Copy Cataloging Checklist

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This copy cataloging checklist is intended to support initial general print monograph copy cataloging training. It includes strategies for ensuring the record represents the same manifestation that is in hand, verification to complete as well as other processing workflows for most general collection print materials. This resource is primarily intended to be used when importing records from OCLC into the Yale catalog. For additional Special Collections Copy Cataloging Documentation, refer to the Copy Cataloging instructions in the Beinecke Rare Book Cataloging Manual. [1]

Effective Date: November 18, 2002

Pre-Cataloging Examination

Conditions: Cataloging copy source for the record is OCLC and the record includes major fields including subject headings and LC call numbers.

_____ **A1**. If the book is damaged, check with the relevant ordering or receiving unit to determine whether to attempt to replace the copy. If they decide not to request a replacement, catalog the copy we have, noting the damage. See this page from the Beinecke Cataloging Manual on imperfections [2] for templates. After cataloging, route to Preventive Conservation if the damage impacts the structural integrity of the text block or is likely to worsen over time.

_____ **A2**. Check the intended location of the item. Verify location based on flags in the book and the holdings record location code. If you are not sure of cataloging specifications for a given location, route to your supervisor. See location tables and processing notes [3] for details.

_____ **A3**. Latin script or non-Latin script?

- If the title page is not in a Latin script, consult with a colleague with the relevant language expertise.
- Languages written in right to left scripts may have the title page at what would be the end of a Latin script book.
- If there is both a Latin script and a non-Latin script title page consult with your supervisor if you have not worked with a book with parallel script fields before. If you are not comfortable working with non-Latin script, consult with a colleague with the relevant language expertise.

_____ **A4**. Accompanying material present?

- There are special procedures for books with accompanying loose plates, microfiche, and audio-visual materials like CD-ROMs, videos, and sound recordings; see the instructions under E. CALL NUMBER AND LOCATION [4].
- If the accompanying material is not noted on the bib record, consult with a catalog librarian.

_____ **A5**. Reproduction vs Original. If you are processing a preservation 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 record describes a reproduction (microfilm, authorized photocopy, electronic resource), do not consider your item a match to the bibliographic record. For more information view the reproductions cataloging documentation [5].

Descriptive Verification

_____ B1. Does the record match our standards and represent the manifestation you are cataloging? Verify the following:

- **Leader**: If you are cataloging a print monograph, ensure that the type of record is ‘a’; for unpublished materials it can be ‘t’
    - ?Bibliographic level will usually be ‘m’ unless the title is continuing.

- **008**
    - Type of date / publication status: should be ‘s’ for monographs with a single publication date or ‘t’ for materials with copyright and publication dates. For multi-part monograph records the date will be ‘m’; if a month and date are recorded in Date 2 the type of date will be ‘e’.
    - Date 1 and 2: are determined by the date type and the dates recorded in the 260/264 $c.
    - Date 1: matches the publication date (or copyright date) on the book and the 260/264 $c.
    - Date 2: may be used to note both the copyright or publication dates, as well as the month and date if the type of date is ‘e’.
    - Place of publication: code matches the country, or the state listed in the 264 or 260.
    - Language code: represents the predominant language of the content in the book check that the language code is correct. If multiple languages are present, the predominant language should be represented by this language field.
    - Illustrations: if there are illustrations noted in the 300$b, check that they are reflected in the fixed fields (‘a’ for general illustrations)
    - Form of item: The form will likely be blank for print monographs. If there is anything recorded in the field, investigate further.
    - Nature of contents: most commonly this will include ‘b’ if there are bibliographical references noted in the 504.
    - Government publication: if the book you are cataloging is not published by a government body, this will be blank
    - Conference publication: this will usually be 0 (1 if it is a conference publication)
    - Festschrift: this will usually be 0; will be 1 if the book was written in honor of someone. If you have questions about what a festschrift is, ask!
    - Index : 0 if there is no index; 1 if there is an index. This would be noted in a 504 or a 500 field.
    - Literary form: if it is general non-fiction, this will be 0. If it is fiction, essays, letters, or speeches assign the appropriate code.
    - Biography: This should be blank if it is not primarily a biography. If it contains substantial biographical information, check the coding.

