HOW TO TRANSFER MATERIAL TO THE CARM CENTRE

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1. Introduction

This document contains a range of information pertaining to the transfer of CARM Centre Consortium materials to the CARM Centre repository. It includes procedures and technical details.

The contributing library may opt for in-house processing or may outsource the processing to CAVAL.

When the processing is done by the contributing library, bibliographic and holdings data need to be sent to CAVAL for loading into the CARM Centre database (Aleph). The OPAC is at http://carm.caval.edu.au. General information about the CARM Centre can be found at http://www.caval.edu.au. Z39.50 connection details can be found at http://www.caval.edu.au/carm-Z3950.html.

Alternative record transfer options can be developed to suit individual requirements of the member libraries. Libraries should contact the CARM Centre Manager to discuss their requirements.

Included in this document are two options, both requiring transfer of records in MARC format. Further options, such as transfer of holdings in non-MARC-format, are under investigation.
2. Matters for consideration before sending items to the CARM Centre

Matters for consideration

• For policy issues please see the CARM Centre policy manual document available on the CAVAL website under Professional Services/Storage Solutions – CARM Procedures

http://www.caval.edu.au/carm

• Decide whether the institution will be keeping location/holdings records in their own local system, or whether all such records will be deleted

• The CARM Centre is a last copy repository – i.e. there will be only one copy of any item in the Centre

• Decide how to deal with the various “problem” categories that will inevitably eventuate. These are:
  • Duplicate copies - discard or return
  • No bibliographic record in Libraries Australia – need to create a new minimal level record in Libraries Australia and the CARM database

• Decide whether to do the processing in-house or whether to outsource to CAVAL. The CARM Centre Manager at CAVAL will provide a quotation on request

Information required by CAVAL if work is outsourced to CAVAL

• What to do with duplicates

• What to do with “problems” e.g. return them to library, set aside or authorise CAVAL to solve them

• Serials should be transported so that title runs stay together

What does the transfer process achieve?

• Adds a holding to the CARM Centre bibliographic database

• Adds a holding to Libraries Australia for VCARM. Serial holdings will include a summary holdings statement for volumes held at the CARM Centre

• Adds barcodes to the CARM Centre bibliographic database which are transferred to the CARM Centre tracking system automatically, thus enabling items to be located in the repository
• The transfer process does not include work done in local systems

Arranging transfer

• The CARM Centre Manager should be notified when an institution is planning to send material to the CARM Centre

• If external contract moving companies are required to transfer the material, either CAVAL or the contributing institution will negotiate the moving contract. If CAVAL negotiates the contract the cost will be charged to CAVAL and then invoiced by CAVAL to the institution. Moving dates will be negotiated between the mover, CAVAL and the contributing institution

• There are separate procedures for transferring material dependent upon CAVAL contracting to place the material into trays and transfer the holdings records

• Items shipped to the CARM Centre should be clean and free from dirt and dust. Should CARM staff believe that vacuuming of the items is required, the cost of this will be charged to the depositing library
3. Procedures required when material is packed and records transferred by contributing library

Orientation

- The CARM Centre Manager will arrange for CAVAL staff to demonstrate to the contributing library staff the various procedures required in packing material and transferring records

Ordering Trays

- Trays should be requested from the CARM Centre Manager at the CARM Centre
- The trays are available in 5 sizes (A, B, C, E & F). The dimensions (internal) are:
  
  A: 13.2 cm (W), 42.5 cm (L), 14.2 cm (H)
  B: 15.5 cm (W), 42.5 cm (L), 16.5 cm (H)
  C: 18.4 cm (W), 42.5 cm (L), 19.4 cm (H)
  E: 28.2 cm (W), 27.5 cm (L), 28.9 cm (H)
  F: 22.2 cm (W), 20.5 cm (L), 23.0 cm (H)

- Trays will be sent to the contributing library in bundles of 25 for each size
- Trays may either be picked up at the CARM Centre or delivered to the contributing library via courier. The contributing library will be required to pay the courier costs

It is important when ordering trays that the contributing library notify the CARM Centre of the type of material being transferred, so that we can assist in determining the number and size of the trays required

Folding trays

- The person in charge of the transfer program from the contributing library will be instructed in the procedure for folding trays as part of the CAVAL orientation package for transfer of material to CARM

