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C5.1 ISSUES ENCOUNTERED AT THE TIME OF INITIAL RECEIPT

In general, resources may be damaged or in an unacceptable state at the time they are sent to the Library, resources may be damaged in transport, or resources may be damaged by irradiation treatment. Therefore, it behooves staff who initially receive resources to be aware of these possible conditions and, under certain circumstances, determine whether replacement or other procedures should be initiated before forwarding a resource to the next processing unit.

C5.1.1 Initially Damaged or in an Unacceptable State

Examples of this condition are instances of defective and poorly constructed books with torn or loose pages, detached spines, faint or smudged printing, missing pages, upside-down pages, resources that are incomplete, i.e., the pagination does not represent the complete content, etc. In such cases refer to *Invoice Processing* at:

<http://www.loc.gov/staff/lstraining/abawkflow/acq/acq-invpaycredit/InvoiceProcessing-F.pdf>

C5.1.2 Damaged in Transport

Examples of this condition are boxes/resources observed to be damaged or to be damp.

If you find mold, suspect mold, or come across water-damaged materials, one of two courses of action needs to be taken:

- 1) if the collection materials are **WET**: call the Library's Capitol Police at 7-1000 (Yes, the police. The Capitol Police are the start of an established phone contact tree, which includes the Preservation Emergency Response Team [PERT]). Handle wet resources as little as **possible**; put them in the plastic sealable bags that have been placed in all mail room sections. Wait for a PERT member to arrive to assess the material;
- 2) if the collection materials are **DRY**: contact the Collections Care Section of the Binding and Collections Care Division. Handle the resources as little as possible to prevent potential mold spores from dispersing. Wait for a CCS staff member to arrive to assess the material.

C5.1.3 Damaged by Irradiation

Irradiation can cause plastic to melt, warp, and darken. It can cause pages to stick together, a condition called blocking. It can accelerate the deterioration of printed text and illustrations. If there is a suspicion that resources have been damaged by the irradiation process in transit to the Library, refer to *Processing Materials Damaged by Irradiation* at:

<http://www.loc.gov/staff/lstraining/abawkflow/acq/acq-recproc/ProcessingMatDamagedbyIrradiation-F.pdf>

C5.2 ISSUES ENCOUNTERED AT THE TIME OF CATALOGING

In the course of cataloging resources selected for the Library's collections, issues related to the physical condition of a resource may come to the attention of a cataloging section. It is the responsibility of the cataloging section to call such conditions to the attention of the Binding and Collections Care Division (BCCD).

C5.2.1 Communicating with BCCD

Do this by inserting a "Binding Instructions for BCCD" slip (824 (2007/08)) in the resource. Check the box preceding the appropriate condition, e.g., "**Tip-in** loose material" in the case of an errata slip. If none applies, check the "Other:" category, and briefly describe the condition to be assessed by BCCD, e.g.:

“Paper appears to be brittle.”

“Loose and tattered pages; bindable?”

Fill in all the data under the “RETURN TO:” section of the slip if appropriate. This is especially important if the situation is such that BCCD will need to return the resource to the cataloging section or will need to consult with the section.

C5.2.2 BCCD Action

The Collections Care Section of BCCD, in consultation with the Preservation Reformatting Division, will assess the collection care aspect of the resource and determine what action, if any, is needed. With respect to books, in some cases the condition of the original may be such that it calls for securing a preservation facsimile. (If the need to reformat the resource for preservation is from macroform to microform, BCCD will consult with PSD to determine the best means of having the cataloging adjusted to reflect the preservation format.)

C5.2.3 Cataloging/BCCD Interaction

The basis of the cataloging/BCCD interaction is as follows: if the preservation condition is benign, i.e., the preservation treatment does not affect the cataloging, the cataloging is completed and the resource is forwarded for BCCD’s attention. If the preservation condition is serious and may even require reformatting to a preservation facsimile, BCCD does the preservation action before cataloging is completed. Once the preservation action is completed, BCCD returns the resource to cataloging and the cataloging is then completed.

C5.2.3.1 Workflow for benign preservation condition

If the preservation condition is such that it does not affect the cataloging, e.g., presence of an errata slip to be tipped in, complete the cataloging and communicate the preservation condition to be addressed using the “**Binding Instructions for BCCD**” slip (824 (2007/08)) as described in DCM C5.2.1.

C5.2.3.2 Workflow for serious preservation condition

Serious preservation conditions are illustrated as follows:

- Cover torn and/or detached.
- Resource cannot be opened without damaging pages.
- Pages fractured or broken from the text block.
- Pages fractured or broken with loss of text or visual information.
- Pages cannot be turned without risk of loss of text information.
- Loose and tattered pages; bindable?
- Paper appears to be brittle. (See DCM C5.2.3.3 below)

Use this workflow for any of the conditions described above or for a condition about which there is doubt as to its seriousness. Assure there is an IBC representing the resource, there is an LCCN on the verso of the title page of the resource, and that there is an item barcode in the item record. Fill out a “**Binding Instructions for BCCD**” slip (824 (2007/08)) as described in DCM C5.2.1, paying especial attention to the “RETURN TO:” section. Track in field 955 of the IBC record that the resource is being sent to BCCD for preservation review (\$a [code] [date] to BCCD for preservation review). Insert the slip and a printout of the bibliographic record in the resource and send to BCCD.

