

## **Appendices to the Report on Streamlining the Management of Physical Materials – Part 1**

**Submitted to: Associate Directors for Public Services and Collection Services**

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### Print Equivalent Journals Cancellation Review Timeline

The MIT Libraries joined Portico in the summer of 2006. We will have the benefit of the service as long as we continue to subscribe, so maintaining that subscription will become increasingly important. The Collection Management Group will also consider the feasibility of treating JSTOR as a TDR, and we expect there will be other services to consider, as well.

As the Portico list of participating publishers grows, we will have new opportunities to implement e-only for journals. CMG has discussed the current list of publishers, and selected four to work on during the remainder of FY07. We compared the Portico list to Table 7.6 in the “Print Journal Duplicates Cost Estimation Project: Final Report” (January 2006). The publishers selected for FY07 include enough subject diversity to enable system-wide participation: Wiley, Taylor & Francis, Sage, and Oxford.

CMG will re-assess the feasibility of reviewing all four lists once workload resulting from section three of the R2 Implementation Team’s charge becomes clear. Some libraries will finish within the FY07 deadline; others may finish in FY08. The title distribution is:

Library	Wiley	Sage	Oxford	T & F	Total
Barker	13	12	9	31	65
Dewey	14	59	22	71	166
Hum	3	25	20	56	104
Rotch	2	16	3	23	44
Sci	61	3	20	39	123
<b>Total</b>	<b>93</b>	<b>115</b>	<b>74</b>	<b>220</b>	<b>502</b>

The timeline shows the stages of the project for the remainder of FY07. For FY08 onward, we will develop a new timeline and list of publishers each year, based on coverage available through Portico and other potential TDRs.

#### Timeline for FY07 Project

Fall 2006      Elsevier decisions completed (CMG); publisher/vendors notified (SerAcq)

Jan 2007      From the Elsevier Project:  
 Receive and bind final Elsevier print issues (local processing)  
 Update Barton and local records (SerCat and local processing)  
 Start storage and/or shifting projects (local processing and circulation)  
 Communicate with users about e-only access to Elsevier titles (plan TBD)

For the FY07 Project

Start review of four new publishers: (CMG; subject specialists; local processing; SerAcq):

Publisher	# of titles
Wiley	93
Taylor & Francis	218
Sage	115
Oxford University Press	74
<b>Total</b>	<b>502</b>

Notify Lincoln Lab about the review (SerAcq)  
 Assess the impact of the Taylor & Francis workload on each library and determine which libraries will finish in FY07 (CMG)

April 30      Complete consultations with faculty about e-only titles (CMG and subject specialists)

May            Cross-disciplinary review of cancellation proposals (CMG)  
 Communicate with Lincoln Lab

June 1        Complete decisions for cancellations; report back to faculty (CMG and subject specialists)

August 1     Deadline for sending cancellation lists to SerAcq (CMG)

### **Timeline for FY08 Project and Onward**

July	Prepare Timeline and publisher list to work on for FY08 project (CMG)
Early Jan	Provide publisher profiles and updated title lists to CMG (SerAcq) Notify Lincoln Lab
Jan – April	Review FY08 titles (CMG and subject specialists) From the FY07 Project: receive final issues; update records; start storage and/or shifting projects (local processing, SerCat, local circulation)
April 30	Complete consultations with faculty on e-only titles (CMG and subject specialists)
May	Cross-disciplinary review of cancellation proposals (CMG) Communicate with Lincoln Lab
June 1	Complete decisions for cancellations; report back to faculty (CMG and subject specialists) Start preparing cancellation lists for SerAcq (CMG)
July 1	Start new cycle of review and cancellation

### **Reallocation of Savings**

CMG has looked at the publisher lists and projected savings. CMG recommends that \$10,000 be set as the threshold above which the print cancellation savings will go to M-TEC-BKFL. Publisher reviews that yield less than \$10,000 will go to libraries' ZNEW accounts, based on the owning libraries.