Sizing items in tray

- The books are placed in the trays with the spine facing the front lower edge of the tray
- Place items in tray, grouping similar sizes together facing the front of tray for A, B, & C trays, facing backwards for E & F trays
- Very thin books are to be placed in the front of the tray
- Tray size e.g. A, B, C etc. is printed on the front of the tray
• Trays must be filled to capacity, but not too tight. As material is not shelved in Dewey or any other classification order it is not necessary to keep books in any order and a tray must contain material of the same size rather than the same classification

• **NB: only one copy of each title may be sent (No multiple copies)**

  ➢ Example of an over packed tray, an under packed tray & an item that is the incorrect height for tray
➢ Example of correctly packed trays

![Example of correctly packed trays](image-url)
Barcoding procedures

- CARM Centre book barcodes will be issued to the contributing library with the trays. There is only one sequence of barcodes for all items housed in the CARM Centre. To assist in the statistical control of material from member libraries, barcodes will be issued in batches, normally of one thousand.

- **Barcodes are to be placed on items after each tray is filled to capacity**

  - Barcodes are placed vertically at the top of the spine
  
  - Barcodes read upward with CAVAL Limited on the left and the number on the right
  
  - Very thin books or rebound books to which the barcode will not stick should have the barcode placed vertically on the front cover of the book as close to the top and front of the spine as possible
➢ Barcode number must be legible on spine
For items in A, B or C trays, if spine is too small, put barcode on cover, top left hand corner, otherwise place barcode on top right hand corner on back cover for items in E or F trays.

**Placement of barcode on oversized items**

Oversized items are materials that will not fit into the CARM trays. These items will need to be shipped and packed separately in appropriately sized packaging, making sure the boxes are not heavier than 15 kilograms.

Barcode placement depends on size of the item and how it will fit on the CARM shelf.
CARM shelf dimensions are:

- If height of book is more than 45 cm, or the width of the oversized book is larger than its height, place the barcode on the spine.
If height of book is less than 45 cm, barcode is placed on bottom right hand corner of cover

**Tray barcodes**

- Tray barcodes will be applied by CAVAL staff at the CARM Centre upon receipt of material. All items in the tray will then be tracked to the tray. The trays will then be placed on the shelves and the trays tracked to the shelf

**Record transfer procedures**

- See Specifications for MARC record transfer to the CARM database
Shipping procedures

- Material will be shipped to the CARM Centre in trays. CAVAL will be notified of shipment dates and times in advance. If possible shipments will be made in batches of 5,000 or less, ideally smaller transfers are preferred as CAVAL staff are required to track the books to the trays and the trays to the shelves. Until this is completed the items cannot be tracked for retrieval.

Trolleys

- CARM Centre moving trolleys are available for the shipment of trays.
4. Procedures required when material is packed and records transferred at CAVAL

Transfer of materials

- Material will be transferred to the CARM Centre in moving trolleys. To avoid double handling loads of 5,000 items at a time are preferable. This eliminates double handling in the CARM Centre and prevents long periods of inaccessibility to materials during processing.

- Monographs may be shipped in any order; there is no necessity to keep the material in shelf number order. No monograph material will be available for loan from the CARM Centre during processing.

- Serial titles should be transferred in shelf order. A list of serials should be sent if possible with the consignment.

Processing of materials

- All sorting, boxing and barcoding of material and the transfer of records will be carried out by CAVAL staff using procedures outlined in CAVAL in-house procedures.
5. Specifications for MARC record transfer to the CARM Database

In line with the recommendations and outcomes of the CARM Deposit Processes Workshop held at CAVAL on the 17th of April 2002, CAVAL and Ex Libris staff have developed procedures for automated transfer of bibliographic files into Aleph.

The following information outlines the required MARC record data elements needed to load bibliographic records into Aleph with embedded CARM holdings information.

Monograph and serial bibliographic records will need to be sent in separate files.

We recommend that libraries initially test loading procedures for monographs using a test file of 5-10 monograph records with holdings information in the formats described below. When this test sample is successfully loaded, the production processes can be set up.

It is important that files sent to CARM have been checked by the contributing library for adherence to the requirements described below.