- **040** Verify that the value in $b is ‘eng’; if there is a $e present in the 040, the value should be ‘rda’. If there are other values, ask your supervisor or a colleague.

- **041** Verify that the coding matches the information in the 546. This information is generally blank if the book is in only one language and is not a translation. In some cases, particularly with languages that are less present in North American libraries, there may also be a 041 field when the resource is in a single language and is not a translation.

- **020** Verify that the same ISBN number on the book matches the one recorded in the 020 $a field (there may be additional 020s that are not printed on the book).

- **1xx** Most books with individual authors will have a 1XX field. Check that the name used represents the individual or organization that is responsible for the content of the book. Editors will generally not be recorded in a 1xx field.

- **245** Every word in the 245 must be on the title page unless the word is in [square brackets]. When parallel titles are present in the record, they may appear on other pages of the book. Parallel titles should always be transcribed and included in the 245.

- **250** Check for information about the edition on the title page and on the title page verso.
  - For non-Anglo-American publications, the edition statement is sometimes in the colophon, which is often on the last page of the book.
  - 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 record, the cataloging copy does not match.
  - A later printing is generally considered the same edition. However, later printings that include revisions are considered new editions.??

- **260/264_1** In almost all records coded rda, this should be a 264. Make sure the record has the same place of publication, publisher, and date of publication as the book in hand. Your record does not have to include all places of publication or publishers that may be present on a book.
  - 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.

- **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 that are illustrative rather than decorative if there is a ‡b subfield, but do not re-count the illustrations if numbered. Check that the coding in the Illustration fixed fields match what is represented in the 300 field.
  - ‡c: the height of the book in centimeters is recorded in ‡c. Width is recorded if the book is wider than it is tall. If it looks correct, you do not have to measure the book to verify. The dimensions are always rounded up to next full centimeter.
  - Determine whether the book is considered a miniature, folio, or oversized based on the intended location. Specifications for SML, Bass and Art can be found on the Oversize and miniatures page. [6] Specifications for Divinity can be found on the Divinity Library Oversize and Folio Specifications page. [7]
  - If there is a subfield ‡e for accompanying material, verify to make sure that the accompanying material is present. Accompanying material is sometimes recorded in notes (5xx) rather than a 300 ‡e.

- **336** $a should say ‘text;’ there may be a second 336 with a $a of still image if significant pictorial content is included. Additional 336 fields should be present if there is accompanying material in an additional format.

- **337** $a should say ‘unmediated’ for print books. Additional 337 fields should be present if there is accompanying material in an additional format.

- **338** $a should say ‘volume’ for print books. Additional 338 fields should be present if there is accompanying material in an additional format.

- **490/8XX** Verify that the series statement in the record appears somewhere on the book. It should be transcribed in the 490 field as it appears in the item in hand, with the authorized form (which may differ from the 490) in the 8xx field. If the series statement does not appear on the item in hand, it is recorded in square brackets in the 490 field. 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. If it appears in a record, generally do not update it if it is found in copy. When the record is sent out for authority processing the data will be moved to a 490.

- **504** Verify that the notes that correspond to the bibliographical references and indexes generally match what is in the book.

- **546** If the resource you are cataloging is in more than one language or includes a translation, there should be a 546 language note describing the relevant languages. If there is a 546 there should also be a corresponding 041 with the appropriate codes. In some cases, particularly with languages that are less present in North American libraries, there may also be 546 and 041 fields when the resource is in a single language and is not a translation.

Fields to Delete

____ **C1**. Have superfluous fields been deleted from the record? There are 2 documents you need to consult:

- 035 Field: Delete, Retain, or Add [8]
- Variable Field Deletion Policy [9]

NOTE: Most fields that need to be deleted should be stripped automatically from the OCLC record when it is exported. If they are not consult with your supervisor as your Connexion settings may not be correct.

