Copy Cataloging Checklist

For: SML Support Staff

By: Steven Arakawa

Date: 11/18/2002; revised: 5/30/2008

Note to supervisor: intended as the vanilla introductory training checklist for copy catalogers. Covers processing of both non-CIP full level LC copy (but not CIP) and standard level member copy. CAUTION: The workflow described may not apply to non-roman cataloging in some details

Effective Date: November 18, 2002

Pre-Cataloging Examination

Conditions: Cataloging copy source for the record is OCLC; location SML stacks; record is not CIP (E/L blank, I, or 4).

_____ A1. Is there any evidence that the book is damaged? If the book is damaged and there is no OK to add note from the selector; route to your supervisor. If there is an OK from the selector, consult with your supervisor about an appropriate local note.

_____ A2. What location are you cataloging for? Is book for SML stacks? (and if so, for Judaica, L&B?) Some locations may require special processing, e.g. all books for the Near East collection are cataloged by the Specialty Cataloging Team. If you are not authorized to catalog for the location, route the book to your supervisor. Once you are familiar with basic SML processing, you may be assigned and learn how to process cataloging copy for school and departmental libraries and SML special collections.

_____ A3. Roman alphabet or not?

- If the title page is non-roman, the book is generally processed by the Specialty Cataloging Team: East Asia (Chinese/Japanese/Korean), Hebraica, Near East (Arabic/Persian), Slavic/East European.
- Roman alphabet Eastern European/former Soviet bloc languages must be processed by that team, e.g. Finnish, Hungarian, Romanian.
- Keep in mind that East Asian, Hebrew, and Near East languages will have the title page at what would be the END of a roman alphabet book.
- If there is both a roman and a non-roman title page, area team policy may differ as to whether the book will be processed by them.

_____ A4. Is the Leader within guidelines? Bibliographic level: m <monograph> Encoding level blank or 4. Encoding Level I (OCLC full level) is also acceptable. Note that there are separate guidelines for CIP (encoding level 8). Once you are familiar with basic SML processing, you should learn the more advanced descriptive rules needed to process and update CIP.

Descriptive Verification

_____ B1. Is the cataloging copy for the SAME EDITION? Verify the following:

____ 020 Verify that the same ISBN number on the book is recorded in the 020 field. A 020 for the paperback
edition may also be on the record

___ 245 Every word in the 245 must be on the title page unless the word is in [brackets]. The converse is not true; not every word on the title page will appear in the 245 field. Edition information should appear in the 250 field; series information should appear in the 440 or 490 fields; other non-title related information may appear in the notes [5xx]. Not all punctuation in the 245 field will necessarily appear on the title page. Note that the 240 field [uniform title] is not part of the verification procedure.

___ 250 Check for information about the edition on the title page and on the verso of the title page.

- For non-Anglo-American publications, the edition statement is sometimes on the colophon, which is usually on the last page.
- Check for edition information even if there is no 250 field on your record.
- If the edition information on the book differs from the edition information on the printout, the cataloging copy is not the same edition.
- A later printing is generally considered the same edition, but only if there is no evidence of revision, e.g. "Second printing with corrections."

___ 260/264_1 Make sure your record has the same place of publication and publisher. The date of publication must be the same.

- A later printing is acceptable if there is no evidence of revision.
- A revised printing--e.g. "Second printing, with corrections"--is cataloged as a separate edition; variant edition cataloging is only performed by authorized staff.
- If the decision is to process the book as a later printing, leave the original publication date "as is" in 260 or 264_1 if there is a later printing date on the book.
- Accept all 264 fields.

___ 300 Check pagination, illustrations, and size.

- ‡a: the last page of each paging sequence should be recorded in subfield ‡a.
- ‡b: illustrations will be recorded in the second (‡b) subfield. Verify that there are illustrations if there is a ‡b subfield, but do not re-count the illustrations if numbered.
- ‡c: glance at the third (‡c) subfield to see whether the book is oversize. SML 28-39 cm. height.
- Width is not recorded in the bibliographic record for the most part.
  - SML: width oversize is 20-29 cm and folio oversize is 40 cm or more height; 30 cm. or more width.
  - Art and Drama: width oversize is 29-32 cm and folio oversize is 38 cm or more in height or 33 cm or more in width.
  - DIV: refer to "Divinity Library Oversize and Folio Specifications[1]"
- Only re-measure if you suspect the size is incorrect. Accept variations of about a centimeter or more either way; remember that size is always rounded up to the next centimeter.
- If there is a subfield ‡e for accompanying material, verify to make sure that the accompanying material is present. Accompanying material is sometime recorded in notes (5xx) rather than 300 ‡e.

