

SPECIAL COLLECTIONS CATALOGING PROCEDURE

THESES/DISSERTATIONS

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**THE UNIVERSITY LIBRARIES THESES AND DISSERTATION
POLICY AND PROCEDURES**

I. THE UNIVERSITY LIBRARY

This procedure outlines the workflow between Special Collections, the Geisel Catalog Dept., and the Geisel Bindery for cataloging and binding U.C.S.D. dissertations (Ph.D.) and theses (Master's). Special Collections functions as the Library's contact with graduate students, the Office of Graduate Studies and Research, and University Microfilms Incorporated. Since the Catalog Dept. handles only theses items which will have stacks copies shelved at Geisel or CMRR, this does not include Biomed or SIO materials. Any Biomed or SIO items inadvertently sent to the Geisel Catalog Dept. should be returned to Special Collections immediately. Music theses and dissertations are forwarded directly to the Music Dept. The Geisel Bindery Preparation Unit sends dissertations to UMI for microfilming and coordinates the binding of theses/dissertations.

Materials are cataloged at the following levels by the following staff:

Dissertations	I-level (MARC cataloger + Original cataloger)(non-science)
S&E theses & diss.	K-level (MARC cataloger)
Theses (except AAL)	K-level (MARC cataloger)
Visual arts theses	I-level (AV cataloger: Ann Studebaker)

NOTE: All science is cataloged for S&E. CMRR theses and dissertations are sent to the Catalog Dept. directly from CMRR and receive full cataloging with LC call numbers and subject analysis.

SPECIAL COLLECTIONS PROCEDURES

Sandy Hochberg is the dissertation/theses coordinator

1. Two copies of the Thesis/Dissertation (Thesis= Masters; Dissertation= Ph.D.) are checked in by Special Collections reference staff. One copy is designated as the "stacks copy" and the other as the "archives copy."
 - a. The "archives copy" of every Geisel Library and BioMed item remains in Mandeville Special Collections and does

II.D.1 cont.

- not circulate. The "archives" copies of SIO theses and dissertations are sent to SIO upon receipt and do not circulate.
- b. The "stacks copy" is cataloged, microfilmed, bound and finally, shelved in the respective general collection as the circulating copy.
2. For both Masters and Ph.D materials to be sent to Geisel Catalog Dept., two brief non-MARC bibliographic records with item records are created, one for the "archival copy" and one for the "stacks copy." (See Appendix A: "Creating Brief Bib. Records")
 3. Special Collections prepares "stacks copies" for shipment to the Catalog Department:
 - a. Separates Masters from Ph.D.s.
 - b. Removes the enclosed UMI Doctoral Dissertation Agreement Form, title page, and abstract for delivery to the Bindery. This paperwork is hand-delivered to B.C. Thompson in the bindery in batches when the corresponding "stacks copies" are sent for cataloging.
 1. For Ph.D.s to be copyrighted by UMI, Sp. Coll. stamps "For Copyright" on the outside title page and includes the money order with the candidate's paperwork for delivery to the Bindery.
 2. For dissertations designated "publish abstract only," Sp. Coll. stamps "Publish Abstract Only" on the outside title page and places the UMI "Publish Abstract Only" form in a manila envelope for delivery to the bindery.
 - c. Special Collections tapes the head of the goldenrod "final form" to the outer housing of the "stacks copy."
 - d. Special Collections sends the "stacks copy" to the appropriate cataloging unit: BioMed items go to the BioMed Catalog Dept; and SIO items go to the SIO Catalog Dept; others go to Geisel Catalog Dept.

CATALOG DEPARTMENT PROCEDURES

The Catalog Dept. is responsible for creating full bibliographic and item records for both the stacks copy and the Archival copy of each dissertation or thesis, even though only the stacks copy is sent to the Cat. Dept.

4. Cataloger attaches one bar code to the title page of the stacks copy and tapes the matching barcode to the title page with removable tape. [Archival copy, which is housed in Sp. Coll., is not barcoded.]

II.D.1 cont.

5. The cataloger determines whether item must be sent to AV cataloger or to an original cataloger for subject analysis or whether item will be cataloged by the MARC cataloger.
 - a. Items for the AV cataloger are forwarded to her without further work and are completed by the AV cataloger.
 - b. For an item requiring subject analysis (I-level), the MARC cataloger catalogs the item (bibliographic description) on OCLC, and saves the record. The dissertation is forwarded to the original cataloger for subject analysis. The original cataloger will also be responsible for producing cards and exporting the record onto InnoPac, and overlaying the brief record created by Sp. Coll. staff
 - c. For items cataloged by the MARC cataloger, the MARC cataloger assigns a call number, inputs bibliographic information and 949 fields for branch location and item record information, then saves the record. Note: barcode is **not** scanned into the Archival copy. Section Head reviews, produces, and exports the record, overlaying brief record created in Sp. Coll.
 - d. A print-out should be made of the bibliographic record and attached (taped on) to the top of the dissertation box or envelope.
6. After the Sp. Coll. record is exported, two new 949 fields for the stacks copy are added to the record, and the record is overlaid onto the stacks brief bib record.
- 6a. All thesis and dissertations are forwarded to Catalog Maintenance Added Copies student who will generate a stacks copy record from the Sp. Coll. record on InnoPac. The brief stacks copy record created by Sp. Coll. must be deleted by the Added Copies student.
7. All theses and dissertations are sent to Export Verification (EV) for a final "quality control" check. EV needs to delete the item records created by Sp. Coll. Theses and Dissertations are then mailed to the Bindery.