## Guidelines for Maintaining Titles in Electronic and Print Formats

### Introduction

The MIT Libraries are making changes to address a fundamental shift in scholarly journal/serial publishing to electronic formats. The value of electronic access, the high cost of supporting dual formats, and the decision by many publishers to establish the electronic version as the primary format are major reasons why we are beginning to reduce our reliance on print subscriptions.

The context for these guidelines is a marketplace in which electronic publications are leased rather than owned, and digital preservation is still a great challenge. Our primary consideration is whether we can insure access to the journal content over time. In the past, we have relied on print back-files, but progress in developing trusted digital repositories (TDR), including the launch of the Portico service, will enable us to rely on the electronic version alone.

*For titles protected in a TDR, the MIT Libraries' usual practice will be to cancel the print format and rely on the electronic subscription plus the TDR subscription.* In some circumstances, however, we will continue to subscribe to both print and electronic formats, following careful consideration of these guidelines.

### Guidelines for when to maintain subscriptions in dual formats for journals and serials:

- We have no TDR that protects the electronic version of the title
- Perpetual access (access after cancellation/cessation) is not part of our license (for example, titles in aggregator packages)
- Print has features that are easier to navigate or are used differently compared to the electronic format
- Print issues are heavily browsed and/or used
- The electronic version doesn't meet the needs of users, as determined by user feedback, and weighing this factor with the other guidelines
- Electronic is not equivalent to print (e.g., missing charts, special sections, etc.)
- The electronic does not allow historic access (e.g. only the current edition of the serial is available online)

- Access to electronic is limited (e.g., number of users, physical location), demand is high, and the cost/benefit analysis favors buying print instead of expanding the electronic access
- The electronic version of a dual format title is only available through an aggregator package (changes to aggregator package titles are not under our control)

**Short Guide for Processing New Material**

<b>ALS-Monograph Acquisitions:</b>		<b>Comments:</b>
<b>RETAIN:</b>	Top edge stamp	
	Date/property stamp	
	Barcodes	Implement new barcoding guidelines
	ATTN flag	Use 12/06 revised flag
	Arrival slip	
	Bookplates	Endowed and named plates only
<b>ELIMINATE:</b>		
	RUSH flag	Arrival slip was revised to include RUSH notification
	Rush processing for REF books	
	Aga Khan Flag	Bookplate is sufficient
	PO# penciled in	Barcode will become unique identifier
	Approval flag	Remove from book after re-matched with invoice
	Approval slip	Remove at time of processing
	Bookplate- generic	“Gift to the MIT Libraries”
<b>CHANGE:</b>		
	Affix bookplate rather than clipping to arrival slip	No longer need to print arrival slip; previously done by Preservation Services
<b>FURTHER REVIEW NEEDED:</b>		
	“New book” slip	Added to all books when an arrival slip is not printed. ESL ready to give up; work with other libraries to identify alternative, esp. if we go to

		shelf-ready from YBP
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<b>ALS-Gifts:</b>		<b>Comments:</b>
<b>RETAIN:</b>	Top edge stamp	
	Date/property stamp	
	Barcodes	Implement new barcoding guidelines
	Bookplates	Major donors and special named plates only
	RUSH Flag	
	ATTN Flag	Use 12/06 revised flag
	Yellow routing slip	
<b>ELIMINATE:</b>		
	Bookplate – generic	“Gift to the MIT Libraries”
	Barcode – duplicate	Implement new barcoding guidelines

<b>ALS-Government Documents</b>		<b>Comments:</b>
<b>RETAIN:</b>	SuDocs # label	Relocate to bottom left front
	Call # label	Relocate to bottom left front
	Item/Depo # label	Same location
	Library Name label & stamp	Same location
	Date stamp/FDLP label	Verso of TP for cloth; front cover for pbk.; required by GPO
	Barcodes – cloth and pbk.	Implement new barcoding guidelines
	Pencil in call # / SuDocs #	
	Ink in depo # and item #	
	Top edge stamp	
	“Not for Navigational Use”	
	RUSH flag	
	“Green” form	Update BAS to CAMS

