

Cataloging Standards – Complex Copy Cataloging (8/21/2006; Rev 6/13/2008)

Purpose: Complex Copy Cataloging of monographs

Responsibility: Catalog Librarian

Categories: Non-DLC & non-LC cataloging in Connexion

(DLC/LC copy cataloging standards available in Cataloging Assistant Manual.)

National Standards:

OCLC's [Bibliographic Formats and Standards](http://www.oclc.org/bibformats/default.htm)

(<http://www.oclc.org/bibformats/default.htm>)

Library of Congress' [MARC 21 Standards](http://www.loc.gov/marc/bibliographic/ecbdhome.html)

(<http://www.loc.gov/marc/bibliographic/ecbdhome.html>)

Procedures:

Connexion (v. 2.1)

1. Search WorldCat & locate correct record
2. Verify OCLC# in Connexion against order card (Unicorn Title control#)
3. Save to Local Save File (F4)
4. Review Fixed Fields & Description (Variable Fields)
5. Verify OCLC Authorities
 - Name, Subject, Series, Uniform Title
(note which Names/Subjects need a provisional Unicorn authority record)
6. Construct Call# & verify in Unicorn to prevent conflicts
7. Review 049 & construct 949 holdings field with barcode#
8. Save corrections (F4)
9. Set (F8) & Update OCLC holdings
10. Export records to disk

Unicorn GL3 v. 0.2

1. Import record from disk
2. Run appropriate report to add record into OPAC (DateCataloged=Today)
3. If needed: verify overlay of Order record
 - CallNo folder: Call#, ClassScheme,
 - Item folder: Location, Type, ItemStat1, ItemStat2 & barcode#
4. If needed: validate Headings & Create provisional Unicorn authority record

Connexion (v. 2.1)

1. Print spine labels
2. Delete records from Local Save File

Item processing

1. Pencil in Call# & OCLC# on item
2. Make a note about special processing instructions.
3. Route to Processing Truck
4. Students will: Affix Spine Label, Spine Label Protector, Barcode Protector, DateDue sticker. Tag for security

Review cataloging record in Connexion

1) Fixed Field

Note: Both the OCLC and the (Unicorn) labels are given.

Evaluate the Fixed Field for specific codes (if code is different, choose a different record)

Type (Rec_typ) = **a** -- print

Blvl (Bib_Lvl) = **m** -- monograph

Evaluate further (if code is questionable, optionally, choose a different record)

ELvl (Enc_LvL)

prefer: **blank** = full (LC/PCC) / **8** = CIP / **I** = full (OCLC members)

avoid: **j** = junk

Dates (Date1 & Date2)

the date in the 260 field must match the Fixed Field

Desc (Desc)

prefer: **a** = AACR2-ISBD

for non-ISBD records review punctuation in 245 & 300 fields.

DtSt (Dat_Tp)

(**s** = single / **t** = copyright / **r** = reprint / **m** = multiple / **q** = questionable / **n** = unk)

Srce (Source)

prefer: **blank** = Natl Libr / **c** = Coop Programs / **d** = OCLC members

Verify and revise codes (if necessary)

(any field not specifically mentioned, accept)

Audn (Audience)

for Juvenile Collection, use: **j** = juvenile (otherwise accept)

Biog (Biog)

Conf (ConfPub)

Cont (Cont)

if 504 \$b is present, use: **b** = bibliographical references

Fest (Festschr)

Form (Repr)

GPub (GovtPub)

for Depository Program documents, use: **f** = federal / **s** = state

Ills (Illus)

if 300 \$b is present, use: **a** = ill.

if specific types of illustrations are present, always include the a = ill. code

use: **b** = maps

Indx (Indx)

Lang (Lang)

the Catalog Librarian will catalog all foreign-language titles

LitF (Fiction)

Review cataloging record in Connexion

2) Variable fields (Coded fields)

(any field not specifically mentioned, accept)

001 (OCLC number)

Local practice: The OCLC number appears in Unicorn in both the Control and the Bibliographic records tabs. The OCLC# is used to overlay. The 001 of the Connexion bibl record to be imported must match Unicorn's Title Control# in the Control folder.

[010](#) (Library of Congress Control Number)

Input number if not present on bibliographic record but available from book (on the verso). Connexion does not recognize dashes in the LCCN, replace with appropriate number of leading zeros.

Use the input-mask: <one blank space>YYYYNNNNNN

Older records use: <three blank spaces>YYNNNNNN

[020](#) (International Standard Book Number)

Input number if not present but available from book, with no spaces or hyphens.

