## Bibliographic Standards for Shared Print Monographs (2-2-2011)

Rev. February 2, 2011

Monographs acquired on an approved, formal shared monograph program are designated and disclosed as Shared Print monographs. The Shared Print monographs are disclosed as such and are subject to specific descriptive standards, retention commitments and access policies.

The following standards are used to

* disclose shared print monographs in catalogs
* establish cataloging service requirements when working with vendors and
* prioritize cataloging efforts for shared print monographs in relation to other copies.

Additional standards are outlined for the acquisition of Shared Print monographs.

A managing campus or campuses are designated to handle Shared Print monographs. A managing campus catalogs the Shared Print materials according to these standards.

A lead cataloger is identified at a managing campus and is responsible for working with the Resource Liaison for the program to respond to day-to-day questions from campuses, storage facilities and vendors.

Changes to these standards are made by CDL Shared Print in consultation with HOTS.

**I. Disclosure in Union Catalogs**

Shared Print monographs are disclosed in union catalogs (e.g. NextGenMelvyl, OCLC). The managing campus is responsible for ensuring disclosure in the union catalog.

Shared Print monographs are disclosed as such to support discovery and collection management functions (functions in the user interface and the “back end”) including:

* End-user discovery
* Identification of shared print resources in the context of other copies
* Network-level (regional, national, international) collection management decisions
* Preparation of lists of shared print monographs from the union catalog
* Assessment of shared print monographs in the context of other copies and formats

Shared Print monographs are disclosed in union catalogs by using:

* **bibliographic data elements**
* **local data elements**
* **OCLC holdings symbols**

**a. Bibliographic Elements**

Special bibliographic elements are used to identify specific items as shared print copies. Each element captures basic information about the collection, governing policies, retention commitments and preservation actions that pertain to the specific book. These bibliographic elements are populated:

**Table 1: Shared Print Bibliographic Elements**

|  |  |  |
| --- | --- | --- |
| **BIBLIOGRAPHIC**  | **TERM/DESCRIPTION** | **EXAMPLES** |
| **793 Added Entry-Uniform Title(R)****$a Uniform title****$p Name of collection****$5 Institution to which field applies** | Uniform title used as added entry to identify an item as shared print and identify the collection to which it belongs. Used to run local/union reports. | $a UCL Shared Print$p Anglophone Literature$5 CU |
| **Local Location Code** | Use this information to designate an item as shared print in place. This field is used to gather local information/statistics (e.g. circulation history, titles, reports) This information does not remain in the master record, nor institution records | spsExample:For UC Merced, the vendor puts the Shared Print location code for Springer titles (“sps”) in a 949\_1 field as part of their normal bibliographic record processing. Merced interfiles these items within its collections, so this is a “virtual” location. The data in the 949\_1 field is used to create an item record upon bibliographic record import. |

**b. OCLC Institution Symbols and Holdings Location Codes**

OCLC Institution symbols and holdings location codes are used to identify shared print material at the institution and collection level.

The application of holdings symbols and location codes depends upon where the monograph is received and ultimately shelved. Shared Print monographs may be received and held in place (at a campus/university). Shared Print in Place may be interfiled among the libraries’ general collections. A shared print monograph may also be moved from a campus/university to an off-site facility after some time. And finally, shared monographs may also be acquired by a campus/university and shipped directly from a provider to an off-site facility.

In each case, OCLC Institution Symbols and location codes are applied as follows. See Appendix A for a list of OCLC Holdings Symbols for Shared Print.

**Table 2: Shared Print Scenarios, Institution Symbols and Holdings Location Codes**

|  |  |  |  |
| --- | --- | --- | --- |
| **SCENARIO** | **OCLC SYMBOL** | **HOLDINGS LOCATION CODE** | **EXAMPLES** |
| **Shared Print in place** | Campus symbol | Each campus will define code(s) and fields based on local ILS. | 949\_1 sps (Shared Print Springer at UC Merced identified in local ILS) + MERUC |
| **Shared Print copies are moved from a library to an off-site shelving facility** | RLF Shared Print symbol + campus symbol  | For the campus, not relevantFor the RLF, RLF holdings location code for shared print | CUY + ZAP-SP(Shared Print in Place moves from UCB to NRLF) |
| **Shared Print copies are acquired by a library and shipped directly from the vendor to an off-site shelving facility.** | RLF Shared Print symbol + campus symbol  | For the campus, not relevantFor the RLF, RLF holdings location code for shared print | CLU + HH0(Shared Print managed at UCLA housed at SRLF) |

**II. Disclosure in Local Catalogs**

The managing library may elect to include Shared Print bibliographic records in the local OPAC and ILS. However, records are not distributed to other local OPACs or ILSs.

**III. Services from Third Parties/Vendors**

The Libraries value and prefer vendor supplied records and shelf ready services. This section describes the requirements for third-party supplied records and the process for supplying records.

**a. Bibliographic Elements**

Third parties/vendors will supply the best available OCLC MARC21 monographic record at time of shipment. The record must include a Library of Congress Classification call number as well as the special bibliographic elements for Shared Print outlined in Section 1. Subject analysis is preferred. Each record must include an OCLC number as a match point to overlay acquisitions/cataloging data. In the case where no OCLC record exists or the record does not meet the above outlined standards, the managing campus may create original catalog records or arrange for a third party/vendor to supply them according to the standards. Bibliographic record maintenance is the responsibility of the managing campus.