<b>ELIMINATE:</b>	New item number form (light purple)	
	New serial form (dark purple)	
	Unbound pub slip	Pr. Services needs to determine if binding criteria for these differs from current binding criteria
	“blue form” first piece of new SuDocs class	

<b>ALS- Serials Acquisitions</b>		<b>Comments:</b>
<b>RETAIN:</b>	Top edge stamp	
	Date/Property stamps & stickers	
	Red-lined barcode	Implement new barcoding guidelines
	Call # penciled in	
	Call # stamps & labels	
	ATTN flag	Use 12/06 revised flag
	RUSH flag	
	White slip for SerCat	
<b>ELIMINATE:</b>	PO# penciled in on legal serials	
	REF to call #s for HUM serials	HUM will switch to REF labels like all other units
<b>FURTHER REVIEW NEEDED:</b>	Printout of bib records	KM and RLL investigating
	Serforms	L. Harrington is in process of revising

<b>Preservation Services</b>		<b>Comments:</b>
<b>RETAIN:</b>	Security Strip	
	Call # labels	
	Requested repairs slip	
	Write call # on paperwork or scrap paper for matching with Acme work	
<b>ELIMINATE:</b>	Date Due Slip	Decision needs to be made on how patron notification will be accomplished
	Round Property Stamp	

	Generic Bookplate	
	Small stamp on endsheet	
	Affixing bookplates	Being done upon receipt in Monograph Acquisitions
<b>CHANGE:</b>	Precat flags	Substitute with Precat labels

<b>CAMS-Monograph Cataloging</b>		<b>Comments:</b>
<b>RETAIN:</b>	Call # penciled in	Preservation Services needs to review alternatives for matching call # labels to books
	Barcodes	Implement new barcoding guidelines
	RUSH/Patron Request	For items requested RUSH after they have already left acquisitions
	Cat for OCC flag	Update HD to OCC
<b>ELIMINATE:</b>	Author/title hatch marks	
	REF to call #s for HUM serials	HUM will switch to REF labels like all other units
	Precat Flags	Preservation Services will create Precat labels instead
<b>CAMS-Serials Cataloging in 14E</b>		
<b>RETAIN:</b>	ATTN flag	Use 12/06 revised flag
	Call # penciled in	For cloth: Preservation Services needs to review alternatives for matching call # labels to books
	Call # labels	For pbk: relocate to bottom left corner
	Barcodes	Implement new barcoding guidelines
<b>ELIMINATE:</b>	Author/title hatch marks	
	Writing in uniform title	
	REF to call #s for HUM serials	HUM will switch to REF labels

		like all other units
<b>CAMS-Serials Cataloging at LSA</b>		
<b>RETAIN:</b>	Barcodes	Implement new barcoding guidelines
	Handwritten call # and enum/chron	
	Seal	

## **Barcoding Guidelines for Book Formats**

(These guidelines to be reviewed fall 2007)

These guidelines apply to all new acquisitions in book format (monographs, serials, and bound journals). This does not affect special format items, such as CDs, DVDs, Maps, Scores, etc.

- Barcodes will be affixed on the front cover, top left corner, not more than 1” from the top edge and not more than 3” from the left edge
- Call number labels that had formerly been placed in this location should now be placed in the lower left corner, in line approximately with where spine labels are located

This practice will be used as new items are acquired, existing items are sent to storage, or as items require re-barcoding for other reasons. A major effort to re-barcode or replace call numbers on the collection is not warranted. Preservation Services recommends that we do not razor out barcodes. The preferred method of replacing barcodes is to apply a new one or to duplicate (if we decide to implement barcode duplicators).

### **Six types of barcodes used on collections and when to use:**

(Blue-lined barcodes used at circ desks for non-MIT patron IDs are not considered here.)

