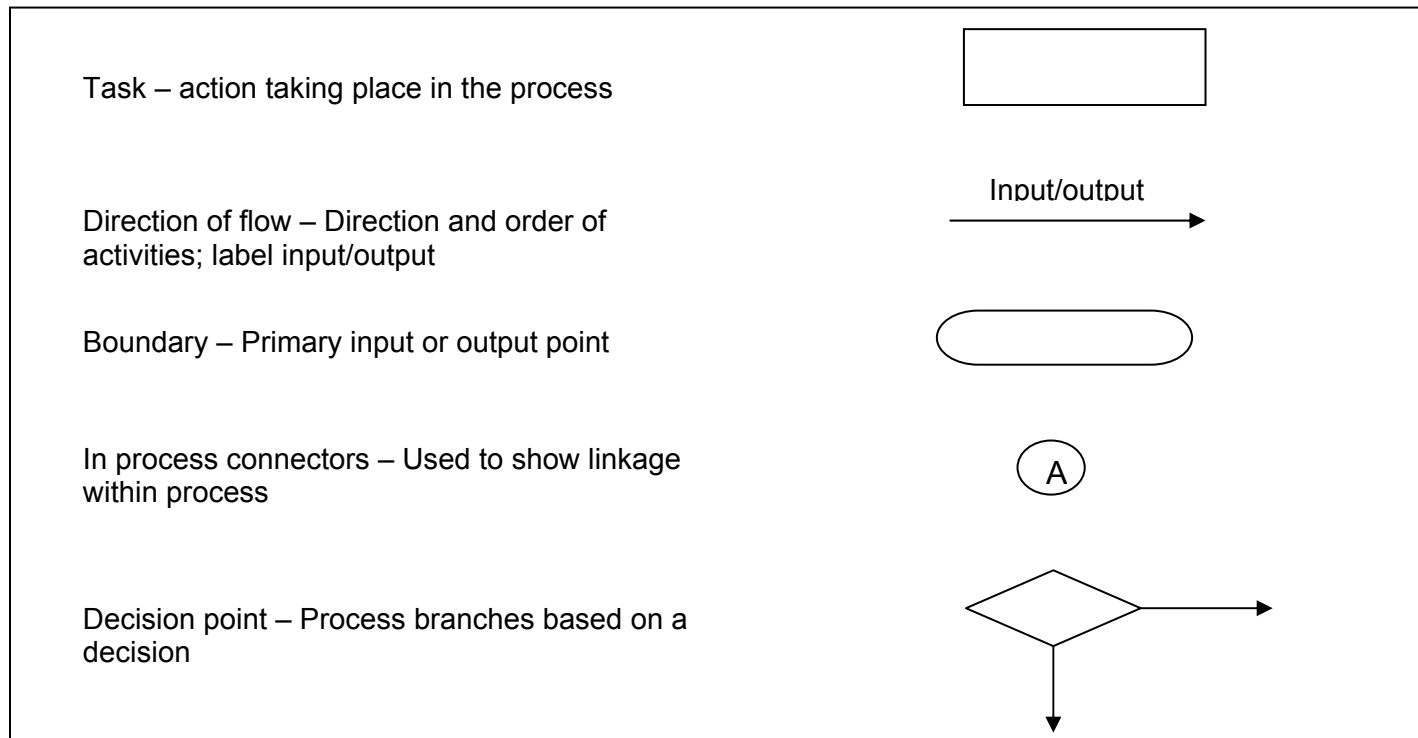


7 Recommended Selection Processes

The JIG drafted high-level maps for the recommended selection process for monographs and special formats reviewed in CO. Narrative explanations of the workflows

precede the maps. Figure 3 describes the symbols used in the flowcharts.

Figure 1: Process flowchart key



7.1 408 monographs submitted for claim registration

In the recommended workflow, the Receive Mail (RM) staff will receive monograph deposits. RM staff will scan applications and create an initial record in the CO system. RM staff will then send both deposit copies to RC. RC staff will examine and determine whether the material is routine and if they can make a selection decision. If they can make a selection decision, they record it, slip the deposit, register the claim, and forward it for CO cataloging.

If RC staff cannot make the selection decision, they will set aside both deposit copies for review by the ACQ SO. The ACQ SO will review non-routine material in RC on a daily basis, and search questionable deposits at an ILS workstation. The ACQ SO will make a selection decision and slip the deposit. RC staff will retrieve deposits from the ACQ SO to complete the selection field of the record, register the claim, and forward the deposits for CO cataloging.

RC staff will catalog the work, completing the CO record. RC staff will then forward selected deposits and non-selected deposits with CIP data to the CIP Division in LS¹. One copy of “do not acquire” deposits, and the remaining copy of “acquire one deposits, will be forwarded by RC staff to DCSU. Deposits arriving in CIP will contain a slip indicating the selection decision, cataloging priority, number of copies to retain, and

the assignment. Additionally, the slip will note whether a copy of the work has been sent to DCSU.

The presence of “1111” in a record indicates that a third copy, or the CIP Division deposit copy, has arrived at the Library. CIP staff will search for a record to determine if the record is “1111’d”.