If book is paperback, add after the ISBN: (pbk.)

If book is made of acid-free paper, add after ISBN: (alk. paper) or (acid-free)

If book is acid-free and paperback, add after ISBN: (pbk. : alk. paper)

Ex.: 020 __ 0915824633 (pbk. : alk. paper)

10 vs 13 digit ISBN & EAN

[040](#) (Cataloging source) / [042](#) (Authentication code)

used to determine cataloging difficulty

*040 (Cataloging source)

Leave as is

DLC \$c DLC – indicates DLC copy. Give to Cataloging Assistant.

XXX \$c DLC – indicates DLC copy. Give to Cataloging Assistant.

XXX \$c XXX – indicates OCLC copy (without appropriate 042 codes). Give to Cataloging Assistant to search for other-edition-DLC copy. If not found, Catalog Librarian will perform complex copy cataloging

GPO \$c GPO – indicates Government Printing Office copy. Catalog Librarian will perform complex copy cataloging

UKM \$c UKM – indicates British Library copy. Catalog Librarian will perform complex copy cataloging

*042 (Authentication code)

pcc (Program for Cooperative Cataloging) = DLC
lcd (CONSER) = DLC (for serials)

041 (Languages)

1st indicator: translation (0 = not a translation / 1 = translations)
use \$a for language of item; use \$h for original language
Refer to Library of Congress' MARC Code List for Languages
(<http://www.loc.gov/marc/languages/langhome.html>)

Use for multi-language items:

The item contains more than one language (one of which may be a sign language)
The item is or includes a translation. Add translation note.
The language of the summaries, abstracts or accompanying material differs from the language of the main item
The language of the table of contents differs from the language of the main item.
Example: The item is in English but is a translation from the Chinese language.
041 1_ \$a eng \$h chi & 546 __ Translated from Chinese.

043 (Geographic area code)

Local practice: Add, if local material cataloged for Archives (\$a is repeatable)
\$a n-usa-- (Appalachian Mountains)
\$a n-us-va (Virginia)

049 (Local holdings – for spine label locations)

see Copy Holdings Processing list for other codes
VCVV = Stacks
VCVA = Audiovisual (AUDIOVIS)
VCVB = Archives (ARCHIVES)
VCVO = Oversize (OVERSIZE)
VCVR = Reference (REF)
VCVJ = Juvenile (JUV)

[MAPCASE ? MICROFORM AREA ?]

074 (GPO Item number) / 086 (SuDocs call number)

Local practice: Add, if received through Depository Program
(verify FF:GPub = f)

050 (Library of Congress call number) / 090 (member assigned or local LC type call#)

The call number “closest” to the 049 will be used by Unicorn)
Class numbers are verified in the Library of Congress Classification schedules.
Library of Congress' [Classification Web](http://classificationweb.net/) (<http://classificationweb.net/>)

Verify class# & cuttering in Unicorn, evaluate for conflicts and slide the cuttering

to maintain an alphabetical arrangement of the Main Entries.

Note: the Cataloging Assistant does not edit the class#/cutting, except to:

Slide cutters to co-locate different editions

Re-work cutters for Juvenile books

Use class#/cutting from other-edition-DLC titles.

*050 (Library of Congress call number)

For DLC copy cataloging – Accept Classification & Cutting numbers.

If an alternate class# (a second \$a) is present, determine the Class/Call# to be assigned locally. If the primary call# is to be used, delete the alternate class#. If the alternate class# is to be used, copy/paste into an 090 field & construct the \$b cutter.

For juvenile records: do not use LC's alpha-cutters. Create an 090 with the same class# and construct proper cutting.

*050 14 (member assigned Library of Congress type call number)

Accept for DLC/PCC records.

Otherwise, verify class#. If the number is acceptable, then edit the tag number into an 090 field (no indicators)

090 (member assigned or local Library of Congress type call#)

Verify class number, if present. Otherwise, construct a call# with a cutter.

Review cataloging record in Connexion

3) Variable fields (Description)

[100](#) / [110](#) / [111](#) (Name Main Entry)

Examine indicator values

1st indicator: type of name entry

1 = Surname (used for 100 field)

2 = Direct order (used for 110 field)

2nd indicator: obsolete (change to blank)

Check that appropriate access points are 1XX or 7XX fields. Verify and correct if necessary, the choice of main entry.

Search the OCLC Authority file and perform Authority control (see: [Authority Work](#) section)

If an Authority Record is present, accept the name entry

If there is no Authority Record and there are not conflicts with existing headings in OCLC/Unicorn, accept the name entry.

