Bibliographic Control

Note: For an overview of this module, as well as a list of FDLP and library resources to review, consult the overview section of this module on the FDLP Desktop Tutorials section.

For more information about working with these self study modules and for more information on working with PDFs, please consult the detailed information in our Introduction module.

PROCESSING TANGIBLE RESOURCES

When depository boxes are opened up, are the contents of the box checked against the corresponding shipping lists?
   Yes   No

Are the shipping lists compared to your library's item selection profile to ensure that you have received everything that you should have and nothing that you should not have?
   Yes   No

Are claims for missing, damaged, or misprinted publications made within the 60 day claim limit?
   Yes   No

   If no, why not?

Note that claims for most publications must be made within 60 days of receipt through the Web Claim Form. Claims for microfiche and maps must be made within 60 days of the date of the shipping list and are sent directly to the contractor address or fax number listed on the shipping lists. For more information, consult the FDLP Desktop article "Claims."

How does the library keep track of claims made? Describe.

What steps does the library take to acquire a missing or damaged publication when a claim cannot be filled by GPO? Describe.

How does the library monitor shipping lists to ensure that all shipments have been received? Check all that apply. The library:

   Keeps shipping lists in shipping list order
   Keeps a shipping list log
   Keeps shipping lists for _____ (length of time)
   Library has a report generated from shipping list loaders (for libraries using commercial vendors for catalog records)

How are missing shipping lists usually obtained?

> Nearby depository library
> Regional depository library
> Shipping Lists (.xls)
> GOVDOC-L
> DOCTECH-L
> Shipping Lister (.pdf)
> Documents Data Miner 2 (DDM2)
> Other. Describe _____

If you happen to receive a duplicate copy of a publication in one of your shipments, what do you do with the extra publication? Check all that apply.

> When it is a substantial or popular publication, notify GPO through askGPO to obtain a prepaid mailing label in order to return the publication to GPO.
> Offer it on a discard list to the region's depository libraries.
> Offer it to other depository libraries, for example, through an electronic discussion list.
> Other. Describe: _____

If you happen to receive another library's shipment or a duplicate shipment that does not belong to your library (i.e., the depository number on the inside flap of the shipment box sent from GPO has another depository library's number), what do you do with the misrouted shipment?

> Notify GPO through askGPO to obtain a prepaid mailing label in order to return the shipment to GPO for rerouting.
> Contact the other depository library and arrange for shipment rerouting to that library.

Note: Please consult the FDLP Desktop article "Forwarding or Returning Misdirected Shipment Boxes" for more information.

Are materials processed in the same library unit where the depository coordinator works?
   Yes   No

> **If no, how is information about depository technical services shared with the processing personnel? Describe.**

Is at least one person in the library subscribed to DOCTECH-L?
   Yes   No

Note: This is not required, but can be helpful for processing staff.

In order to ensure timely access, are other library personnel cross-trained to fill in for the library staff who normally manage the processing of depository receipts?
   Yes   No

If yes, how is the processing by other personnel accomplished? For example, are documents sent to another area or branch for processing, or do staff temporarily process the materials in the normal documents processing area? Describe.

Is there a written procedures manual or other appropriate documentation explaining how to process depository publications?
   Yes   No

   If yes, when was it last reviewed or revised? _____

Note that procedures manuals and other documentation are encouraged for effective management of depository materials. Having them helps facilitate continuity of materials processing should normal staff be absent, for the training of new staff, and to ensure consistency in the cataloging of publications.

If applicable, how are publications housed in another location processed? For example, publications housed in another branch library or a selective housing site. How are they transported to that alternate location in a timely manner?

Describe the techniques used to properly date and uniformly identify materials (i.e., stamp or write on the publications, etc.) as depository property:

- Microfiche envelopes: _____
- Maps: _____
- CD ROM/DVD jewel cases: _____
- Paper monographs and serials: _____
- Resources serving as official substitutes for depository materials: _____

If applicable, what does the date on the depository stamp or publication signify?

   Date of shipping list
   Date of receipt of shipment
   Date of processing of publication

List any publication titles or media that are not physically marked or stamped as depository material and describe why they are not.

Note that libraries should stamp or otherwise mark depository publications with information to indicate that the material is FDLP material and, as such, is Federal property. Your library may choose to record this information in another way, e.g., record it on the shelflist record; however, almost all depository libraries mark each depository publication to facilitate publication review. The information should include a date, important information for future weeding projects. If your library does not classify using the SuDocs system, adding this to the property information will also facilitate future collection review.