If the record is “1111’d” and a third copy has been forwarded to LS, CIP Division staff will review and apply the CO selection decision as follows:

- “Do not acquire:” CIP Division staff will forward the copy in hand to the exchange program.
- “Acquire one:” LS has received the desired copy. CIP Division staff will forward the copy in hand to the exchange program.
- “Acquire two:” LS has received one of the two copies requested for the collection. CIP Division staff will forward one copy to LS cataloging for verification, and the second copy to the exchange program.

If the record is “1111’d” and the third copy (the CIP Division deposit copy) has not been forwarded to LS, CIP Division staff will review and apply the CO selection decision as follows:

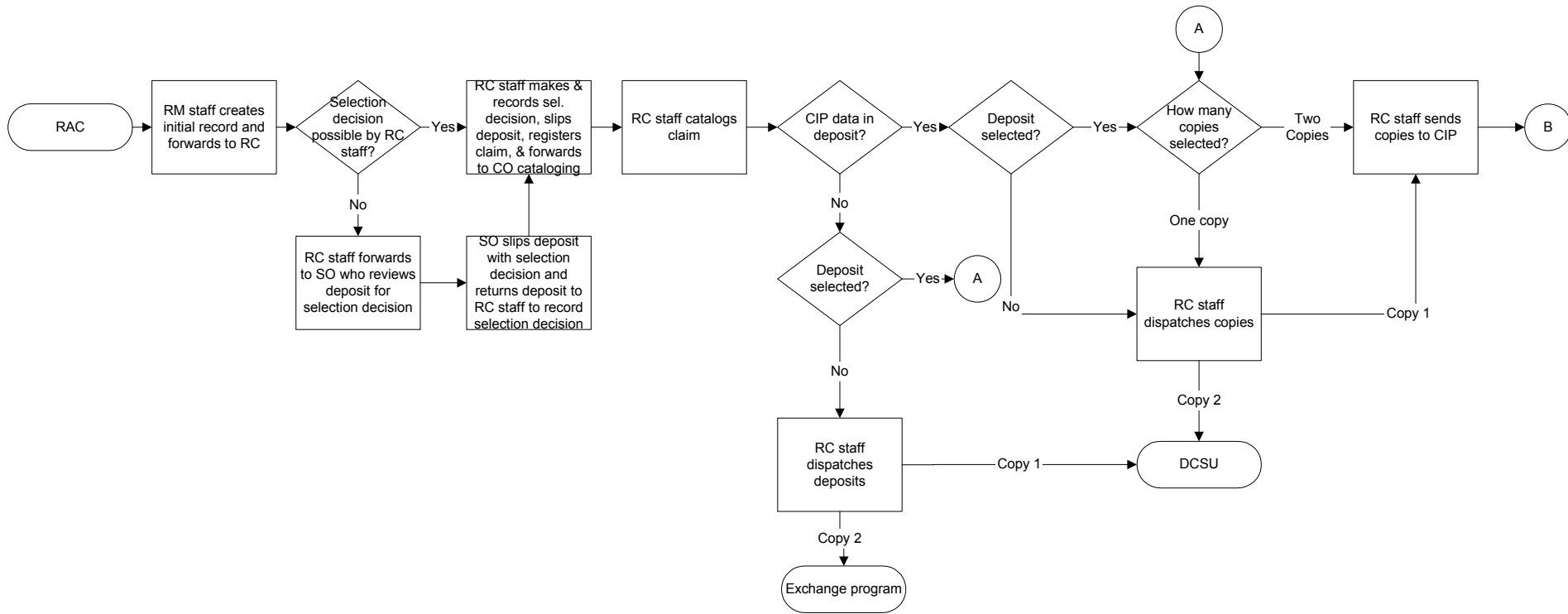
- “Do not acquire:” The CO deposit copy will be sent to the exchange program.
- “Acquire one:” CIP Division staff will apply the selection decision and forward the one CO copy in-hand to LS cataloging for verification.
- “Acquire two:” CIP Division staff will apply the selection decision and forward both copies to LS cataloging for verification.