Otherwise, see: Authority Appendix. (esp. for subfields: \$e & \$4)

[130](#) / [240](#) (Uniform Titles)

Use for religious and legal works. (*& for Serials and Music*)

If the work is entered under a title main entry, tag the uniform title as 130. For Bible entries always use the \$f date; otherwise, do not add \$f date for other types of Uniform Titles.

If the work is entered under a personal author (100) or corporate body or meeting (110 / 111), tag the Uniform title as 240 and set the 1st indicator to 1 (display in OPAC)

*130 (Uniform Title Main Entry)

Examine indicator values

1st indicator: filing indicator.

2nd indicator: obsolete (change to blank)

Search the OCLC Authority file and perform Authority control (see: [Authority Work](#) section)

If an Authority Record is present, accept the title entry

If there is no Authority Record and there are not conflicts with existing headings in OCLC/Unicorn, accept the title entry.

*240 (Uniform Title)

Examine indicator values

1st indicator: .1 = display in OPAC

2nd indicator: filing indicator

Accept a uniform title that appears on Library of Congress (DLC/LC) or, after evaluation, a member contributed (OCLC) bibliographic record.

Optionally, for copy cataloging, add appropriate uniform title to any Connexion record when the original title (translation or earlier title in the same language) is readily available either in a note in the record or in the book being cataloged, or when the correct collective uniform title is readily apparent.

Search the OCLC Authority file to perform Authority control (see: Authority Work section)

245 (Title Statement)

Examine indicator values

1st indicator: filing indicator

0 = used for Title Main Entry

1 = used for Title Added Entry (has a 100 / 110 / 111 field)

2nd indicator: filing indicator

The number of non-filing characters is 0 (zero) unless the title begins with a definite or indefinite (initial) article (i.e., a, an, the – and their equivalents in other languages). To determine the second indicator number: count the letters in the word (article) + 1 space

Examine and correct errors.

Use judgment as to what constitutes title and subtitle information.

When appropriate, make title added entries.

Add the statement of responsibility from the title-page, if one is not present

Example: 245 __ \$a Title : \$b subtitle / \$c statement of responsibility.

246 (Varying form of title)

Applies to titles which cover the entire item.

(Use: 740 / 730 for related works & analytics.)

Do not use ending punctuation.

Examine indicator values

1st indicator: entry control

1 = note, added entry

3 = no note, added entry (does not display in OPAC)

2nd indicator: type of title

0 = portion of title

3 = other title

4 = title on cover
8 = spine title

Subfield \$i (Display note for type of title)

2nd indicator is **blank**

Example: 246 3_ \$i Commonly known as: \$a Yellow book

250 (Edition Statement)

Both indicators are blank. Examine for accuracy based on piece in hand.

Verify that AACR2 abbreviations are used properly, especially in foreign languages.

The book is assumed to be the [1st ed.] if there is no edition statement in the book.

If the book clearly states it is the “first edition”, then transcribe. Otherwise, do not supply the bracketed edition statement.

260 (Imprint)

Both indicators are blank

Examine all subfields for accuracy. Use brackets when prescribed by AACR2; make sure the presence of brackets is accurate

Example: 260 _ _ \$a Place : \$b publisher, \$c date.

Chief source? When t.p. is less complete than t.p. verso

*260 \$a (Place)

Place should match piece in hand. Accept the Zip Code abbreviation if present, otherwise use the AACR2 abbreviations for states, provinces, etc.

*260 \$b (Publisher)

Make sure publisher on bibliographic record is same as the one on the piece-in-hand, otherwise choose another record.

Use the shortest recognizable form of the publisher’s name.

Wiley is acceptable for Wiley and Sons.

Use proper AACR2 abbreviations.

The abbreviation “publ.” is used only for “publishing”.

For government agencies, state and federal, current practice transcribes the full name of the agency even if it repeats information in the statement of responsibility. Accept the older practice of using a shortened form of the agency name if there is a corporate name in the statement of responsibility.

Example of obsolete practice: “The Dept.” for the “Department of Education”

For Depository Documents, accept the additional publication statement:

\$b For sale by the Superintendent of Documents, U.S. G.P.O.

*260 \$c (Dates)

Examine and verify. Code used in the Fixed Field: DtSt & Dates should match.

Single dates: Publication or copyright date only. Treat FF:DtSt = s.

Make sure that there is a "c" in front of date if it is a copyright date

Example: \$c 2002. OR: \$c c2005.

Multiple dates: Publication date and different copyright date. Treat DtSt = t

FF:Date1 = publication date; FF:Date2 = copyright date.

Use both publication and copyright date.