BCCD will assess the preservation condition and determine the appropriate preservation action. If it can be done in BCCD, it will be done and the resource returned to the staff person named in the “RETURN TO” section of the Condition Alert slip. Complete the cataloging and forward the resource as appropriate (it does not need to be routed to BCCD, since the preservation action has already been taken).

If the resource requires reformatting, BCCD will send it for such and track that action in field 955 (\$a [code] [date] sent for reformatting). When the preservation facsimile is returned, BCCD will:

1. perform quality assurance and accept the facsimile;
2. replicate the item barcode from the item record and affix it to the facsimile;
3. **dispose of the original;**
4. **return the facsimile to the staff person named in the “RETURN TO” section of the slip.**

The cataloging section completes the cataloging. It includes in the bibliographic record a general note (500##\$a Preservation facsimile. \$5 DLC) and a public note in the holdings record 852 field (\$z Preservation facsimile)

C5.2.3.3 Possible brittle paper

Use the workflow in DCM C5.2.3.2 for resources that likely have brittle paper but annotate the Condition Alert slip at the top: Attn: Jeanne Drewes. BCCD will make the final decision. If the paper is judged to be brittle, reformatting is called for.

Usually paper is judged brittle if it cannot withstand a double fold, i.e., it breaks when subjected to a double fold. A double fold is a process of folding a paper sample first backwards and then forwards about the same line, i.e., one complete oscillation.

C5.3 ISSUES ENCOUNTERED SUBSEQUENT TO CATALOGING

C5.3.1 General

On occasion, cataloging sections receive material associated with a particular resource subsequent to its being cataloged, e.g., an errata slip or a request to substitute one or more pages that reflect corrections or revisions. In such cases the general procedure is to obtain the resource involved and refer it, along with the newly received loose material, to BCCD. The Collections Care Section will determine the best means of incorporating the loose material. If the loose material comes in a “do-it-yourself mode,” e.g., an errata slip with self-adhesive backing, do NOT attempt to make use of such a feature. Instead, refer to BCCD and let that Division make the best decision from the preservation perspective.

Specifically, obtain the resource involved. As described in DCM C5.2.1 above, use slip 824 to communicate to BCCD the condition to be addressed. If the resource involved has been charged to the section, include also an “Attention BCCD (**LM-G17**)” slip (1587 2012/08) (formerly 6-182) to request BCCD to forward the resource to CALM for discharge.

If the resource for which the loose material is associated is an issue of a serial that has not yet been bound, forward the loose material, with a note explaining its origin, to the unit that has custody of the unbound issue (consult the location code in subfield \$b of field 852 in the holdings record). If the

location code is “c-GenColl”, the custody is the Serial and Government Publications Division; send the information to: Head, Government Publication & Periodical Section (LS/SER/GP&P).

C5.3.2 Preservation facsimile

This section records the bibliographic conventions applied to a preservation facsimile required to replace a damaged copy that has already been added to the collections. The main difference from the treatment applied in DCM C5.2.3.2 is that the preservation facsimile is distinguished as such in its call number. A cataloging section may or may not be involved in this workflow.

C5.3.2.1 Guidelines for call number of the preservation facsimile

These guidelines call for retaining the call number assigned to the original and assigning a different call number to the preservation facsimile. This provides for distinguishing each manifestation one from the other and the ability to track each manifestation for inventory purposes.

- 1) Use the call number of the original and add the letter “a” with no space preceding it.

Original	Preservation facsimile
F1786 .M1537 1950	F1786 .M1537 1950a
D524 .O38	D524 .O38a
MLCS 81/00587	MLCS 81/00587a

- 2) If the call number of the original ends in a letter of the alphabet, “reclass” the resource by adding a date to the original number. For the preservation facsimile, add the letter “a” following the date.
- 3) If the damaged original is retained or there are other copies held, retain the indicators in the 050 field in the bibliographic record at “00”. If the original is not retained and there are no other copies, set the first indicator in the 050 field to “1” (Not in LC [under this number]).

C5.3.2.2 Other guidelines for the preservation facsimile

- 1) Add to the bibliographic record an 051 field indicating the resource is a preservation facsimile. Give the details of manufacture in parentheses, using square brackets to indicate supplied data, and the size:

051 ## \$a GV877 \$b .S73a \$c Preservation facsimile (Brown’s Summit North Carolina : Etherington Conservation Services, 2008. 20 cm.).

051 ## \$a MLCS 81/00587 \$c Preservation facsimile (Brown’s Summit North Carolina : Etherington Conservation Services, 2008. 20 cm.).

The statement in the 051 field may also include information about material retained from the original, e.g., “Three leaves of original plates retained, in pocket.”

- 2) Create a separate holdings and item record for the preservation facsimile with the appropriate location and new call number. The copy number will be “Copy 1” under the new call number.