

![Leader](image)

Click the "OK" button at the bottom of the window. The window will then close automatically.

006 Field

Click on the 006 field.

Select the tab "Computer File".

Click on the "New" button at the bottom of the window.

Change the 006 so it looks like the following:
Click on the "Apply" button to save your changes.

Click the "Close" button to close this window.

007 Field

Click on the 007 field.

Select the tab "Computer file".

Click on the "New" button at the bottom of the window.

Change the 007 so it looks like the following:
Click on the "Apply" button to save your changes.

Click the "Close" button to close this window.

008 Field

Change the "Form of Item" code to "o:Online". Make sure Place of Publication is "ctu"
Make no other changes.

Click the “OK” button at the bottom of the window. The window will automatically close.

**Variable Fields**

Delete the following fields:

- All 035s
- 079

**Create** a new 040 for the Medical Library, using the Medical Library’s RDA 040 macro.

**Delete** the old 040

In the 100 field, add the relationship designator for the author. Notice the punctuation after the author’s name. For example:

```
10 0 1 ‡a Abdalla, Marwah, ‡e author.
```

Or

```
10 0 1 ‡a Boone, Jon L., ‡e author.
```

Change the 260 field to a 264 field, with additional information as in this example.

```
264 ‡a [New Haven] : ‡b [Yale University, School of Medicine], ‡c [2006]
```
Using the Macro Express Macro for “Med Lib E-Dissertations”, <ctrl> r, create the RDA 300, 336, 337, and 338 fields for electronic resources. Add the pagination. If there are no illustrations, delete that field. Do not put a period at the end of the field.

| 30 | ‡a 1 online resource (120 leaves): ‡b illustrations |
| 33 | ‡a text ‡b txt ‡2 rdacontent |
| 33 | ‡a computer ‡b c ‡2 rdamedia |
| 33 | ‡a online resource ‡b cr ‡2 rdacarrier |

Delete the old 300 field.

588 field: Description based on
Add the following 588 note:

| 58 | Description based on print version record. |

856 field: Electronic Location and Access
Make sure selection arrow is in the space before the 949 field at the end of the record (the text says “YUM DO NOT DELETE 949”).

Press <F3> to create a blank field directly above the 949 field.

Create an 856 field with the link to the electronic version of the dissertation. Carefully copy the URL from the Excel spreadsheet, to prevent typos. For example:

| 856 | 4 | Online thesis ‡u http://elischolar.library.yale.edu/ymtdl/321 [5] |

Save to Database.

Holdings (MFHD)
Click on “New Hldgs”
Make changes to the 852 field, using the yulintx macro, <control>i

| 852 | 0 | yulintx ‡h None ‡z Online Resource |

Save to Database.

Do not create an item record.
Close the Holdings Record.
Close the Bibliographic Record.

Go to Orbis and pull up the record. Check the link to be sure it works. If the link does not take you to the online dissertation, check the URL in the spreadsheet against the URL in the 856 field. If the URL is incorrect in the spreadsheet, please make a note, so we can fix the problem later.

Effective Date: October 16, 2015

Source URL: https://web.library.yale.edu/cataloging/cms/yale-dissertations-minimal
Links
[1] https://deleon.library.yale.edu:8443/AccessionNumber
[4] https://libapp.library.yale.edu/AccessionNumber/