___ 490 Verify that the series statement on the printout appears somewhere on the book. In some cases, the form of access used for the series may differ from the form of the series as it appears in the 490 field; the access form will appear in the 8xx field and is not part of the descriptive verification. (But access form is important for authority checking.) If the record has a 490_0 series statement, retrieve the authority record and follow the tracing decision on the record.

*** 440 field is obsolete, accept it if it appears in the record.

- There are special procedures for books with accompanying loose plates, microfiche, and audio-visual materials like CD-ROMs, CD sound recordings, and audiocassettes; see instructions under E. CALL NUMBER AND LOCATION[2].
• If the accompanying material is not recorded on the bib record, consult with a catalog librarian.

_____ B2. Reproduction vs Original. If you are processing a photocopy for a location, do not consider the photocopy to be the equivalent of the original. If the bib record is for the original, consult with a catalog librarian. Conversely, if you have a copy of the original, and the cataloging is for a reproduction (microfilm, photocopy, electronic resource), do not consider your book as matching the bibliographic record.

Fields to Delete

_____ Have superfluous fields been deleted from the record? There are 2 documents you need to consult:  

035 Field: Delete, Retain, or Add [3]

Variable Field Deletion Policy [4]

NOTE: Most fields that need to be deleted are stripped automatically from the OCLC record when it is exported.

Authority Verification

_____ D1. Is the bib record LC or member? If the bib record is LC, you are concerned only with the series authority.

_____ D2. Is there an authority record for the series in Voyager? If there is a series authority record in Voyager, retrieve it to determine if the series is classed together. Check also to see if other titles in the series have been cataloged to determine whether the series is classed together. (Searching Voyager (staff headings title search) is usually the easiest way to determine series classification practice.) Notify your supervisor or the designated catalog librarian if the series is classed together for your location but the treatment has not been recorded on the series authority record.

_____ D3. If there is no series authority record in Voyager, use the 050 call number if the bib record is LC and search no further. If the bib record is not LC, search in LC Authorities [5] or in OCLC. If a series authority record is found in LC Authorities or OCLC, follow the classification decision. If no series authority record is found, route to the designated catalog librarian to establish the series.

_____ D4. Are there non-series headings requiring authority records? If the bib record is not LC and a personal name with a prefix or a compound surname does not have a corresponding authority record, route to the designated catalog librarian to establish the heading.

Detailed policies and procedures at: Authority control workflow for C&T staff [6]

Call Number and Location

_____ E1. Usable call number in 050 or 090 field? If 090 call number is usable, change it to 050 _4. In the MFHD window, use the Voyager CTRL-N key sequence to copy the 050 number into the 852 field. This will generally be the number to use, along with the location as entered in the in-process ?b subfield, but you will need to keep in mind the following considerations.

_____ E2. Is the book analyzed by LC or SML? If so, make sure the call number used is the Yale number rather than the number used in 050/090, and that the call number has a volume number at the end.
_____ E3. Editions and translations. Since our procedures no longer require keeping editions and translations together, searching for the earlier edition call number is not required.

_____ E4. Does your call number use (LC)? For SML stacks, these numbers do not use (LC): D, PA-PZ, Q. Note that P call numbers take (LC) but PA-PZ do not take (LC).


_____ E7. Is your book FOLIO? 40 or more height; 30 or more width. Be sure to insert ‡k Folio before the ‡h field in 852 but do not add ‡m Oversize at the end of the call number.

_____ E8. If you are cataloging a literary work or a book about a literary work, there are special workflow instructions related to the call number. Refer especially to Shelflisting of Literary Works by a Single Cutter Author [7].

If you haven't been trained in the literature call number workflow policies & procedures introduced Feb. 2005, route to your supervisor.

_____ E9. Should your book go to the Judaic Studies Reference room? Books for Judaic Studies Reference should come with a flag or some indication on the searching slip. Location code in Orbis may need to be changed to smljdr. CAUTION: changing the location code requires an update of the location in the item record. See ITEM RECORD [8] section. All SML books classed BM used to be assigned smljd, however the smljd location has been discontinued (Oct. 2, 2018).