MARC BIBLIOGRAPHIC RECORD LENGTH

- Record length: max. 40,000 characters
- Field length: max. 2,000 characters
- Subfield length for detailed serial holdings information: max. 198 characters

REQUIRED FIELD FOR BIBLIOGRAPHIC RECORD MATCHING

Preferably all bibliographic records received will have a Libraries Australia system number (PPN number) in MARC tag 0191#.

Alternatively:

- Non-Libraries Australia records to be sent and loaded to the CARM database, will have appropriate bibliographic record standards and the CARM database checked
- Library sending the file will alert CAVAL about non-Libraries Australia records
- If major duplication problems occur these will be brought back to the Committee
- Duplication resolution charges could be charged back to the sending library
REQUIRED FIELDS FOR HOLDINGS DATA

MARC tag 984 will be used for all holdings data in both monograph and serial record formats. To avoid possible conflict, only subfield codes not defined for use in the Libraries Australia system are used (exception: subfield $a VCARM).

• MONOGRAPHS

Leader position 8 must be ‘m’
One 984 field for each barcode in the following format

984  $a = ‘VCARM’  Aleph Item record sub-library
     $u = 7-digit CARM barcode  Aleph Item record barcode
     $t = ‘BOOK’  Aleph Item record item material type
     $v = vol. no.  Aleph Item record description

Example 1 (single volume monograph)

984 $aVCARM$u0011951$tBOOK

[NB $v subfield not required]

Example 2 (multi-volume monograph)

984 $aVCARM$u0011951$tBOOK$vv. 1
984 $aVCARM$u0011952$tBOOK$vv. 2

• SERIALS

Leader position 8 must be ‘s’
One 984 field for each barcode in the following format:

984  $a = ‘VCARM’  Aleph Item record sub-library
     $u = 7-digit CARM barcode  Aleph Holdings record 852 $b subfield
     $t = ‘ISSUE’  Aleph Item record item material type
     $v = detailed holdings  Aleph Item record description
     $s = summary holdings  Aleph Holdings record 866 $a subfield

Example:

984 $aVCARM$u0082003$tISSUE$v51:3-82:12 $s23:1-82:12 Inc.

Do not exceed 198 characters in subfield $v. Try to make holdings statement (numeric and chronological designation) as concise as possible (see format examples below). Use another barcode (984 MARC tag) for additional volume information.
Use same volume numbering format for summary holdings statement as for detailed holdings.
NB: Do not include introductory phrases such as “Detailed holdings:” or “Summary holdings:”

**Format for holdings:**

Example 1 (Volume no., issue no. (year))

1:2(yyyy:mm:dd),2:4(yyyy:mm:dd),2:6(yyyy:mm:dd)-5:4(yyyy:mm:dd)

   e.g. 40:1(1914:01:03) i.e. Volume 40, no.1 Jan 3rd 1914

, = gap for missing issues
; = unpublished gap

Example 2 (year only)

1991-1995

Example 3 (mid-year to mid-year as in annual reports)


Example 4 (Serials with series numbering)


If issues are designated by statements such as Spring, abbreviate to first three letters except in the case of Fall which is input complete.

If the items you are processing are not covered by the above examples, it is up to the cataloguer to devise an appropriate statement which is as concise as possible. The aim is to describe exactly what volumes have been assigned to that barcode.

For summary holdings statements, include Inc. at end of statement if holdings are incomplete. The purpose of the summary holdings statement is to describe the full range of volumes in the CARM Centre. Where possible follow the above formats, but if your title does not easily fit this it is up to the cataloguer to devise a meaningful statement as concisely as possible.

Indexes should be ignored, except in the case of cumulative indexes which will probably have a separate record.
• ADDITIONAL SUBFIELDS – For discussion
  $j$ = condition status (i.e. “poor condition”)

• TWO OR MORE TITLES BOUND TOGETHER IN ONE VOLUME

When two or more individual monograph titles or issues of two or more serial titles are bound together in one volume, catalogue each title separately.
In each bibliographic record add a 500 note with introductory phrase “Bound with:” followed by the title of the other work, e.g.

500 $a$Bound with: Fossil vertebrates from the Alachua clays in Florida.

Assign a separate barcode for each title.
Attach all barcodes to the spine.

FILE TRANSFER DETAILS

Files of MARC records in the required format should be sent to CAVAL using FTP. Please contact CAVAL for a user ID/password and instructions and notify CAVAL via email when a file or files have been transferred.

Please specify character encoding used in the files output from your local system.