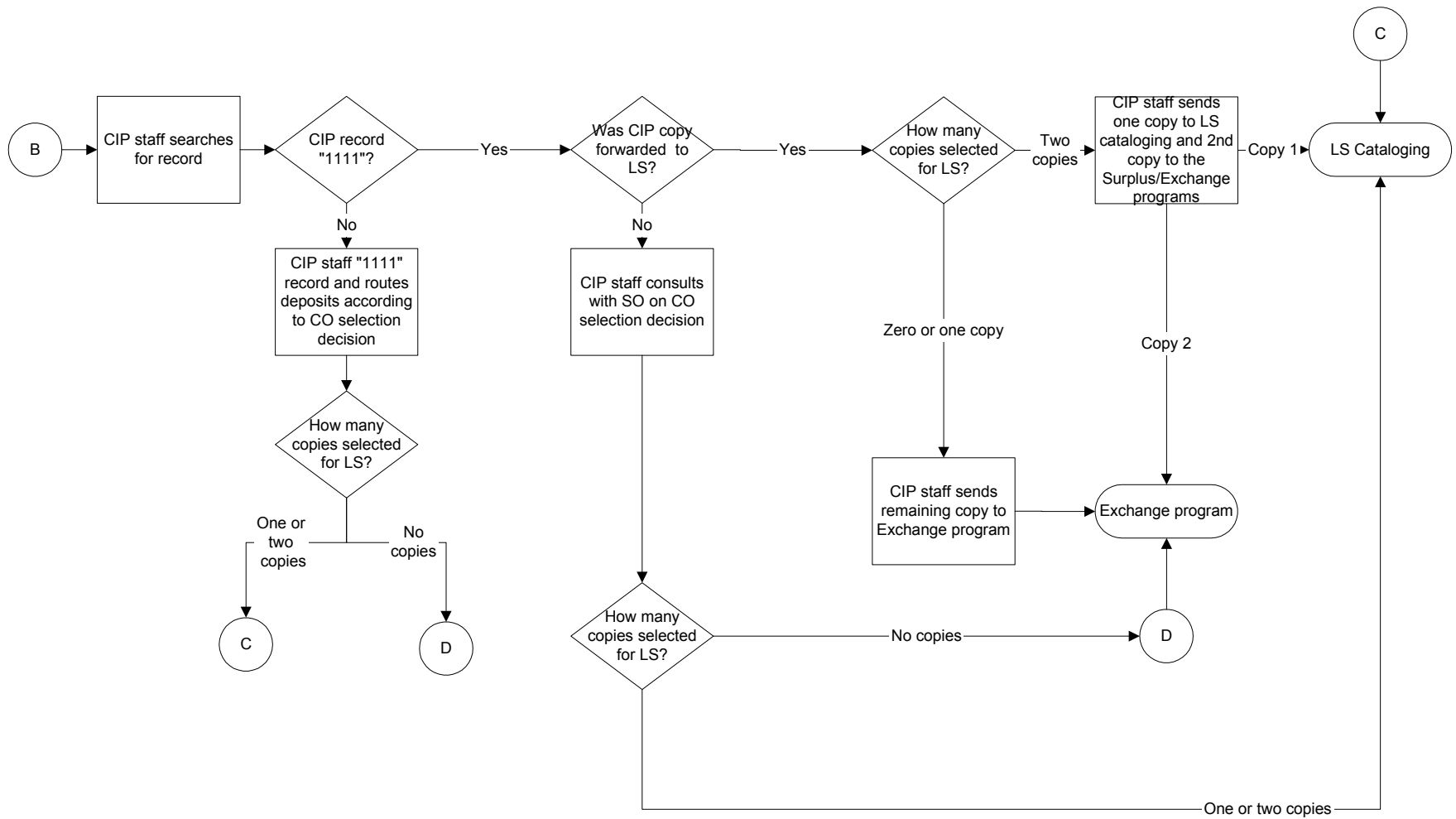
¹ The CIP Division is charged with providing some LC cataloging information. Additionally CIP assigns a Library of Congress Control Numbers (LCCN) to those publications for which the publisher has requested an LCCN for printing in the pre-assigned card number (PCN). Publishers are asked to submit a final copy of the work when published. Items with unverified CIP data, even though not retained for the Library’s collection must also proceed to CIP for verification.

If the selection decision on the third copy and that from CO differ, the ACQ SO should review for final selection decision. CIP staff will forward deposits according to the process just described above.

Figure 4 depicts the recommended workflow for 408 monograph process.

Figure 2: 408 monographs process flow





7.2 Demanded monograph deposits

CO law requires remitters to send two copies of published works to CO, regardless of whether the 408 registration is requested. Demanded deposits are usually items LC wants for the collection that were not submitted in compliance with section 407 of CO law. An individual or company, who receives a demand request to submit their deposit to the collection has the option to register the claim on the deposit as well. Once a deposit is submitted for claim registration, even as a result of a demand, it is considered a 408 deposit.²

RM staff will scan paperwork accompanying the demanded deposits as well as any materials submitted for claim registration, and use it to create an initial record of deposit. RM staff will forward demanded deposits to CAD upon receipt. The acquisition specialist that demanded the deposit will check-in the deposit, make a selection decision, and slip the deposit. If necessary, the acquisition specialist may confer with the RO on the selection decision. CAD staff will update the bibliographic record and create holdings and item records. If the remitter requests 408 registration, the CAD technician will send the deposit to RC.

If the remitter does not seek registration for the work, CAD staff will review the deposit for CIP data and determine if copy in hand is the best edition. If the deposit contains CIP data, and is the first copy in the workflow, the CAD staff will forward the deposit to the CIP Division for verification. If the deposit does not contain CIP data or the CIP data has already been