Are there any processing backlogs (i.e., a backlog of more than 10 days since receipt) for tangible materials?
   Yes   **No**

     If yes, describe the work to be done to minimize or eliminate the backlog.

How long does it typically take to fully process and shelve new depository materials?

Do some materials take longer than others to process and catalog?
   Yes   **No**

     If yes, describe why.

Describe any procedure in place to organize materials waiting processing or cataloging in order to make them available to library users, if requested.

If your library takes longer than 10 business days to process materials, organizing materials for ready access in a staff area is an interim step that your library should implement to assist in providing access to materials not fully processed.

Are all SuDocs classification number corrections made routinely and expeditiously?
   Yes   **No**

     If yes, how is this done?
           Regular review of Administrative Notes Technical Supplement
           Regular review of WEBTech Notes
           Vendor records acquired that provide the corrections

If no, why not? Describe.

CATALOGING OVERVIEW

Note: libraries are encouraged to catalog FDLP materials.

Publications have been cataloged in the OPAC since: _____

Publications have been retrospectively cataloged?
   Yes   No

> **If yes, have all been retrospectively cataloged?**
>   Yes   No
>
> **If no, describe the publications (i.e., years, agencies, call number ranges, etc.) that remain to be retrospectively cataloged.**

The library has a plan to catalog retrospective holdings.
   Yes   No   N/A

Are all new depository receipts in all tangible and electronic formats currently cataloged?
   Yes   No

> **If no, what is not cataloged? Describe.**

> **What bibliographic access points are provided for the uncataloged resources?**

If the library has any selective housing sites, are the publications housed there cataloged?
   Yes   No

> **If no, what is not yet cataloged? Describe.**

> **If yes, who performs the cataloging and catalog maintenance involving the records? Describe.**

THE CATALOG AND RELATED POLICIES

For libraries that catalog their depository materials:

Does the library have a cataloging policy or written cataloging procedures for depository publications?
    Yes   **No**

If yes, does the cataloging policy or procedures cover:

	Yes	No
How to handle various formats in the shelflist or catalog records		
Access points to electronic resources in the catalog		
Maintaining a holding record to the piece level (shelflist or catalog)		
Procedures for updating catalog records		
Statistics (i.e., usage tracking, number of records added, etc.)		
Information sharing mechanisms about depository bibliographic control with all library personnel		
Other. Describe.		

Note that libraries are encouraged to have policies and procedures in place to facilitate the cataloging of depository materials should normal staff be absent, for the training of new staff, and to ensure consistency in the cataloging of publications.

What information should be added or updated to make the policy reflect current practice? Describe.

Are depository materials cataloged in a similar fashion as other library receipts?
    Yes   **No**

If not, describe.

Are your library's depository holdings added to OCLC to enhance access and facilitate resource sharing?   **Yes**   **No**

If no, do the other libraries in your state or region know this so they may contact you directly for proper referrals and resource sharing opportunities?
    Yes   **No**

What brand of online catalog does your library use, if applicable? _____

Has your library ever migrated to a new catalog system?
    Yes   No

        If yes, was catalog record content modified in any way during the migration? For example, did item level information not transition well in the record display?
            Yes   No

Describe how online information is recorded in the library's catalog when more than one format is available for a publication. For example, does your library use multiple format records (i.e., bibliographic records with more than one format of a publication described in one record, aka single record approach), single format records (aka separate record approach), or both for the library's catalog?

Does your library participate in the Z39.50 cataloging protocol?
    Yes   No

Does the library subscribe to commercial vendor catalog record services?
    Yes   No

        If yes, what services are received from the vendor?

                Records for monographs
                Records for serials
                Brief records
                Full records
                Retrospective records
                Corrected records
                Call number labels

        When were they started? Describe. _____

        Who is the vendor? _____

        What is their frequency (i.e. what is the schedule of record loads)? Describe.

        Are the records checked against depository receipts to ensure that only catalog records for publications received are added to the catalog?
            Yes   No

Is the vendor load tailored to the library's item selection profile?
　　Yes　　　　　No

　　　If no, please describe.

　　　Are there any records for publications loaded into your library catalog that are not in your item selection profile?
　　Yes　　　　　No

　　　If yes, explain:

　　Have you identified any fugitive publications, which are publications within scope of the FDLP but are absent?
　　Yes　　　　　No

　　　If yes, have you notified GPO through the LostDocs Reporting Form or askGPO?
　　　Yes　　　　　No

Please note that reporting fugitive documents helps GPO build a more comprehensive national bibliography of U.S. Government publications. It is considered to be a cooperative effort between libraries and GPO.