BINDERY PROCEDURES

8. Theses/Dissertations arrive at the Bindery from the Catalog Department.
 - a. Master's theses are sent directly to be bound.
 - b. Dissertations are sent to University Microfilms, Inc. to be microfilmed. Once they are returned from UMI they are sent to be bound.

II.D.1 cont.

9. At the time Special Collections sends dissertations to the Catalog Department, they also gather the UMI "dissertation agreement form," the abstract, title page, and money order [if copyright service is requested] for each item and clip them to the brief bib record. This paperwork is sent to the Bindery when the corresponding "stacks copies" are sent to Geisel Cataloging.
10. When a sufficient number of dissertations accumulate in the Bindery, they are prepared for shipment.
 - a. For "microfilm only" dissertations - the paperwork is enclosed in the manila envelope with the typed manuscript.
 - b. For "microfilm and copyright dissertations - a money order for \$35.00 is included with the paperwork.
 - c. For "publish abstract only" dissertations, Special Collections will send the paperwork to UMI.
 - d. For each shipment, the Bindery will prepare an alphabetical inventory list of authors including the year of publication for each item.
11. When dissertations return from UMI the Bindery will check them off the inventory list and send them to be bound.

II. BIOMEDICAL LIBRARY

1. INTRODUCTION

BML Technical Processing processes UCSD dissertations for Medicine and other biological sciences (except SIO materials). [NOTE: Dissertations/theses are NOT the same as School of Medicine Independent Studies Projects (see procedures for handling those)]

Writers submit two copies of their Ph.D. dissertation or Master's theses to Special Collections. Special Collections functions as the Library's contact with graduate students, the Office of Graduate Studies and Research, and University Microfilms Incorporated. Sandra Hochberg from Special Collections is the theses/dissertation coordinator, and is responsible for distributing these materials to the appropriate processing unit. She sends one copy of each theses/dissertation to BML; the second copy is deposited in the UCSD Archives, where it is kept for three years. After three years, it is sent to SRLF for storage. Copies of UCSD dissertations located in SRLF can only be retrieved through Special Collections.

2. SPECIAL COLLECTIONS PROCEDURES

II.D.1 cont.

- A. Two copies of the Thesis/Dissertation (Thesis= Masters; Dissertation= Ph.D.) are checked in by Special Collections reference staff. One copy is designated as the "stacks copy" and the other as the "archives copy."
 1. The "archives copy" remains in Mandeville Special Collections and does not circulate.
 2. The "stacks copy" will be cataloged, microfilmed, bound and shelved in BML circulating stacks as the circulating copy.

- B. The theses/dissertation coordinator creates two brief bibliographic records with item records for each of the copies (see Appendix A: "Creating Brief Bib. Records.):
 1. Separate Masters theses from Ph.D dissertations
 2. Check for copyright and/or publish abstract only status
 - a. Stamp "For Copyright" on the outside title page of Ph.D's to be copyrighted by UMI, attach money order with the candidate's paperwork, and photocopies money order and "final form"
 - b. Stamp "Publish Abstract Only" for dissertations designated "publish abstract only," on the outside title page and on a manila envelope; place the UMI "Publish Abstract Only" form, abstract, and title page in the envelope
 - c. File the goldenrod "final form" by degree year, then alphabetically by author
 3. Enclose UMI paperwork (UMI Doctoral Dissertation Agreement Form, title page, abstract and any money orders) in "stacks copy" envelope.
 4. Tape the head of the goldenrod "final form" to the outer housing of the "stacks copy."
 5. Send "stacks copy" to BML cataloger
 - a. for "publish abstract only" dissertations, include a note indicating "publish abstract only - do not send to UMI"

3. CATALOGING

BML catalogers are responsible for creating full bibliographic and item records for both the stacks and archival copies of each dissertation or thesis, even though only the stacks copy is sent to BML.

- A. Write any of the unique information (see part II.C. below) on the cover page for the dissertation prior to getting on OCLC)

- B. On OCLC, create a new record (using a blank workform using the

II.D.1 cont.