- Single – used for cloth monographs and/or items going to HD
- Piggyback – used for monograph paperbacks, rare books going into Rotch’s LMTA Collection, or when uncertain of proper placement; on items going to Preservation Services for repair/rebind
- Duplicate – used by some local processing units for matching multiple format items, e.g.: items with phase boxes, enveloped items, etc. No longer to be used on items going to HD.
- Single Red-line – used for cloth serials. Processing units in Rotch, Hum/Music and Dewey rely on them for visually identifying serials for internal workflows. Also used when sending materials to LSA for storage. Since we strive to keep central processes uniform across the system, red-lined barcodes will continue to be used for all serials in all locations.
- Piggyback Red-line – used on paperback serials, when sending unbound journals to Acme for binding, and on items going to Preservation Services for repair/rebind

- Duplicate Red-line – used by some local processing units for matching multiple format items, ex: items with phase boxes, enveloped items, etc. No longer to be used on items going to HD.

#### **Placement for cloth**

Single barcode should be placed on the front cover, top left corner, no more than 1” from the top edge and not more than 3” from the left edge, regardless of the cover design.

#### **Placement for paperback**

Piggyback barcodes should be placed inside the back cover, 1” from the top and centered. Local processing units will move these barcodes to their final destination, as described for cloth books, after the book has been through Preservation Services and a binding decision has been made.

#### **Placement for items going to HD**

Single barcodes should be placed in the standard position as described above. HD does not require that we use duplicate barcodes, as we have been doing.

#### **Placement for “Limited Access” items**

Barcodes should NEVER be affixed to items going into the LMTA collection. A piggyback barcode should be applied to the ATTN flag, to be relocated to an acid free flag by the Rare Books Cataloger.

#### **Placement of duplicate barcodes for items with enclosures**

One barcode is placed in the upper left corner of the box or envelope; the other barcode is placed inside the back cover of the book.

#### **Barcoding for older items going to storage**

As material is pulled from our collections for storage, we will encounter material that was barcoded before this new standardized location was put into place. In those instances, the original barcode should be crossed out with a permanent marker and the new single barcode should be placed on the front cover as described above.

## Process for Streamlining Journal and Serial Check-in

Managing the receipt of our print serials and journals occupies a significant portion of staff time both centrally and locally. While showing accurate receipt information to users is considered by staff to be a vital component of good customer service, all agree that the check-in process could be streamlined. The following are suggestions for ways we could reduce the time it takes to check in some of our titles, without sacrificing quality of service to our users or creating a chaotic work environment for our staff, and while continuing to fulfill what we believe to be our audit requirements.

### 1. Describe some items more minimally, as appropriate to the title

Not all titles require a highly detailed description of each issue. For example, most people will look for an issue of Glamour magazine by asking for the October 2006 issue. Currently, we describe it as v.104:no.10 (2006:Oct.). If we simplify the pub pattern, we simplify the description of the issues and the check-in process. The October 2006 designation is clearly visible on the cover of the magazine, making verification of the piece against the item record very quick; in contrast, locating the 6 point type buried somewhere in the magazine that confirms that in fact it is v.104:no.10 is considerably more time-consuming. This logic could be applied to most (though not all) popular press titles, and would likely mostly affect the Humanities Library.

**ACTION:** Ask Processing Staff for a list of titles they feel would benefit from this type of streamlining. Compile a list and see how many titles are affected. Make sure it's clear in the Barton records that we're using the streamlined description method rather than the full description method.

### 2. Employ as many macros and shortcuts as possible

We discovered early on that working in Aleph means lots of clicking. Clicking takes time. Here are some options to investigate:

Improve searching so you get to your bib record in as few keystrokes as possible:

- a. Use the Search Tab rather than the Serials Search Bar for some searches, so you can limit your search to serials only and avoid the back issue order bib records.
- b. Use F8 to get to the Serials Tab and F9 to get to the Search Tab (keyboard shortcuts).

- c. Investigate having the Serials Search Bar only return results for serial records.
- d. Use the SICI (although investigation thus far has not yet yielded very favorable results).
- e. For back orders created before our Aleph implementation (i.e., pre-2001), explore with Charlene/Christine moving the order records for journal back issue orders to the “real” journal bib record and deleting the “dummy” bib records that clutter up the search results.
- f. Share searching strategies among check-in staff.