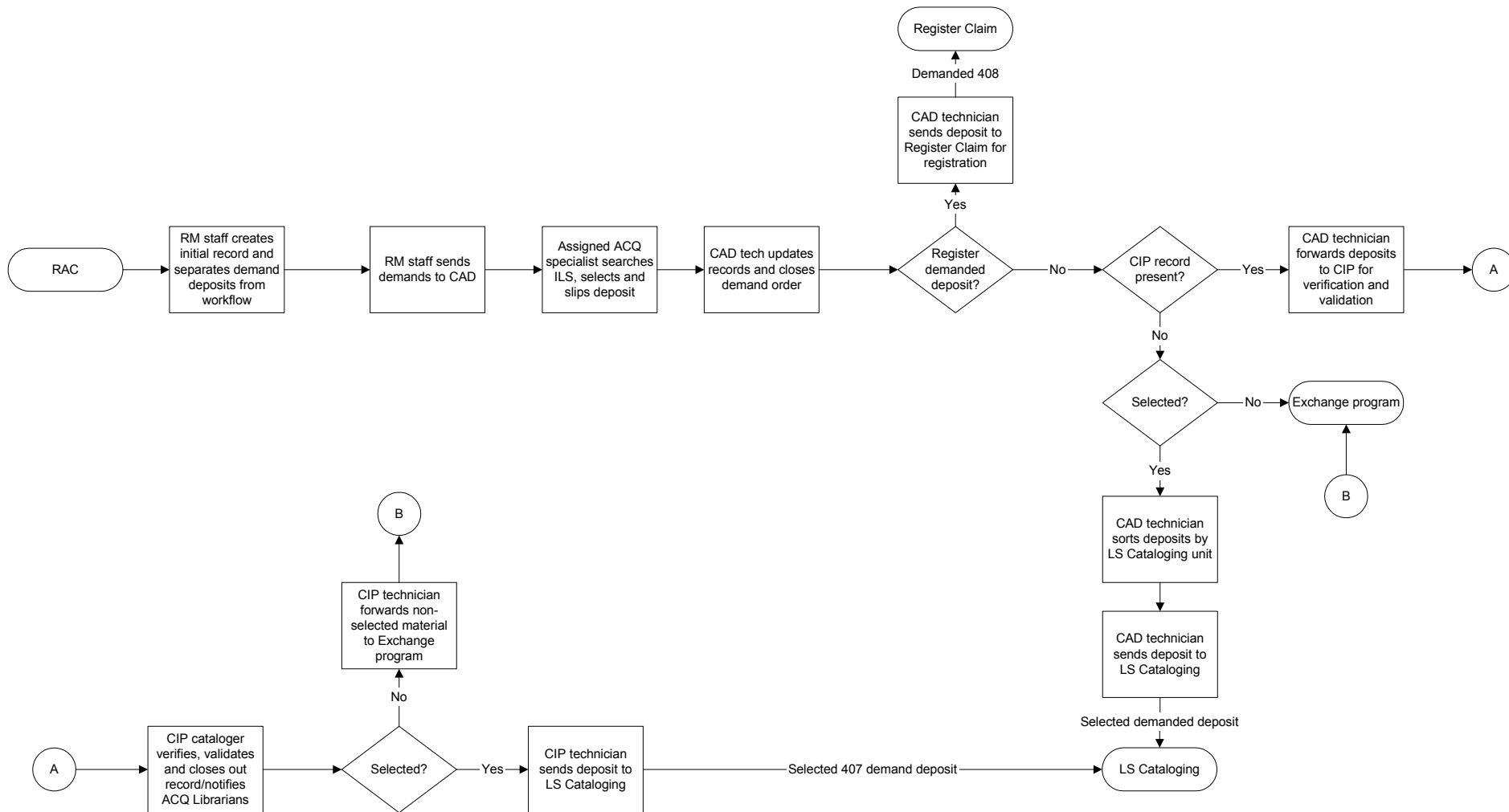
verified, the CAD technician will send the deposit to LS via CIP Division, to complete cataloging.

The CIP Division will “1111” the record and validate all first copies to enter the workflow with CIP data. If LC desires copies of the deposit, the CIP Division will send the appropriate number of copies to LS cataloging. If the selection decision is “do not acquire,” the CIP Division technician will forward the deposit to a CIP Division cataloger to close the record. The CIP Division sends unselected deposits to the exchange program.

Figure 5 depicts the recommended workflow for 407/408 demanded monograph deposits.

² CO law requires publishers (individuals and companies) remitters to submit two copies of domestic publications to CO in fulfillment of 407 CO law. However, 408 registration of the work is not required. Demanded deposits are domestic publications that LC wants for the collection, for which CAD writes and demands from the appropriate entity (generally the publisher or copyright owner), those titles not submitted in compliance with section 407 of CO law.

Figure 5: 407/408 demanded monograph deposits process



7.3 407 voluntary deposits

RM staff will scan all paperwork accompanying the voluntary deposits³ and use it to create an initial record of deposit. RM staff will forward all voluntary deposits, except serial deposits, to CAD for processing. CAD staff will make all selection decisions for routine monographs, consulting ACQ SOs as necessary. Due to the nature of 407 deposits and the skill of CAD Acquisition Specialists, we expect that a much higher percentage (90-95%) of 407 deposits will be deemed to be routine rather than the lower percentage (50-75%) anticipated to be routine with 408 deposits. For special format deposits, CAD will select routine deposits according to criteria established by the appropriate custodial division. Non-routine material must be selected by SOs from the appropriate special format custodial divisions.

CAD will send selected deposits to the special format custodial division for a final selection decision and further processing. Refer to the specific special format summaries within this section for specific processes for de-selected special format deposits.