NEW command or from constant record data on OCLC). The constant records are stored on OCLC under the following names:

Master's theses constant records: dismas
PhD dissertations constant records: disphd

C. The following unique information must be in the record if available:

1. pagination (in leaves) and illustrations (300 field)
2. title proper (245 field)
3. author's name (100 field)
 - a. if birthdate is present somewhere on the thesis, add that to the name heading in a subfield "d"
 - b. if no birthdate is present, check Innopac and OCLC authority files to make sure the name as it appears on the dissertation does not conflict with somebody else's name
 - 1) if there is no conflict, establish the name as it appears on the title page; if there is a conflict
 - 2) if there is a conflict, call the issuing graduate department to find out the author's birthdate and add to the heading
4. presence of bibliographic notes or citations (504 field)
5. one local form subject heading subdivided by "UCSD" and the name of degree (690 field)

e.g., if title page reads: Doctor of Philosophy in
 Biology
then add: 690 Dissertations, Academic |x UCSD |x
 Biology
6. form call number (096 field)
 - a. all thesis and dissertation call numbers begin with
 W 4 C153SD
 - b. add a cutter and workmark for the author's name and dissertation title (shelflist on Innopac)
7. date of publication (260 field subfield "c" only)
8. thesis note (502 field) containing date of issuance, university, and name of issuing department:

502 Thesis (Ph.D.)--University of California, San
 Diego, 1992--Biology.
9. presence of vita (500), e.g. 500 Vita.

II.D.1 cont.

D. The following standard information must be present in the record:

1. One form MeSH heading as follows:

650 -2 Dissertations, Academic.

F. Create item record and overlay fields for BML record:

```
949 bb |z 096 |t 0 |l bf1 |s i |a [call number]
949 b1 *recs-b;bn-bml;b1-m;ov-.b[BML brief bib rec#];
```

H. Update and export the record (u;xpo); print copy of export verification information from OCLC export screen

F. Revise the item record and overlay fields for Special Collections:

```
949 bb |z 096 |t 34 |l cpvd |s o |a [call number]
949 b1 *recs-b;bn-culsp;b1-m;ov-.b[SPC brief bib rec#];
```

H. Reformat to save changes, and export the record (xpo)

I. Attach BML record export verification printout to publication (or printout Innopac bib and item records) to publication, and give to BML Bindery Assistant.

4. POST CATALOGING

A. Masters Theses

Send to bindery; barcode and add barcode number to BML copy's item record when returned.

B. Ph.D. Dissertations

When a sufficient number of dissertations received from the cataloger accumulate, prepare a shipment to UMI (do not hold dissertations for too long before sending to UMI).

1. Match dissertations to UMI paperwork received earlier from Special Collections; if there is a problem (e.g., dissertation but not paperwork), check with cataloger or theses/dissertation coordinator in Special Collections
 - a. "microfilm only" dissertations - enclose typed manuscript with paperwork in the manila envelope it was sent to BML in
 - b. "microfilm and copyright dissertations - enclose \$35.00 money order and paperwork with manuscript in

II.D.1 cont.

manila envelope. [Special Collections will have already made a photocopy of the money order and final form to be filed in Special Collections with the final form as proof of receipt of payment; questions from UMI about payment should be directed to theses/dissertation coordinator.]
c. "publish abstract only" dissertations - send the envelope stamped "Publish Abstract Only" with the enclosed form, abstract, and title page (DO NOT SEND DISSERTATION)

2. Write a letter to UMI detailing the shipment, including an alphabetical inventory list of authors and the publication year of their publication.
3. Send shipment to UMI.
4. When dissertations return from UMI, verify receipts against them off the inventory list, and then prepare for binding.

5. BINDERY PROCEDURES

1. Send materials to Bindery (full bind).
 - a. check items out before sending.
2. When items return, barcode and add barcode number to item record.
3. Send to stacks.

III. SIO LIBRARY

Special Collections

1. Two copies of each SIO theses/dissertation are submitted to Special Collections. One copy is designated the "stacks" copy and the other as the "archives" copy. Each copy is annotated with the date received. Items which require copyright processing will be marked "copyright."
2. Special Collections creates a brief bib record and two item records for each title (see Appendix A: "Creating Brief Bib Records").
3. Special Collections sends both the "archives" and "stacks" copy to the SIO cataloger. For dissertations, the UMI request form, title page and abstract are included in the "stacks" copy envelope. Master's theses are bound after cataloging.
4. For "publish abstract only" dissertations, Special Collections

II.D.1 cont.

sends the UMI paperwork to UMI and marks the "stacks" copy "Publish Abstract Only - Send directly to Bindery"

SIO Cataloging

1. The SIO cataloger processes both copies of each dissertation and sends the "stacks" copy to the SIO Bindery for shipment to UMI.