Example: \$c 2006, c2005

Multiple dates: Multi-volume item. Treat DtSt = m

FF:Date1 = beginning date; FF:Date2 = terminal date

Use both beginning (earliest) & terminal (latest) dates if the set is complete

If the set is incomplete, use the date of the volume published first (or earliest known date), followed by a hyphen.

Example: \$c 2001-2005. OR: \$c 2004-

Multiple dates: Publication/Copyright date with printing date (See Supervisor)

If the date is a printing date, use brackets. This will frequently occur with state and federal documents.

300 (Physical description)

Both indicators are blank

Examples: 300 __ \$a vi, 23 p. : \$b col. ill. ; \$c 27 cm.

300 __ \$a iii, 313 p., [12] leaves : \$b ill., port. ; \$c 32 cm.

*300 \$a (Extent of item)

Always verify/correct pagination. Include preliminary pagination numbering.

Include number of leaves/pages of plates (often missing from member cataloging.)

Include pagination counts of folded items, such as maps.

For items without pagination or with more than one pagination sequence, use: 1 v.

Juvenile collection: For unpagged juvenile "easy" books (under 40 p.) always provide bracketed pagination. For other juvenile books, accept either the "1 v." statement or the bracketed page-count.

Multi-volume items: For complete sets, show the total number of volumes

For incomplete sets show the volumes as a "blank space".

Generally, the vol. count from DLC cataloging is correct, otherwise, verify only if questionable.

Example: \$a 7 v. or: \$a v.

*300 \$b (Illustrations)

Use "ill." if illustrated; if not leave out this subfield. Be sure to include other types of illustrations (alphabetically), such as: genealogical tables (geneal. tables), maps, portraits (ports.), etc.

Juvenile collection: Use as needed: "chiefly col. ill."; "col. ill.", "ill. (some col.)"

Local practice: Always add portrait information to historical, biographical or local material. Often these types of illustrations are missing from member (OCLC) cataloging records.

Examine and correct data in Fixed Field: Illus

*300 \$c (Size)

Examine and correct

When measuring, round up to the next whole centimeter.

Local practice: For the general STACKS, any item more than 30 cm. (height or width) is considered oversized and will be placed in the OVERSIZE collection.

Items measuring between 28.5 and 30 cm. will need to be shelved sideways, spine down, in the Stacks.

[4XX](#) (Series)

Perform series authority work. If there is an authority record for the series title(s), then transcribe the series statement(s) according to the authority record.

If there is no authority record for the series title, then transcribe the series statement(s) from the chief source of information with prioritizing in the following order: series t.p., analytic t.p., cover, colophon, etc.

If there is a series like phrase, be sure to search OCLC's authority file to verify its treatment as a series or a quoted note.

See Appendix for Series Authority Control (policy in progress) for LC changes

[500](#) (General note)

Both indicators should be blank.

Examine and correct any errors. Add other notes if appropriate. Remember to check the MARC tag for the type of note.

For indexes use the formal note: Includes index. The index note should be combined with the 504 bibliography note.

For GPO cataloging accept the US Depository Documents "shipping list" note.

Examples:

500 __ \$a "Includes discussion questions."—Cover.

500 __ \$a "July 2003"—T.p. verso.

500 __ \$a Includes index.

[502](#) (Thesis note)

Examine and correct content is necessary

Examples:

502 __ Thesis (Ph. D.)—Virginia State University, 1995

502 __ Thesis (M.A.)—Radford University, 2001.

504 (Bibliography note)

Always include as a formal note.

Examples:

504 __ Includes bibliographical references.

504 __ Includes bibliographical references (p. 100-156).

504 __ Includes bibliographical references and index.

504 __ Includes bibliographical references (p. [36]-37) and index.

Edit note in older cataloging to correct form.

Bibliography: p. 48-50. is edited to: 504 __ Includes bibliographical references (p. 48-50).

505 (Contents note)

Verify/accept if present on bibl. record.

Do not include contents notes to bibl. record for single volumes.

Exception: Use to bring out topics of local / regional interest.

For multi-volume works with distinctive titles, add contents notes. Transcribe from chapter headings or table of contents.

If present, examine transcription for errors and correct punctuation/spacing. Do not use abbreviations (except for vol. designators).

Enhanced contents (includes \$t, \$r, \$g: accept if present. See also AACR2 rules (1.7B18 & 2.7B18) for examples.

Examples:

505 0_ \$a Scott County – Lee County – Wise County.

505 0_ \$a v. 1. Tundra – v. 2. Temperate rainforests – v.3. Tropical rainforests.