Investigate ways to reduce the number of clicks and keystrokes related to check-in, beyond searching:

- a. Implement the option to not see the Success! pop-up window every time an issue is “Arrived;” and consider making it the default.

### **3. Revisit, improve, and simplify the change of address workflow**

Publishers have a difficult time understanding our system of mailing address, and pieces end up at the wrong location than we would like. Misaddressed pieces take time to re-route. Our current change of address procedure works, but it in itself is time-consuming (both for the local units and for SerAcq). Investigate ways to streamline the change of address request process; if it works, there should be fewer misaddressed pieces, which will lead to a streamlined check-in process.

### **4. Revisit call number label printers**

Most journals receive no call number label, and cloth pieces (mostly serials) receive call number labels in Preservation Services. Many pieces, however, currently require handwritten call number labels (notably, softbound serials received in SerAcq and Dewey, and half-classed journals in Science). A printer to create call number labels might make the process more efficient.

When these recommendations are accepted, they should be incorporated into existing procedures as follows:

Check-in Procedures

[http://macfadden.mit.edu/colserv/seracq/checkin\\_18.html](http://macfadden.mit.edu/colserv/seracq/checkin_18.html)

Working with [Publication] Patterns

[http://macfadden.mit.edu/colserv/seracq/patterns\\_16.html](http://macfadden.mit.edu/colserv/seracq/patterns_16.html)

[Aleph] v.18 Patterns Documentation

[http://scripts.mit.edu/~alephwiki/wiki/index.php?title=V.18\\_Patterns\\_Documentation](http://scripts.mit.edu/~alephwiki/wiki/index.php?title=V.18_Patterns_Documentation)

Aleph 18 Publication Pattern Examples

[http://scripts.mit.edu/~alephwiki/wiki/index.php?title=Publication\\_Pattern\\_Examples](http://scripts.mit.edu/~alephwiki/wiki/index.php?title=Publication_Pattern_Examples)

Manual Prediction

[http://macfadden.mit.edu/colserv/seracq/predict\\_manual\\_16.html](http://macfadden.mit.edu/colserv/seracq/predict_manual_16.html)

## Process for Reducing and Streamlining Journal and Serial Claiming

There are ways to both reduce the number of claims we send out and streamline the claiming process as a whole, but we must maintain a claiming protocol for all titles to ensure that our subscriptions and standing orders remain active. We must establish the difference between claiming an individual issue and claiming a total non-receipt of the subscription or standing order. Claiming an individual issue usually means that the order itself is fine but somehow one or a few issues have failed to make it to their intended destination. Claiming a total non-receipt means that something is wrong with the subscription or standing order itself, and no issues are arriving at all. In general, our priority should be on the total non-receipts first, and then on the individual issue claims.

1. **When claiming individual issues of a journal title, follow these guidelines:**
  - a. **Stick to the limit of 3 claims.** Local processing should claim the needed issue(s) only twice locally, then elevate the claim to Serials Acquisitions, who will claim it once.
  - b. **Claim only if your library is the “library of record”** for a title for which we receive more than one copy in the MIT Libraries.
  - c. **Do not claim if the title is retained only for a limited time period** (e.g., Latest two years only kept; Current year only kept). Titles with limited retention will be noted as such in the summary holdings statement.
  - d. **Do not claim the title if it will also be received in microformat** (film or fiche). A list of these titles can be found in a place to be determined by CMG.
  - e. **Do not claim once the decision has been made to cancel the print.** Cancellation decisions are normally made well in advance of the end of the current subscriptions (e.g., decision made in summer, but subscription continues through the end of December). Once the decision has been made, stop claiming any individual issues.
  