CAD staff will search and create records for monograph titles in the ILS. CAD staff will look for CIP data and search for an existing CIP record. If CAD staff members do not find a record, they will search other databases such as OCLC. If an appropriate record is found, CAD staff will import the record, if appropriate, into ILS. If a record is not found, they will create an Initial Bibliographic Record (IBC). CAD staff will then create holdings and item records and record the selection decision.

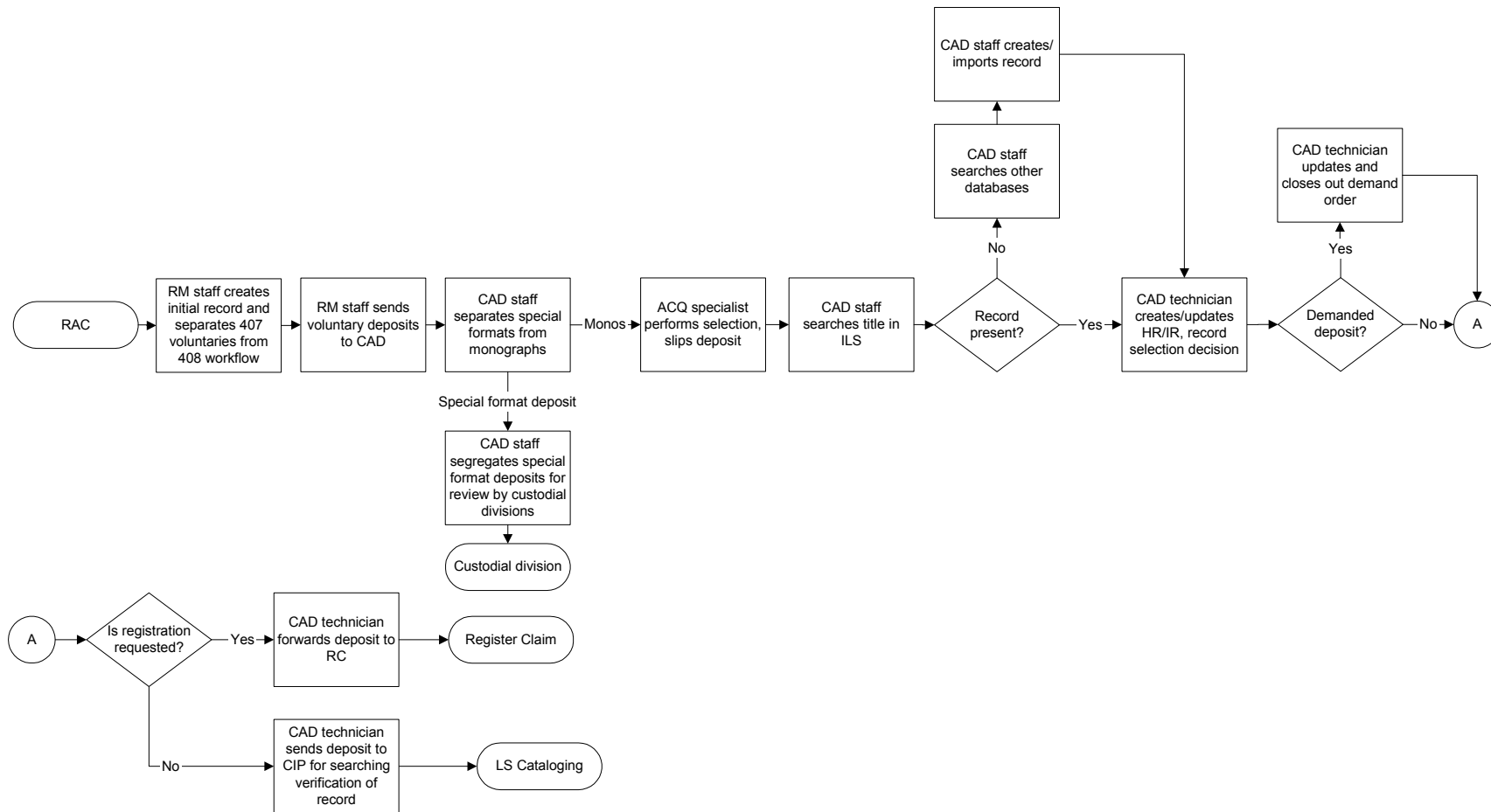
Some demanded material may be unavoidably found with voluntary deposits. If the deposit is demanded, CAD staff update and close out the demand order. Next, if claim

registration is requested, the work is forwarded to the Register Claim area. If claim registration is not requested, the deposit is forwarded to CIP for searching and verification of the record.

Figure 6 depicts the recommended workflow for 407 voluntary deposits.

³ Voluntary deposits are deposits individuals or companies submit in compliance with the CO law.

Figure 6: 407 voluntary deposits process flow



7.4 Serial deposits

Serials are a unique format. They are time sensitive, recurring, and their detailed publication information can change. Approximately 95 percent of the serials LC receives through CO are recurring. As such, the Serial SO only needs to review the remaining five percent that are new serial titles and those with title changes.