505 00 \$t OPEC / \$r William Price -- \$t The oil producers / \$r Ed Raus.

520 (Summary note)

Correct typographical errors.

All juvenile works must have a summary note. If the juvenile work is lacking a summary note, the cataloger must create one. The CIP summary note (if not present in the bibl. record) may be transcribed.

For summary notes in other bibl. records, examine and accept.

533 (Photo-reproduction)

Used for microfilm/microfiche (LC practice, not AACR2).

Examine and correct, if necessary. If not appropriate to the work in hand, it may be a different edition.

Code used in FF:Form should agree.

530 / 538 – Electronic Resources notes

See : Electronic Monographs – copy cataloging

[546](#) (Language note)

Make note if item is in a foreign language

Example: 546 __ Text in French.

Make note if item is a translation, if easily ascertainable

Examples: 546 __ Translation from the French, of: <original title>.

546 __ Translated from Spanish.

For serials?

Verify/accept notes of summaries or abstracts, if present on bibl. record.

Example: 546 __ Summaries in French or Spanish.

590 (Local note)

Local practice: Do not use this field for local notes, use 500.

Older local cataloging has accession information in this field.

[6XX](#) (Subject added entries)

There must be at least one valid Library of Congress Subject Heading present.

Exception: Bibliographic records of works of literature (fiction).

Treatment of second indicators (subject thesaurus):

Accept & perform Authority control

_0 Library of Congress subject heading (LCSH)

Accept

_1 Library of Congress subject heading for children's literature
(or Annotated Card Program)

_2 National Library of Medicine subject

Delete

If there is not a 6XX _0 field present in the bibl. record, use these headings as suggestions to create a valid LCSH

_3 National Agricultural Library subject heading

_4 Source not specified

_5 National Library of Canada subject heading, English

_6 National Library of Canada subject heading, French

_7 Source specified in subfield \$2

_8 Sears subject heading
_[blank] (make sure that this is not an input typo for a valid LCSH)

*[600](#) / [610](#) / [611](#) (Name Subject Entry)

1st indicator: type of name entry

1 = Surname (used for 600 field)

2 = Direct order (used for 610 field)

2nd indicator: examine to make sure it is coded for LCSH)

Form of entry: Use established authority guidelines. In general, check OCLC authority file for proper transcription.

*[630](#) (Uniform Title Subject Heading)

1st indicator is a filing indicator. Examine and correct.

*[650](#)_0 (LCSH Topical Subject Heading)

For obsolete or outmoded headings, correct and use current heading. Examine for transcription errors. Examine subfield codes for \$x / \$v usage.

*[650](#)_1 (Juvenile Topical Subject Heading)

Juvenile fiction does not require additional LCSH subjects

Juvenile non-fiction requires additional LCSHs (650_0 field) with subdivision:

\$v Juvenile literature. , \$v Juvenile drama. , \$v Juvenile poetry.

*[651](#) (Geographic subject heading)

Use direct form. Verify form in Authority file.

690 (Local Subject Heading)

Do not use. Delete. Replace with LCSH if not other subjects are present.

[655](#) (Genre/Form heading)

In general, accept. If questionable, see supervisor

See: Guidelines on subject access to individual works of fiction / American Library Association (gsafd)

[700](#) / [710](#) / [711](#) (Name Added Entry)

Must be justified in the Statement of responsibility or notes fields.

Follow guidelines for 1XX fields. Perform Authority Control

Delete leading articles in subfield \$t.

730 (Uniform Title Added Entry)

1st indicator is filing indicator. 2nd indicator must be “0”.
Examine and correct. Perform Authority Control

740 (Title Added Entry)

(This is an uncontrolled heading & does not need Authority Control)

Must be justified in the notes fields.

1st indicator is filing indicator. 2nd indicator is either “blank” or “2” for analytics.

Examine and correct any errors. Add or delete 740 fields as needed.

See: UVA Cataloging Procedures Manual: Appendix 8.

8XX (Series Added Entry)

Must be justified in the notes fields.

856 41 (URL)

Delete URLs to sites with give only the TOC (table of contents) or
summary/annotation.

For books that are also available as e-books (in HTML or PDF),

see: Electronic Monographs – Copy Cataloging

949 (Copy holdings information)

Examples—single vols.:

949 __ \$c 1 \$h VCVV \$i <barcode#> \$z LC

Examples—Multi vols.

949 __ \$v 1 \$c 1 \$h VCVR \$i <barcode#> \$z OCLC

949 __ \$v 2 \$c 1 \$h VCVR \$i <barcode#> \$z ADDED-VOL