2. **When claiming a total non-receipt of a title, either a journal or a serial, local processing should elevate the claim immediately to Serials Acquisitions.**

3. **Treat claims for individual volumes of a standing order for an annual publication as a total non-receipt.** In these cases, the claim is equivalent to establishing that the standing order is still considered a standing order by the vendor and/or that the title is still being published. Since most standing orders are paid piece by piece, a claim is equivalent to confirming or re-establishing the order itself.
4. **Update the claiming procedures to specifically address responsibility for adding notes in Barton** (this is the responsibility of whomever sends the claim to the vendor), **as well as responsibility for following up once the claim has been sent** (this is generally the responsibility of the check-in person). If Serials Acquisitions sends a claim for a title checked in by local processing, Serials Acquisitions should note the claim in Barton (change expected arrival date, change item processing status to CL, add Note). In this case, if the expected arrival date passes and the item shows up on the claim report again, it will show up on local processing's claim report; local processing should then pursue with Serials Acquisitions if additional follow up with the vendor is necessary.
5. **Recognize that our own Barton database is the official record of our claiming activity.** The vendor's database (e.g., DataSwetsConnect and Otto Serials) may not have the most accurate information about our claims. Vendors may only keep a limited history of our claiming.
6. **Explore claiming functionality in Aleph 18, including the auto-claiming functionality.** This will improve our claiming process in the following ways:
  - a. The process would be integrated into Barton, rather than happening outside and then recorded manually in Barton (as is done now). Technical limitations in the Aleph software have prevented us from fully implementing its claiming function until now; we think it is possible in version 18.
  - b. A record of each claim would be created, allowing us to count how many claims are actually sent (by title, by library, by check-in location, by number of times claimed). These statistics will give us a much clearer picture of exactly what we are claiming.
  - c. Auto-claiming means that we would let Aleph not only alert us that an item has passed its expected arrival date and that perhaps we'd like to issue a claim, but

also send the claim with reduced intervention by staff. We must consider this option very carefully, as it makes assumptions about the ability of a computer program to make complex judgments. Vendors have reported that when libraries activate the auto-claiming feature, many false claims are generated precisely because the computer programs can't understand the nuances involved in claiming. The key to making auto-claiming successful involves proactive work on prediction patterns and item records (a just-in-case approach rather than a just-in-time approach) to ensure that the issues actually require claiming. If auto-claiming can be turned on for selected titles only, it could represent both time savings and a higher claims fulfillment rate.

7. **Employ more macros in processing claims.** Currently, there are macros that make it easy to take information from the claim report and put it into an email message to send to a vendor. Not all local processing staff have taken advantage of this macro for their library. Determine if the macro, in some form or other, would be beneficial to each library (will depend on the number of claims and the kind of vendors to which the claims will be sent). Explore other macros as well.

When these recommendations are accepted, they should be incorporated into existing procedures in The Art of Claiming site at <http://macfadden.mit.edu/colserv/seracq/claiming/>. Specifically, the How to Claim page should be updated, but all pages should be reviewed and updated as necessary.

## Guidelines for Binding of Standard Print Formats

### Journals

All permanently retained journals are bound to preservation standards. Journal issues are bound regardless of the availability of electronic access.

Journals should not be commercially bound when:

- Item is retained for limited time period
- Item is also received in microform
- Item is received in more than one library – only the library of record should bind and others should have limited retention

### Serials

Serials are selectively bound to preservation standards when local processing staff determines the existing binding warrants it (see <http://libraries.mit.edu/preservation/acmedoc.html#criteria>) or at the request of the subject selector.

Serials should not be commercially bound when:

- Item is retained for limited time period (very high use reference items may be bound)
- Item is cataloged directly for storage
- Item is also received in microform
- Item is received in more than one library – only the library of record should bind
- Item is rush patron, reference or reserve request (item may be bound later)

### Monographs

Due to funding limitations, new paperbacks are selectively bound to preservation standards when Preservation staff determines the existing binding warrants it (see <http://libraries.mit.edu/preservation/acmedoc.html#criteria>) or at the request of the subject selector.