_____ E10. Should your book go to Numismatics Collection? Refer to Numismatics Materials Workflow [9]. All SML books classed in CJ are automatically assigned the smlnum location. CAUTION: changing the location code requires an update of the location in the item record. See ITEM RECORD [8] section.

_____ E11. All SML with inserts that could be stolen or easily damaged: loose plates, maps in pockets, etc. are sent to Preservation (Collection Care Unit) after cataloging for proper housing.

_____ E12. Does your book have accompanying media (e.g. a CD-ROM, an audio CD, an audiocassette, etc.)? Both the book and the accompanying media item are cataloged for the designated location. The item record for the media item needs to be checked for Item type and Item Statistical Category [10].

CAUTION: a different workflow is used for departmental libraries.

_____ E13. Should your book go to L&B? Book will be flagged; location code in Orbis may need to be changed. L&B Travel has been relocated to the Bass Library <for now, continue to use smlnbt>. CAUTION: changing the location code requires an update of the location in the item record. See ITEM RECORD [8] section.

_____ E14. Should your book go to the Microform Collection? All books with accompanying microfiche are cataloged for the Microform Collection. If necessary, change the Orbis location code to smlmic. CAUTION: changing the location code requires an update of the location in the item record. See ITEM RECORD [8] section.

_____ E15. CAUTION: books flagged for LSF should have sml or an sml sublocation as their Orbis 852 ?b location.

_____ E16. Non-SML location without department flag. If a book is not flagged but a non-sml location has been entered in the 852 field of the in-process MFHD, this generally means the book came in on a blanket order for the department but the selector decided to change the location to sml. The location should be updated to sml. Occasionally a flag will fall out, so if in doubt, consult with your supervisor. CAUTION: changing the location code requires an update of the location in the item record. See ITEM RECORD [8] section.

_____ E17. Does the record use 050 _4 or 090 rather than 050 00? If the book is about an artist, a work of literature, or a book about a literary author, follow the special procedures at E8/E9. Otherwise, use the call number as is (with oversize, folio, and/or (LC) if applicable) after determining that the series is not classed together. If you suspect that the number is incorrect, check with your supervisor.
_____ E18. If there is no call number, route to the cataloger in your team who assigns call numbers.

_____ E20. In some cases, the call number is written in the book (see instructions below). If so, have you checked the call number on the verso t.p. against the call number in record holdings?

Materials Processing

_____ F1. For monographs, if the barcode has not been affixed to the book, peel the item from the barcode card and attach it to the inside back cover. Note the exceptions F2 & F3.

_____ F2. If the cover is in fragile condition, write the call number on the verso t.p. of the book in pencil (LIGHTLY). For preservation containers, see F7.

_____ F3. If the call number is for a monographic series analytic (vol. number is part of the call number), and the vol. number in ENUM differs from the call number in 852, write the call number on the verso t.p. even if the barcode has been affixed to the inside back cover. Do not use continental 7's when marking.

_____ F4. If the call number is written in the book, you must write the sublocation stamp above the call number. SML without sublocation is not written above the call number. Sublocation stamps typically included in the SML processing stream:

- Bass
- Mountaineering <line break> Coll. «note that the ORBIS location code is "cclmtn"»
- L & B
- Numismatics

_____ F5. After the book is cataloged, recycle all paper travelling with the book but RETAIN the following EXCEPTIONS with the book:

- "Requestor" printout (printout with Requestor in red)
- Barcode cards. (Prior to the change in Acquisitions procedures, barcodes were not attached to the books until the item reached Preparations. Items from the backlog may have cards with a barcode attached. Preparations is responsible for peeling the barcode from the card and attaching it to the book cover.)
- Red flags
- Yellow HVT flag. Lower priority than red; all other “priority” flags are not retained.
- Location flags (e.g. Judaica, Cross Campus, Mountaineering)
- LSF flags

Paper with fund coding: either pink fund list or (items from the backlog) printout of NOTIS order record. Fund codes are used to determine bookplates.

_____ F6. Note in particular that rubber bands, paper clips, yellow/colored post-its, and carbon paper temporary slips provided by vendors, if left in or fastened to the book, will eventually damage it. Be zealous about removing such things.