The Serial SO will need to review all new serial titles and serials undergoing title changes in conjunction with a RO, as needed. For recurring serial titles submitted for 408 registration, RC staff will search the ILS for the existing selection decision, record receipt of the issue and slip the deposit accordingly. The primary change the JIG recommends

for new serials and serials with title changes is that the Serial SO will come to the location where serials are processed to make selection decisions rather than have the serials sent to the Serial SO. Appropriate space with ILS workstation must be available in the CO processing area for Serial SO use. In addition, the JIG recommends that the LS selection decision be recorded in the CO database so that it is accessible.

The Selection JIG will include a process map for the recommended serial process when the Serials Processing JIG completes their recommendations.

7.5 Music deposits

The JIG recommended selection procedures for 407 and 408 deposits as outlined below.

407 deposits

RM staff will scan all paperwork with receipts, accompanying voluntary and demanded deposits and materials submitted for claim registration and use it to create an initial record of deposit. RM staff will forward 407 voluntary and demanded music deposits to CAD.

407 demanded deposits

The CAD acquisition specialist who originated the demand will apply the selection guidelines, consult with the RO if necessary, slip the deposit, and close out the demand order. A CAD technician will update the bibliographic record with the selection decision and create the item and holdings records and close out the demand order.

If claim registration is requested, CAD staff forward the deposit to Register Claim for the deposit to complete processing (see 408 deposits). If claim registration is not requested and the work is not selected, the deposits will be forwarded to the exchange program. If claim registration is not requested and the selection decision is to “acquire,” the deposits will be forwarded to SMCD for cataloging.

407 voluntary deposits

RM staff will receive voluntary deposits and forward them to CAD for review. CAD staff will create a record in the ILS for the deposit and will review it for selection. CAD staff will select and de-select deposits based upon established criteria. CAD staff will input the selection decision in the record. The technician will forward selected deposit to the custodial division and non-selected deposits to the exchange program.

408 deposits⁴

In the recommended workflow, RM staff will receive CO deposits. RM staff will scan applications and create an initial record in the CO system. RM staff will then send both deposit copies to RC. RC staff will examine the material and make a selection decision. RC staff will record the selection decision, slip the deposit, register the claim, and forward it for CO Cataloging. RC staff will catalog the work, completing the CO record.

If the deposit is not selected for the collection, one copy will be sent to DCSU and the second copy will be forwarded to the exchange program.

If the deposit is selected, and needs further cataloging, and the selection decision is:

- “Acquire one.” RC staff will forward one copy to the Special Materials Cataloging Division (SMCD) for cataloging and the second copy to DCSU.
- “Acquire two.” RC staff forward both copies to SMCD for cataloging.

If the deposit is selected and does not need further cataloging, and the selection decision is:

- “Acquire one.” RC staff forward one copy to DCSU, and one copy to the Custodial Division to be cataloged by registration number.

⁴ The Music Division made several changes and improvements to their current process during the JIG’s review: (1) Lyrics denoted as published on the CO application that are not commercial publications now proceed directly to DCSU. They are no longer selected. (2)SOs now review deposits in CO instead of waiting for deposits to arrive in the custodial division

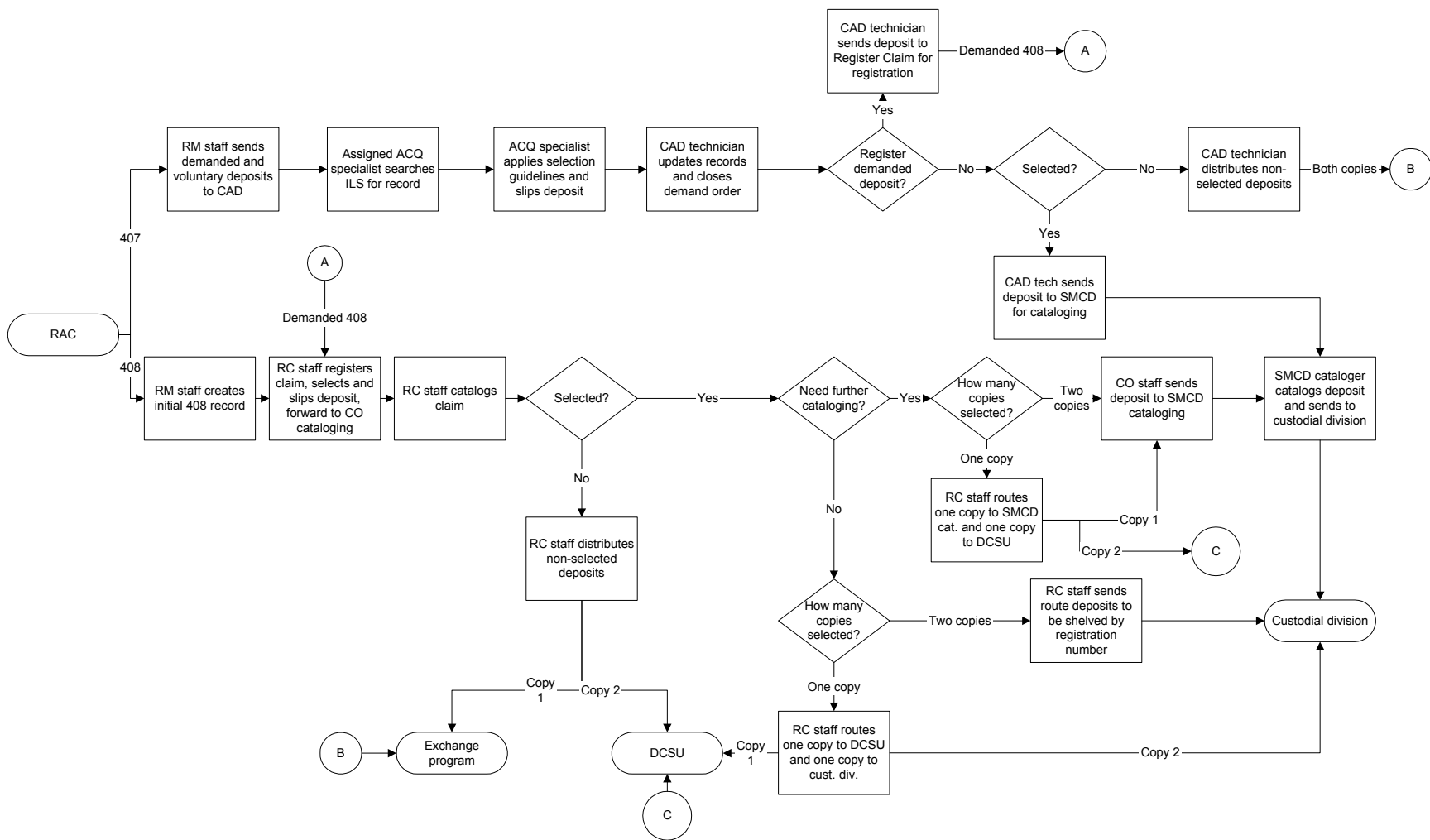
- “Acquire two.” RC staff forward both copies to the Custodial Division to be cataloged by registration number.