Monographs should not be commercially bound when:

- Item is cataloged directly for storage (damaged gift item may be bound as requested by selector)

- Item is rush patron, reference or reserve request (item may be bound later)

## Procedure for Backordering and Binding Incomplete

Do not backorder individual journal issues when:

- Title is available electronically at MIT (excluding aggregators)
- Title is not going to be bound

Backordering details:

- Backorders should not be requested by local units until the serial claiming process has been exhausted
- All backorders should be signed by a selector and have a cost estimate, fund, issue information and the publisher's name. If ordering an obscure title, address information is helpful but not required.
- Local processing should communicate with Monograph Acquisitions before spending time trying to find where something is available
- Monograph Acquisitions will attempt to fill the order from no more than three vendors

Binding incomplete volumes:

- In most cases, local units should bind incomplete 3 months after the backorder is placed. This would allow the material to be available immediately for patron access while preserving the content and condition of our collections. If backorder is eventually filled, the volume can be rebound complete.
- All incomplete volumes should have an OPAC note in the item record indicating what is missing from the volume.

## Expanded Local Record Maintenance Authority Guidelines

### 1. Deleting Duplicate Monograph/Thesis Barcodes

#### Type of Titles

- Must be a monograph title
- Cannot be a multi-volume set, have accompanying materials, or supplemental materials. (Exception: can delete a multi-volume item if the item itself is a duplicate copy. May also delete superseded material with a cataloger's permission.)

#### Deletion Parameters for Local Processing

- Can delete when they have the barcode in hand or when it has been established to be a missing item
- Can only delete items for own library
- Must be a duplicate barcode on a single holding record
- Last barcodes on a holdings record must go to cataloging. (Exception: the last barcode on a holding record can be deleted if the holding record can be deleted under the guidelines in "Deleting Holdings Records" section. Be very careful with this: any questions should go directly to Beth Brennan.)
- Delete REPL barcodes after the replacement has been cataloged. The new book must be in hand and it must be verified that the two items are on the same bib record. (Note: this could change if local processing of new items changes – for example YBP decision.)
- When in doubt, should send to cataloging – any deletion that looks like it will take more than 5 minutes should go to cataloging
- Count deleted monograph barcodes as direct discards; they must be reported to Jennifer Banks monthly in a process to be determined
- After deleting the barcode, local units should process the physical items as they have in the past

#### Trial Period

- For the first 3 months (dates to be determined) local processing must send the Aleph System Numbers (not barcode numbers) to Beth Brennan to have her double check the

records. This date could be extended – decision to be made by Rebecca Lubas at the end of the initial review period.

- For the first 3 months the ability to do these procedures will be limited to Processing Supervisors and Branch staff. The ability to do these procedures may be extended to all local processing staff by Rebecca Lubas at the end of the initial review period.

## **2. Deleting Holdings Records (holding records with no items attached and no summary holdings statement)**

- Can be a monograph or a serial record
- Must not have a summary holdings statement (exception: if you encounter a holding record with a summary holding that you know is no longer held in your collection you may delete that summary holding statement as long as it is not the last holding record on the bib record)
- Must be a holding record with no items attached
- Must not be the last holding record on a bib
- Never delete the last holdings record – this would indicate that MIT no longer holds any issues/volumes of this particular title and therefore MIT holdings for this title must be removed from OCLC
- If this is the only holdings record, send serials to Arnie Sheinfeld and monographs to Gordon Thomas to delete
- When in doubt, local processing should send to cataloging – any deletion that looks like it will take more than 5 minutes should go to cataloging

### **Trial Period**

- For the first 3 months (dates to be determined) the Aleph System Numbers must be sent to Beth Brennan to have her double check the records. This date could be extended – decision to be made by Rebecca Lubas at the end of the initial review period.
- For the first 3 months the ability to do these procedures will be limited to Processing Supervisors and Branch Staff. The ability to do these procedures can be extended to include all local processing staff by Rebecca Lubas at the end of the initial review period.

## **3. Updating Summary Holding Statements for Serial Records**

- Local processing can update a serial summary holding statement (866a) when the change does not result in closing the title. For example, you can update to reflect missing items in the middle of a serial run.
- Local processing must receive updated NISO Training from Serials Cataloging staff before they can make these changes. Serials Cataloging will also offer a required yearly refresher course.