SIO Bindery

1. After a sufficient number of dissertations have accumulated, the SIO Bindery prepares a shipment for University Microfilms, Inc.
2. The dissertations are arranged in two groups: "for microfilm only" and "for microfilm and copyright" with each group alphabetized by author.
3. An inventory list is produced which indicates the author (inverted form) and the year the degree was awarded (from the title page) and is included with the shipment.
4. Once processed by UMI, dissertations are returned directly to the SIO Bindery, then bound and shelved.

APPENDIX A

CREATING BRIEF BIBLIOGRAPHIC RECORDS FOR SP. COLL. DISSERTATIONS

This procedure is to be used to provide a temporary bibliographic record for UCSD dissertations and theses.

Full MARC bibliographic records will be overlaid onto these brief records at the time of cataloging.

General procedures summary:

Create a brief bib and item record for Archival copy and create a brief bib and item for the Stacks copy (SSH, S&E, BML). Create a brief bib and TWO item records for SIO.

Print out copies of each bib record and enclose with the "stacks" and "sio" theses/dissertation before sending to the appropriate cataloging unit.

A. Logon to Innopac via Gateway

1. Type **d** for Database Maintenance. Type individual password at the prompt.
2. Type **k** for Key in New Records. Type individual password.
3. Type **2** for bibliographic and item record.
4. Type **2** for key in new bib records and, type "2" for key in new item records.
5. Type **n** for check duplication?
 Type **n** for do you want to key Marc records?
 Type **n** for do you have substitution phrases:?
 Type **y** for are all options are you want them?

B. Creating Brief Bib and Item Records

1. At BRANCH prompt:
 Type **culsp** if item is ARCHIVAL COPY for SSH or BML
 Type **cul** if item is STACKS COPY for SSH
 Type **se** if item is STACKS COPY for S&E
 Type **bml** if item is STACKS COPY for BioMed
 Type **sio** if item is STACKS COPY OR ARCHIVAL COPY for

II.D.1 cont.

SIO

Type **mus** if item is STACKS COPY for MUSIC LIBRARY

Type **aal** if item is STACKS COPY for ART & ARCHITECTURE
LIBRARY (VISUAL ARTS AND THEATER THESES WITH SLIDES)

2. At **SKIP** prompt:
<Enter>
3. At **TITLE** prompt:
Type in the title as it appears on the title page. If title contains a symbol, type the word form in square brackets. Example would be [infinity]. If there are subscripts or superscripts in the title, type all numbers and letters on the same line. EXAMPLE: H2O [MOLECULAR FORMULA FOR WATER].
4. At **AUTHOR** prompt:
Last name, first, middle (or initial)
5. At **PUBLISHED** prompt:
<Enter>
6. At **EDITION** prompt:
Type year that appears on title page
7. Continue with <Enter> key until:
At "I Type" prompt:
Type **34** <Enter> for ARCHIVAL COPY (EXCEPT SIO)
Type **0** <Enter> for STACKS COPY (EXCEPT SIO)
Type **16** <Enter> for STACKS and ARCHIVAL COPY for SIO
9. At **LOCATION** prompt:
cpvd - for ARCHIVAL COPY (EXCEPT SIO)
ck - for STACKS COPY FOR SSH
ek - for STACKS COPY FOR S&E
bf1 - for STACKS COPY FOR BioMed
cmk - for STACKS COPY FOR MUSIC
ak - for STACKS COPY FOR ART & ARCHITECTURE

svd - for ARCHIVAL COPY FOR SIO
smono - for STACKS COPY FOR SIO
10. At **BC** prompt:
<Enter>
11. At **CALL #** prompt:
<Enter>

II.D.1 cont.

12. At V (VOLUME) prompt:
<Enter>
13. At NOTE prompt:
<Enter>
14. To change the status to PROCESSING in the item record
Select "19" and type **o** for ARCHIVAL COPY
Select "19" and type **i** for STACKS COPY
15. When all options have been typed in, print out item and bibliographic records for "stacks" and all "SIO" copies, and insert printouts in the corresponding envelopes. Using pencil, write either "stacks" or "archives" on the outside of each envelope as appropriate.
16. Q > QUIT
17. ADD record to data base
18. System will assign BIB and ITEM NUMBER.
 - a. Write .b_____ and .i_____ on print out.
 - b. Insert printouts in the corresponding "stacks" and "SIO" envelopes (no printout is needed for Spec Coll "Archives" copies).
19. Type **y** if you want to continue to key in more records, and **n** if you are finished.

FOR SIO DISSERTATIONS/THESES

- 19a. To create a second item record:
 - a. Before quitting and adding the record to the database, key **+** > additional options (if in bib record, type **e** to return to item)
 - b. Type **n** > New item record using old info

Key in either **spvd** (archives) or **smono** (sio)
Add **o** to status field
 - c. Print out
 - d. Type **a** > Add record to data base

record item number on printout
 - e. Quit if process completed

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