If the deposit is not selected, RC staff forward one copy to DCSU and one copy to the exchange program.

Deposits sent to SMCD Cataloging, will be cataloged and forwarded to the Custodial Division.

Figure 9 depicts the recommended workflow for music deposits.

Figure 9: Music process flow



7.6 Geographic and cartographic deposits

LC considers geography and cartography deposits to be special formats. Cartographic materials are defined as maps, relief maps, atlases, etc. According to the G&M SO, most material received in this custodial division comes from government publications and only five percent of deposits enter through CO.

407 demanded/voluntary deposits

RM staff will scan all paperwork accompanying voluntary and demanded deposits and materials submitted for registration and use it to create an initial record of deposit. RM will send both voluntary and demanded geographic and cartographic deposits to CAD for processing.

If the item was demanded, it will be assigned to the Acquisition Specialist who initialed the demand. The specialist will review the deposit for retention against the guidelines established by the G&M Division. The specialist will update the record with the selection decision. If the item was not demanded, it will be reviewed for de-selection according to the criteria established by G&M. A CAD technician will create holdings and items records, close the demand order, and forward selected items to G&M.

The CAD technician will forward the deposit to RC when registration is requested. If the remitter does not request claim registration, the technician will forward the deposit to the G&M Division. The G&M cataloger will confirm or change the default selection decision in consultation with RO, if necessary.

If LS only wants one of the two copies submitted for the collection, RC will forward selected copies to the custodial division and excess copies or non-selected demand/voluntary deposits to the Exchange program.

408 deposits

In the recommended workflow, RM staff will receive deposits. RM staff will scan applications and create an initial record in the CO system. RC staff will examine and determine whether the material is routine (see Appendix E for G&M guidelines) and if they can make a selection decision. If they can make a selection decision, they record it, slip the deposit, register the claim, and forward it for CO Cataloging.

If they cannot make a selection decision, RC staff will set aside both deposit copies for review by the G&M SO. The G&M SO will review non-routine material in RC on a regular basis, and search questionable deposits at an ILS workstation. The SO will make a selection decision and slip the deposit. All deposits will receive a selection decision by the time they leave CO. RC staff will retrieve deposits from the G&M SO to complete the selection field of the record, register the claim, and forward the deposit for CO Cataloging.

RC staff will catalog the work, completing the CO record. RC staff will process selected deposits similarly to demand and voluntary deposits. CO will retain one copy of the deposits de-selected in CO and send them to DCSU.

Figure 10 depicts the recommended workflow for geographic and cartographic deposits.

7.7 Print, photograph, and poster deposits

RM staff will scan all paperwork accompanying voluntary and demanded deposits and materials submitted for claim registration and use it to create an initial record of deposit.

407 voluntary/demand deposits

RM will send both voluntary and demanded print and photographic deposits to CAD for processing. CAD will review the deposit for retention and may refer it to the RO as needed. A technician will update the bibliographic record with the selection decision, create holdings and items records, and close the demand order for those items where a demand was initiated.

The CAD technician will forward the deposit to RC if the remitter wants to register the claim. If the remitter does not request claim registration, the technician will forward the deposit to the P&P Division. The P&P cataloger will confirm or change the default selection decision in consultation with RO, if necessary. Photographs are not currently selected for inclusion in the LC collection.

The custodial division staff will shelve selected deposits. If LS only wants one of the two copies submitted for the collection, the custodial division will shelve the selected copy and forward the excess copy or non-selected demand/voluntary deposit to the exchange program.