_____ F7. Books in poor condition may be traveling in a preservation container (a flat piece of cardboard in a plastic bag). Keep the book in the container. If your book is in poor condition and you think it needs a container to keep it from falling apart, you can get one from Acquisitions.

OK to Export
G1. Does the record need to be exported? Always export if yours is the only MFHD location. If there are multiple MFHDs, but yours is the first with a call number, export it. If there are multiple MFHDs but another location has already added a call number, assume that the record has already been exported and do not export again.

Detailed policies and procedures at

Policy on exporting bibliographic records from ORBIS [11]

Exporting to MARS and OCLC from Voyager 10 [12]

Item Record

H1. If you changed the location, did you update the location code on the item record?

H2. Is the item type correct? Format and location changes may affect the validity of the item type. Note that if you are doing basic SML cataloging, you would not ordinarily be processing media items unless they are accompanying material. Refer to: Item Types and Statistical Categories [10]

H3. If the item record is for accompanying media, is the Item Statistical Category correct? Refer to: Item Types and Statistical Categories [10].

H4. Have you charged the item record to Preparations? Double check the title in the Circulation module when charging to verify that the item record is linked to the correct book.

Statistics and Preparations

I1. Keep track of items cataloged.

On the departmental web form Yale University Library Cataloging Statistics [13], record the number of titles cataloged, subarranged by format and source copy.

Generally, for basic copy cataloging you will only use the Monographs window for Cataloging Types:

- LC Copy Cat
- Other Copy Cat
- Added Copies
- Pieces

?You may need to use the separate windows for accompanying material. To open a window to count an accompanying media item, click on the appropriate tab:

- Video
- Sco/Rec
- Graphic
- CD-ROMS

If the book has accompanying material in a pocket (e.g. a booklet, a map, microfiche), do not count the accompanying material as a separate piece.

If the accompanying material is travelling separately (with its own barcode, e.g. a stand-alone teacher's guide, or a media item in a separate container), count it as a separate piece under the appropriate format.
Books counted in the Added copies box are not counted in the Total Titles box.

Example 1. You have cataloged a single volume book with LC copy. On the Monographs page, enter in these boxes:

- LC Copy Ca Titles: 1
- Pieces, etc.: 1

?Example 2. You have cataloged a multivolume monograph (e.g. a 2 v. set) with LC copy. On the Monographs page, enter in these boxes:

- LC Copy Cat Titles: 1
- Pieces, etc.: 2

?Example 3. You used member copy and cataloged a single volume book with an accompanying CD-ROM (which should be in a separate case). The items are counted on 2 separate web pages.

On the Monographs page, enter in these boxes:

- Other Copy Cat Titles: 1
- Pieces, etc.: 1

On the CD-ROMS page, enter in the following box:

- Pieces, etc.: 1
  - <Do not count in Other Copy Titles>

PS: an accompanying audio CD should be counted on the Other Format form under Sco/Rec. (Pieces, etc. but not Other Copy Cat)

Example 4. You used member copy and cataloged a single volume book with 6 accompanying microfiche in a pocket on the inside back cover. On the Monographs page, enter in the following boxes:

- Titles: Other Copy Cat: 1
- Pieces, etc.: 1

Do not count the accompanying microfiche. (Accompanying material in a pocket is not counted on statistics)

Example 5. Your book has already been cataloged for art and you have a copy for sml. On the Monograph page, enter in the following boxes:

- Added Copies: 1
- Pieces, etc.: 1
  - <Do not count in LC Copy Cat Titles or Other Copy Cat Titles>

Give the total number of LC and Other Copy titles in the Total Titles at the end of the month. Titles counted as Added Copies are not counted under Total Titles.

Give the total number of LC, Other Copy, and Added Copies pieces in the Pieces, etc. box at the end of the month.

______ I2. Book Truck. Did the item come with an LSF flag? If so, leave it on the LSF truck and do not charge the
item to Preparation. Otherwise, charge it to Preparation and leave it on the regular Preparations trucks.