The Aleph system has a powerful mechanism that enables stripping of any local MARC fields that may be present in the files. If the contributing library is unable to strip fields, supply details of any such fields to CAVAL before the commencement of file transfers.

Error reports will be forwarded to the contributing library after the load into Aleph has been completed.

The 984 tag(s) carrying the holdings information will be retained in the bibliographic record.

An Aleph specific field (CAT) will be added to the bib. record with the sending institution’s NUC symbol in the $a$ subfield.

The item processing status will be ‘CT’ (Cataloguing) until the bibliographic and barcode information has been loaded into the Tracking system, and then changed to ‘IN’ (In the CARM Centre).

In case of a bibliographic record match, the incoming record will not overlay the Aleph record and only the 984 tags will be appended to the record.

Procedures for instances when the overlay of existing Aleph records would be desirable in order to maintain the quality of the CARM database may be considered at a later stage.

It is presumed that the contributing library adds holdings for CARM in Libraries Australia before the files are sent to CAVAL. Should this not be the case, CAVAL staff must be notified when the files are sent to CAVAL.
To add holdings for CARM in Libraries Australia:

- Check the CARM Centre catalogue (Web OPAC) at http://carm.caval.edu.au to establish whether a copy is already being held at the Centre; or

- Check the CARM Centre catalogue (Z39.50) – connection details can be found at http://www.caval.edu.au/carm-Z3950.html.

- If no copy is held at CARM, add holdings in Libraries Australia either via Libraries Australia Web Search (http://librariesaustralia.nla.gov.au/apps/kss/) or the Libraries Australia Client: username: VCARMC7 (contact CAVAL for password)

**Holdings format:**

Monographs: 850 $aVCARM$cHeld

Serials: 850 $aVCARM$cHeld$eVol.24-v.46, no.5$g1971-1993$hInc.

When adding volumes to existing CARM serial holdings in Libraries Australia, change the summary holdings statement to reflect the new holdings.

- Saving the holdings statement will add CARM holdings in Libraries Australia. Note that this action will NOT flag a record for the next RES download file.
6. MARC record transfer of monographs to the CARM Database using Libraries Australia RES (Record Export Service)

The following procedures apply when monographs being sent to the CARM Centre are packed and processed in-house, by the contributing library.

**This workflow is only suitable for the transfer of monograph MARC records.** Note that this excludes the transfer of multi-volume monographs. It is possible to include volume information, but only for one barcode/volume number. (See examples below.)

- Check the CARM Centre catalogue (Web OPAC) at [http://carm.caval.edu.au](http://carm.caval.edu.au) to establish whether a copy is already being held at the Centre; or


**Holdings format:**

850 $aVCARM$c<0293351>

or

850 $aVCARM$cv.3 <0294582>

where the CARM Centre barcode (7-digits) is enclosed within angled brackets

- When adding holdings via Libraries Australia Web Search, add the CARM Centre barcode in the "Call no." field (see screenshot on next page)
• Saving the holdings statement will add CARM holdings in Libraries Australia and flag a MARC record for the next RES download file

• Files will be collected from the Libraries Australia Administration Module (http://librariesaustralia.nla.gov.au/apps/laadmim) weekly

• If this is done by the contributing library, username/password will be provided

• The library can either send the files to CAVAL as email attachments, or via FTP protocol (contact CAVAL for a user ID/password and instructions and notify CAVAL via email when a file or files have been transferred)

• Alternatively, the library can notify CAVAL when RES files have been created and CAVAL staff will collect the files from the Libraries Australia Administration Module

• Please note the RES files must be collected from the Libraries Australia Administration Module in 21 days, therefore it is very important that CAVAL staff are notified that CARM holdings have been added to records in Libraries Australia

• CAVAL staff will load the files into the CARM database, generate item records from the holdings information embedded in the bibliographic records and notify the sending library of any errors

• It is the responsibility of the contributing library to arrange the transfer of materials to the CARM Centre as close to the file transfer as possible
7. Bibliographic description standards

Bibliographic records contributed to the CARM Consortium collection should comply with the Libraries Australia minimum level record standard described at


Diacritics:

Note that the Aleph system is fully UNICODE compliant and as such supports an extensive range of diacritics. Bibliographic records created in Aleph (with the exception of old records converted from Dynix in 2002) include all diacritics used in Libraries Australia.