Authority Verification

_____ **D1**. 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 in Voyager 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.

_____ **D2**. If there is no series authority record in Voyager, search in LC Authorities 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 a catalog librarian to establish the series.

_____ **D3**. Are there non-series headings requiring authority records? Check the authorized headings for personal and corporate names. If a personal name with a prefix or a compound surname does not have a corresponding authority record, or there is an authority record for someone with the same name, but it appears to represent a different person, route to a catalog librarian to establish the heading.

Detailed policies and procedures at: Authority control workflow for C&T staff [10]

Call Number and Location

_____ **E1**. Is there a usable call number in an 050 or 090 field? If 090 call number is complete and appears reasonable, change it to an 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 the location you are cataloging for? If so, make sure the call number used is that location's number rather than the number used in the 050/090, and that the call number has a volume number (or chronological information if appropriate) at the end.

_____ **E3**. Add (LC) to the end of all call numbers for SML and Bass. Check library-specific documentation for

other locations.

_____ **E4**. For LC call numbers, the 852 indicators in the MFHD should both be 0, If sending out without an LC call number the first indicator would be 8.

_____ **E5**. Is the book oversize or a folio based on the location policies? For the former, add ‡m Oversize **after** the call number; for folios, insert a ‡k Folio **before** the call number.

_____ **E6**. 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 to **Shelflisting of Literary Works by a Single Cutter Author** [11]

If you have not been trained in the literature call number workflow policies and procedures, route to your supervisor or a colleague who has been trained to assign literary call numbers.

_____ **E7**. Is your item part of a multi-volume set? In addition to the base call number in the 852, also include the volumes held in an 866 field. For specific information refer to the Multipart Monograph MFHD guidelines documentation [12].

_____ **E8**. Books for **Judaic Studies Reference** should come with a flag or some indication in the holdings record. The location code in the MFHD and Perm. Loc. Information (in the item record) may need to be changed to **smljudr**. CAUTION: changing the location code requires an update of the location in the item record, too. Change the Item Type to reference.

_____ **E9**. Should your book go to Numismatics Collection? Refer to Numismatics Materials Workflow [13]. All SML books classed in CJ are automatically assigned the smlnum location. Route to LSF after cataloging. CAUTION: changing the location code requires an update of the location in the item record. See ITEM RECORD [14] section.

_____ **E10**. All SML items with inserts that could be stolen or easily damaged, e.g.: loose plates, maps in pockets, etc., are sent to the Preventive Conservation Unit after cataloging for proper housing. Write call numbers on loose inserts before sending to Preventive Conservation.

_____ **E11**. If your book has accompanying media (e.g. CD-ROMs, audio CDs, audiocassettes, 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** [15].

CAUTION: different workflows may be used for departmental libraries.

_____ **E12**. Should your book go to L&B? Books destined for the L&B room will be flagged, although the location code in Voyager may need to be changed. CAUTION: changing the location code requires an update of the location in MFHD and the item record. See ITEM RECORD [14] section.

_____ **E13**. *CAUTION*: books flagged for LSF should have sml, a sml sublocation, or another on-campus library location code as their Voyager 852 ?b location.

_____ **E14**. 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, assume the location code in the 852 of the in-process MFHD is correct. If in doubt, check with your supervisor. *CAUTION*: changing the location code requires an update of the location in the item record. See ITEM RECORD [14] section.

_____ **E15**. Does the record use 050 _4 or 090 rather than 050 00? If the book is about a work of literature, or a book about a literary author, follow the special procedures at E5. Otherwise, use the call number as is (with oversize, folio, (LC) if applicable) after determining that the series is not classed together. If you suspect that the number is incorrect, check with your supervisor.

_____ **E16**. If there is no call number, route to a cataloger.

_____ **E17**. In some cases, the call number is written in the book (see instructions below). If so, check the call number on the verso title page against the call number in record holdings.