**Links to Detailed Policies and Procedures**

- [LC Classification Overview](https://web.library.yale.edu/cataloging/LC-call-numbers-overview) [14]
- [Modification of LC Call Numbers](https://web.library.yale.edu/cataloging/local-modification-lc-call-numbers-sml) [15]
- [SML Oversize, Folio, and Miniatures](https://web.library.yale.edu/sml-oversize-folio-and-miniatures) [16]
- [Copy Cataloging Checklist](https://web.library.yale.edu/cataloging/cms/basic-copycat-checklist) [17]
- [Location Tables and Processing Notes](https://web.library.yale.edu/cataloging/location-tables) [18]
- [Cataloging Procedures for Audiovisual, CD-ROM and Related Media](https://web.library.yale.edu/smlbass-policies-processes-media/cataloging-media) [19]
- [Call numbers and shelflisting](https://web.library.yale.edu/cataloging/call-numbers-and-shelflisting) [20]
- [Belletristic Call Numbers (SML) 2005 Version](https://web.library.yale.edu/cataloging/belletristic) [21]

**Source URL:** https://web.library.yale.edu/cataloging/cms/basic-copycat-checklist

**Links**

1. [https://web.library.yale.edu/cataloging/divinity/oversize-and-folio](https://web.library.yale.edu/cataloging/divinity/oversize-and-folio)
2. [http://web.library.yale.edu/cataloging/cms/basic-copycat-checklist/call-number](http://web.library.yale.edu/cataloging/cms/basic-copycat-checklist/call-number)
3. [http://www.library.yale.edu/cataloging/Orbis2Manual/035field.htm](http://www.library.yale.edu/cataloging/Orbis2Manual/035field.htm)
4. [http://www.library.yale.edu/cataloging/Orbis2Manual/deleteTable.xls](http://www.library.yale.edu/cataloging/Orbis2Manual/deleteTable.xls)
5. [http://authorities.loc.gov/](http://authorities.loc.gov/)
6. [http://www.library.yale.edu/cataloging/authorities/ctacworkflow.htm](http://www.library.yale.edu/cataloging/authorities/ctacworkflow.htm)
7. [http://web.library.yale.edu/cataloging/belletristic-shelflisting](http://web.library.yale.edu/cataloging/belletristic-shelflisting)
8. [http://web.library.yale.edu/cataloging/cms/basic-copycat-checklist/item](http://web.library.yale.edu/cataloging/cms/basic-copycat-checklist/item)
9. [https://web.library.yale.edu/cataloging/workflow/numismatics-090726](https://web.library.yale.edu/cataloging/workflow/numismatics-090726)
10. [https://web.library.yale.edu/cataloging/smlbass-policies-processes-media/item-types](https://web.library.yale.edu/cataloging/smlbass-policies-processes-media/item-types)
11. [https://collaborate.library.yale.edu/cpdc/PDF%20files/exportingBibFromOrbis%20(1).doc](https://collaborate.library.yale.edu/cpdc/PDF%20files/exportingBibFromOrbis%20(1).doc)
12. [https://web.library.yale.edu/cataloging/Voyager-export](https://web.library.yale.edu/cataloging/Voyager-export)
13. [https://libapp.library.yale.edu/CatStatistics/](https://libapp.library.yale.edu/CatStatistics/)
14. [https://web.library.yale.edu/cataloging/LC-call-numbers-overview](https://web.library.yale.edu/cataloging/LC-call-numbers-overview)
15. [https://web.library.yale.edu/cataloging/local-modification-lc-call-numbers-sml](https://web.library.yale.edu/cataloging/local-modification-lc-call-numbers-sml)
16. [https://web.library.yale.edu/sml-oversize-folio-and-miniatures](https://web.library.yale.edu/sml-oversize-folio-and-miniatures)
17. [https://web.library.yale.edu/cataloging/cms/basic-copycat-checklist](https://web.library.yale.edu/cataloging/cms/basic-copycat-checklist)
18. [https://web.library.yale.edu/cataloging/location-tables](https://web.library.yale.edu/cataloging/location-tables)
19. [https://web.library.yale.edu/smlbass-policies-processes-media/cataloging-media](https://web.library.yale.edu/smlbass-policies-processes-media/cataloging-media)
20. [https://web.library.yale.edu/cataloging/call-numbers-and-shelflisting](https://web.library.yale.edu/cataloging/call-numbers-and-shelflisting)
21. [https://web.library.yale.edu/cataloging/belletristic](https://web.library.yale.edu/cataloging/belletristic)