BIBLIOGRAPHIC CONTROL OF TANGIBLE RESOURCES

Does your library maintain a shelflist to meet the requirement for piece level accounting of depository materials?
　　Yes　　　　　No

　　If yes, how is it done?

　　　　　Card-based
　　　　　Part of an Integrated Library System (ILS)
　　　　　PC-based (e.g. MS Access)
　　　　　Other. Describe. _____

Indicate if your library complies with depository requirements to provide a holdings or shelflist record to the piece level for the following types of tangible depository materials.

Note that an ILS may serve as a shelflist. Also note that a holdings statement for serials in lieu of piece level accounting is permitted, provided that any missing issues are noted.

	All	Some	None	Don't typically collect
Pamphlets				
Maps:				
Monograph				
Serial				
CIA				
USGS				
Other maps (e.g. folded series)				
Microfiche				
CD-ROMs				
DVDs				
Floppy Disks				
Books				
Serials				
Visual Materials (e.g. posters, bookmarks)				
Integrating Resources (e.g. corrections, loose-leafs)				
Kits or other multi-format resources				
Any format acquired through item numbers 0556-C and 1004-E				

Note that bibliographic access can be achieved through different methods; however bibliographic access must be available so that public services personnel are able to identify publications in the library's collection in a time and manner comparable to that for other library resources. For example, if all resources in the library are cataloged except depository resources, access is not comparable. Also, if all resources in the library have bibliographic records for them that the public may access and view on their own but bibliographic control for depository resources is in a shelflist in a staff room and the shelflist is not used by public services personnel, access is not comparable. In addition, if all resources that are in closed stacks are cataloged or have a publicly accessible bibliographic record except for depository resources, access is not comparable.

Are any of the above handled differently for materials intended to go to another location used by your depository (e.g. open or browsable stacks, closed stacks, remote storage, any selective housing sites, branch or other library under the same administrative purview at the depository library, etc.)?

Describe the reasons for any exception to the full check in or bibliographic record indicated above (i.e., when "all" was not selected above).

If depository receipts are not cataloged, how is check-in to the piece level performed?

What is the name of the bibliographic tool(s) used for piece level check-in and who manages it? Describe.

What fields are recorded in the bibliographic tool(s)?

How is the resource accessible to public services personnel? If it is not readily accessible, how do the public services personnel determine if the library holds a specific title in a timely manner?

How is the resource accessible to library users? If not readily accessible, how does the library identify uncataloged titles in the collection for library users in a timely manner?

Are any of the uncataloged publications in closed stacks, offsite or remote storage? How does the library staff identify specific titles in the library holdings in order to properly assist library users in a timely manner?

BIBLIOGRAPHIC CONTROL OF ELECTRONIC RESOURCES

Does your library catalog online only depository publications?
   Yes   **No**

     If yes, check off all of the resources you use to identify online publications.

          New Electronic Titles (NET)
          Commercial vendor created bibliographic record loads
          Item selection profile
          Other, please describe.

Who in the library makes the selection decisions for online only resources? _____

Who performs catalog record maintenance for online only resources? _____

Describe what types of electronic resources are added to the library catalog (e.g., specific agency publications, certain publication types (monographs or serials), publications associated with the library's item selection profile, etc.).

If applicable, do all online publications currently being cataloged for the online collection have corresponding item numbers in the library's item selection profile?

What other methods are used to provide bibliographic access to online depository resources if your library does not incorporate online resources in a catalog?

Describe the appearance of online resources in your catalog. For example,
　　　　What is the holdings statement, if any?
　　　　Can search results in your catalog be sorted by format?
　　　　Where does the PURL or URL appear in the public view of the catalog record?
　　　　Are links active, meaning users click on the link and go directly to the online resource?

If your library captures and maintains electronic copies of online U.S. Government publications on local servers, do you create MARC catalog records for the publications that are not already in OCLC or the Catalog of U.S. Government Publications?
　　　　　Yes
　　　　　No, we do not maintain local digital copies of publications
　　　　　No, we maintain local digital copies but we do not catalog the publications

EVALUATING YOUR ANSWERS

Refer to the Federal Depository Library Handbook, Chapter 6, Technical Services for more detailed information.

The following information is general guidance and can be used to help evaluate your answers to this module's questions.

Processing

Your depository must ensure that all tangible publications to which a library is entitled to are received from GPO and make them available for public use as soon as possible, preferably within 10 business days. If this turnaround time cannot be met, libraries should organize documents in their processing or cataloging area until work is completed, and a procedure should be established to facilitate retrieval of any publication that is requested by users.