Materials Processing

_____ **F1**. For monographs, if the barcode has not been affixed to the book, place it on the outside cover in the upper left corner closest to the spine with the spine on the left. For more information consult the barcode placement page [16]. Note the exceptions F2 & F3.

_____ **F2**. If the cover is in fragile condition, write the call number on the verso title page 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 the 852, write the call number on the verso title page even if the barcode has been affixed to the inside back cover. Do not use continental 7s (I.e., “7“) when marking.

_____ **F4**. If the call number is written in the book, write the sublocation stamp above the call number. SML without a 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 "smllnbm"»
- 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)
- Red flags
- Yellow HVT flag. Lower priority than red; all other "priority" flags are not retained.
- Location flags (e.g. Art, Cross Campus, Mountaineering)
- LSF flags

_____ **F6**. Remove rubber bands, paper clips, post-its, and temporary slips provided by vendors (if left in or fastened to the book, will eventually damage it).

_____ **F7**. Books in poor condition may be traveling in a preservation container, such as an envelope with a sling. Keep the book in the container. If your book is in poor condition, route the item to the Preventive Conservation Unit.

OK to Export

Clicking OK to export sends our record to two locations, Backstage Library Works for Authority Processing (sometimes referred to as MARS) and OCLC to update holdings information. Authority processing is used to update our local authority file, verify the headings in the bibliographic records, and add URIs to applicable headings.

____ **G1**. Always export the record if yours is the only MFHD location. If there are multiple MFHDs, but yours is the first with a call number, export it.

____ **G2**. If there are multiple MFHDs but another location has already added a call number, check the bibliographic record history, if MARS is present as an operator, the record has previously been sent. Do not export the record unless G3 applies.

_____ **G3**. If you have added new headings to 1xx, 6xx, or 7xx fields and those headings do not have corresponding records in Voyager when you validate the headings, click 'OK to Export' to ensure we receive the appropriate records.
Detailed policies and procedures at:

Exporting to MARS and OCLC from Voyager 10 [17]

Item Record

_____ **H1**. Verify that the location code in the holdings record matches the location code in the item record. If they do not match, and you are not sure which location is correct, ask your manager.

_____ **H2**. Items with a LSF flag should generally have another location, likely sml. The location in the holdings record and the item record and the item type should reflect the non-LSF location. They will all be flipped to the corresponding LSF data once the item is sent to LSF to be ingested.

_____ **H3**. Format and location changes may affect the validity of the item type. 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 [15].

_____ **H4**. If there is any accompanying material, make sure the value in the number of pieces is accurate and recorded in the Note field and the Pieces field at the bottom of the record.

_____ **H5**. If the item record is for accompanying media, check that the Item Statistical Category correct. Refer to: Item Types and Statistical Categories [15].

_____ **H6**. When charging an item record to Preparations, double-check the title in the Circulation module to verify that the item record is linked to the correct book.

Statistics and Preparations

Recording Cataloging Statistics in Voyager (Monographic Processing Services)

_____ **I1**. Keep track of the cataloging you've completed. If you don't know which method to use to keep cataloging statistics, check with your supervisor. The approach described here is primarily used by Monographic Processing Services.

When you have finished cataloging, click on the pie chart icon for 'item statistical categories' in each item record. Highlight the cataloging category that best describes the work you performed and click the blue arrow. Then click, OK'. Then click 'Save to DB' The definitions for each of the categories are below.

- **1 Cataloging, FastCat**
  - **?**Full-level bibliographic record has been imported from a vendor and we are performing quality control. The item is routed to Preparations or the shelf once the review is complete. This is not used for material going to the backlog.

- **2 Cataloging, Copy**
  - **?**Bibliographic record was already imported from OCLC, or we have searched OCLC and brought in a record from OCLC. Some edits are usually required, and more verification is required than with FastCat. The item is routed to Preparations.

- **3 Cataloging, Original**
  - Bibliographic record either required extensive edits and additions, was derived from another record, or was created by the cataloger. Includes assigning call numbers and adding or adjusting subject headings. The item is routed to Preparations.