Though authority work is not required for shared print monographs, the managing campus will need to publicly disclose whether they are (or are not) handling authority work. Name and subject authority records are encouraged. It is assumed the managing campus staff will manage the process of sending and/or receiving records with a vendor, if outsourced (e.g. Backstage Library Works)

**b. Process for supplying records and including records in catalogs**

Bibliographic records are supplied to either the library that receives the physical items or to an RLF (shelf ready). The method of getting records into union catalogs may vary based on each book vendor’s capabilities. UC Libraries prefer vendors that have the capacity to supply records directly to OCLC. The library that acquires the shared print monographs is responsible for making arrangements with the vendor.

The following scenarios are possible:

**i. The vendor ships the items *and* supplies catalog records to the managing libraries. Some are kept on site as Shared Print in Place and some are sent to an RLF. The Libraries load the records into the union catalog**.

* The vendor ships items including physical processing (i.e. spine label, property stamps, barcode, security tape, shared print markings) to the library(ies).
* Library staff check in the items.
* The campus(es) that is responsible for the acquisitions control is responsible for the catalog records (i.e., ensuring quality, completeness of cataloging, shared print disclosure), getting the records into the union catalog, setting holdings and loading records into local campus ILS.

**ii. The vendor ships items but does not supply catalog records to the managing libraries. Some are kept on site as Shared Print in Place and some are sent to an RLF. The libraries supply catalog records to the union catalog.**

* The vendor ships items including physical processing (i.e. spine label, property stamps, barcode, security tape, shared print markings) to the library(ies).
* Library staff check in the items.
* Library staff catalog the items for Shared Print in Place or for storage in RLF, as appropriate.

**IV. Enhanced Services**

The Libraries value the efforts of researchers and others to enhance descriptive records with additional metadata. Records supplied by vendors and third parties must be supplied free of restrictions on future use and enhancement.

**V. Prioritization and Timing of Records**

Because other libraries depend upon the shared print collections when making purchasing decisions, cataloging effort for Shared Print monographs takes priority over cataloging efforts for all other standard monograph cataloging.

Shared Print monographs in Area Studies must be cataloged and disclosed in union catalogs within 3 months of receipt.

Shared Print monographs supplied by a primary monograph vendor must be cataloged and disclosed in union catalogs within one month of receipt.

**Appendix A: OCLC Institution symbols, including Shared Print**

| Search:

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| --- |
| **Institution Symbol** |

 | **Institution name** | **Campus** |  | **ILL Supplier/Non-Supplier** | **SP Distinct Campus Location Code** |
| CUY | University of California, Berkeley (includes RQE and RQK)  | Berkeley |   | Supplier |   |
| BOL | UCB Law School | Berkeley |   |   |   |
| CBG | UCB Institute of Govt Studies | Berkeley |   |   |   |
| CBT | UCB Institute of Transportation | Berkeley |   |   |   |
| WCA | UCB Water Resources Center Archives | Berkeley |   |   |   |
| CUYER | SCP records at UCB | Berkeley |   |   |   |
| CUV | University of California, Davis General Library | Davis |   | Supplier |   |
| CUVER | SCP records at UCD | Davis |   |   |   |
| UCDLL | UCD Mabie Law Library | Davis |   |   |   |
| CUX | UCD Health Sciences Library | Davis |   |   |   |
| CUI | University of California, Irvine (includes CIM and WB1 materials?) | Irvine |   | Supplier |   |
| CUIER | SCP records at UCI | Irvine |   |   |   |
| CLU | University of California, Los Angeles | Los Angeles |   | Supplier |   |
| UCFTA | UCLA Film and Television Archive | Los Angeles |   |   |   |
| CLETH | UCLA Ethnomusiology Archive | Los Angeles |   |   |   |
| CLUER | SCP records at UCLA | Los Angeles |   |   |   |
| MERUC | University of California, Merced | Merced |   | Supplier | sps |
| MERER | SCP records at UCM | Merced |   |   |   |
| CRU | University of California, Riverside | Riverside |   | Supplier |   |
| CRUER | SCP records at UCR | Riverside |   |   |   |
| CUS | University of California, San Diego | San Diego |   | Supplier |   |
| CUSER | SCP records at UCSD | San Diego |   |   |   |
| CUN | University of California, San Francisco | San Francisco |   | Supplier |   |
| SFGHM | San Francisco General Hospital Medical Center | San Francisco |   |   |   |
| CUNER | SCP records at UCSF | San Francisco |   |   |   |
| CUT | University of California, Santa Barbara | Santa Barbara |   | Supplier |   |
| CUTER | SCP records at UCSB | Santa Barbara |   |   |   |
| CUZ | University of California, Santa Cruz | Santa Cruz |   | Supplier |   |
| CUZER | SCP records at UCSC | Santa Cruz |   |   |   |
| ZAP | NRLF  | RLF |   | Supplier |   |
| ZAPSP\* | NRLF Shared Print | RLF |   | Supplier |   |
| ZAS | SRLF | RLF |   | Supplier |   |
| HH0 | SRLF Shared Print | RLF |   | Supplier |   |
| CDLER | Mass digitization records for all UC | CDL |   |   |   |
|  |  |  |  |  |  |
| \*Symbol needed but not yet established |  |  |  |  |