Each publication in shipments, regardless of format, must be identified as Federal Government property. An effective way to accomplish this is to stamp or otherwise mark each publication with information that includes the receipt, shipping list, or processing date and the SuDocs class number. This will aid in any future collection review projects when these publications may be weeded.

Claiming of missing publications or shipments should be done promptly to ensure that all materials you should have received are added to your collection. There is a 60 day window to claim publications. Claims for microfiche and maps must be sent to the appropriate contractors within 60 days of the date on the shipping list.

Piece Level Accounting

Keep in mind that a comprehensive shelflist in either paper or electronic format must be used to maintain your depository library's tangible holdings records. For serials, piece level records for each issue must be maintained by your depository until the issues are bound, replaced by microformat, etc. Then a holdings statement can be substituted for the individual records. This record keeping requirement does not mean that a shelflist card must be generated for each piece of a serial. For instance, the holdings record for some map series could be comprised of a basic shelflist record for the map series plus checking off the appropriate quadrangles of maps received on the index map. Your depository's integrated library system can serve as the depository shelflist for the depository material that is cataloged, if the records are updated in accordance with collection maintenance practices. If there are gaps in what is cataloged to the piece level, the catalog may still be considered a shelflist for that cataloged material. The uncataloged materials must then be accounted for through alternate methods.

Cataloging

Cataloging greatly enhances accessibility and therefore patron usage. It is strongly recommended for all or most of the depository collection, including online publications. Cataloging is the most effective way to identify and provide access bibliographically to any publications in closed stacks or offsite storage.

TRACK PROGRESS

The following are examples of steps you can take to address deficiencies found when answering questions.

If you answered No to "Are the shipping lists compared to your library's item selection profile to ensure that you have received everything that you should have and nothing that you should not have?"

Identify what steps need to be taken to ensure that all publications have been received and that none are received that shouldn't have been. Also identify what resources are used and which staff are involved in the process. Write and implement new policy or procedure to reflect this practice.

If you answered no to "Are claims for publications not received regularly made within the 60 day claim limit?"

Identify what steps need to be taken to ensure that missing publications are noted and claimed as soon as possible. Note what resources need to be consulted and which staff are involved in the process. Write and implement any new policy or procedure to reflect this practice.

If you answered no to "Is there a written procedures manual or other appropriate documentation explaining how to process the FDL collection?"

Develop written procedures or a procedures manual. Identify existing policies and procedures in place and evaluate them for efficiency and effectiveness. Evaluate any tools that may increase efficiency in your workflow. Write up the policy or procedures with any new steps and train staff on them. Post or place the procedures manual in a convenient or logical place so that staff may access it as needed. Periodically review the procedures manual to ensure that it is up to date and reflects current practices.

If you answered no to "Are there processing backlogs for tangible materials?"

Describe the work to be done to minimize or eliminate the backlog.

Identify how the backlog occurred, what steps must be taken to address the backlog, who will be involved in working through the project, and establish a timeline for completion of the project. If it would help, consider making the backlog elimination a project for more than government documents staff, or add it to a library-wide list of projects.

If you answered no to "Does the library have a cataloging policy or written cataloging procedure for depository publications?"

Identify existing policies and procedures in place and evaluate them for efficiency and effectiveness. Evaluate any tools or resources that may increase efficiency of cataloging depository materials. Write up the policy or procedures with any new steps and train staff on them. Post or place the policy or procedures in a convenient or logical place so that staff may access it as needed. Periodically review the policy or procedures to ensure they are up to date and reflect current practices.

For the table where you are asked to, "Indicate if you comply with depository requirements to provide a holdings or shelflist record to the piece level for the following types of tangible depository materials."

For materials that do not receive piece level accounting, examine why this is the case and investigate ways to provide the information. For example, consider cataloging, using a database, spreadsheet, card catalog, etc... Explore new tools that may increase the efficiency of the process. Identify which method would best meet the needs of your users. Establish a new policy or procedure to implement the new workflow and post or place it in a convenient location for staff to access.

For the question where you are asked to, "Indicate if depository publications are under the same level of bibliographic control as the rest of the library collection."

If you find that access to your library's depository collection is not comparable to access to other library resources, establish a plan to work toward greater comparability. A related and timely project may be to review your collection and weed it to help minimize the amount of bibliographic control needed to achieve comparability. A recommended way to document this is in a library-wide technical services policy or manual.