- **4 Cataloging, Added Vol.**
  - Bibliographic record is already in Voyager but updates regarding newly acquired additional volumes may be necessary to the bibliographic record. Primarily, updates are made in holdings and item records. The status is added when the item is being routed to Preparations.
  - Code added copies as added volumes. Likely the only change will be to add or edit the holdings and item records.

- **5 Cataloging, Enhancement**
  - The resource was already cataloged at Yale but substantial edits or enhancements were made to the existing bibliographic record. This work frequently happens in catalog maintenance activities.

Note: If you're recording enhancement, copy, original, or fastcat this should be recorded on one item record, not every attached item record. Example: If you're adding multiple items at once, one item would get the cataloging designation based on the work done to the bib record, each of the others would only get the added volume designation.
Best practice is to add the statistical category when work is complete. Exceptions to this may occur when working with added volumes. If there are questions consult your supervisor.

Links to Detailed Policies and Procedures

035 Field: Delete, Retain, or Add [8]

Authority control workflow for C&T staff [10]

Barcode placement page [16]

Beinecke Cataloging Manual on imperfections [2]

Beinecke Rare Book Cataloging Manual [18]

Belletristic Call Numbers (SML) 2008 Version [19]

Call numbers and shelflisting [20]

Cataloging Procedures for Audiovisual, CD-ROM and Related Media [21]

Copy Cataloging Checklist [22]

Divinity Library Oversize and Folio Specifications page. [7]

Exporting to MARS and OCLC from Voyager 10 [17]

Item Types and Statistical Categories [15]

LC Classification Overview [23]

Location Tables and Processing Notes [3]

MFHDs [24]

Modification of LC Call Numbers [25]

Multipart Monograph MFHD Guidelines [12]

Numismatics Materials Workflow [13]

Reproduction Cataloging (Tangible Print Resources) [5]

Shelflisting of Literary Works by a Single Cutter Author [11]

SML Oversize, Folio, and Miniatures [6]

Variable Field Deletion Policy [9]

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

Links
[1] https://rbc-cataloging-manual.beinecke.library.yale.edu/basic-copy-cataloging [2] http://beinecke1.library.yale.edu/info/bookcataloging/notes/imperfect.htm [3] https://web.library.yale.edu/cataloging/location-tables [4] http://web.library.yale.edu/cataloging/cms/basic-copycat-checklist/call-number [5] https://web.library.yale.edu/cataloging/reproductions-rda [6] https://web.library.yale.edu/sml-oversize-folio-and-miniatures [7] https://web.library.yale.edu/cataloging/divinity/oversize-and-folio [8] https://web.library.yale.edu/cataloging/editing/035-keep-delete [9] https://web.library.yale.edu/cataloging/variable-field-deletion-policy [10] https://web.library.yale.edu/cataloging/authorities/ctworkflow [11] http://web.library.yale.edu/cataloging/belletristic-shelflisting [12] https://web.library.yale.edu/cataloging/multipartmfhdrev [13] https://web.library.yale.edu/cataloging/workflow/numismatics-090726 [14] http://web.library.yale.edu/cataloging/cms/basic-copycat-checklist/item [15] https://web.library.yale.edu/cataloging/smlbass-policies-processes-media/item-types [16] https://web.library.yale.edu/cataloging/barcode-placement [17] https://web.library.yale.edu/cataloging/Voyager-export [18] https://rbc-cataloging-manual.beinecke.library.yale.edu/ [19] https://web.library.yale.edu/cataloging/belletristic [20] https://web.library.yale.edu/cataloging/call-numbers-and-shelflisting [21] https://web.library.yale.edu/smlbass-policies-processes-media/cataloging-media [22] https://web.library.yale.edu/cataloging/cms/basic-copycat-checklist [23] https://web.library.yale.edu/cataloging/LC-call-numbers-overview [24] https://web.library.yale.edu/cataloging/MFHD-policies-and-procedures [25] https://web.library.yale.edu/cataloging/local-modification-lc-call-numbers-sml