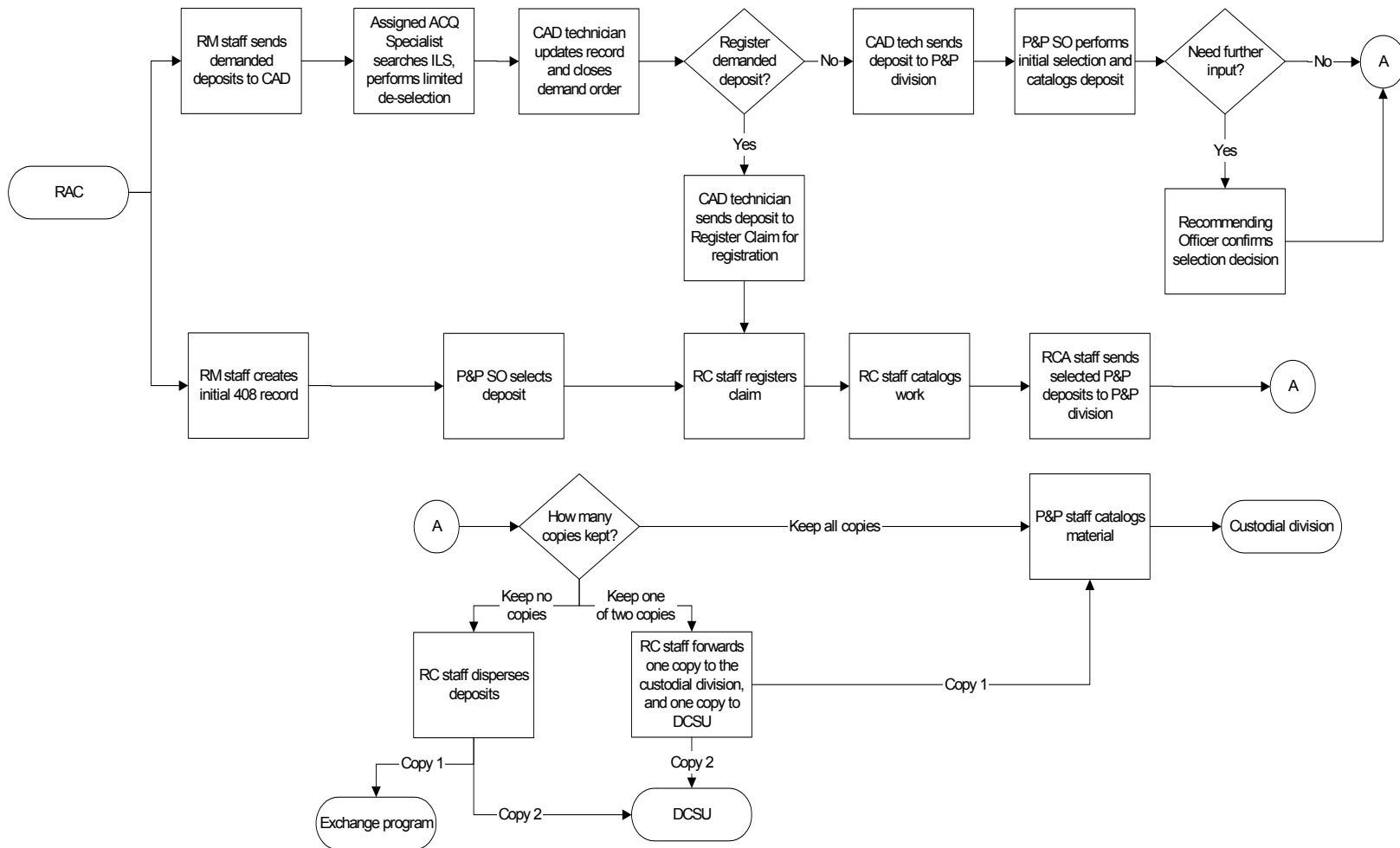
408 deposits

In the recommended workflow, RM staff will receive prints and photographic deposits. RM staff will scan applications and create an initial record in the CO system. The SO will review the deposit for selection in RC. RC staff will examine, complete the registration and record the selection decision.

RC staff will catalog the work, completing the CO record. RC staff will forward selected deposits to LS. CO will retain one copy of deselected works in CO and forwards them to DCSU.

Figure 11 depicts the recommended workflow for print and poster deposits. Photographs are not included in this workflow, since they are not selected for the collection.

Figure 11: Print & Poster deposits process map



7.8 Law Library deposits

CO treats legal deposits the same as other monographs and serials. Both copies of the monograph deposit will travel together through RC. Registration staff will apply a default selection of two copies for all legal material, including deposits classified as Law or published by one of the major publishers. The major publishers include:

- Thompson, including West Group and RIA
- Lexis Publishing, including Matthew Bender
- Shepards
- William S. Hein & Co.
- Oceana
- Bureau of National Affairs.

Legal serials will travel the same route as other serials and receive a selection decision when they are new or have a title change. See Figure 4 for recommended monograph workflow and the recommended serials workflow map (to be inserted at a later date).

7.9 Motion Picture Broadcasting and Recorded Sound (MBRS) deposits

The MBRS JIG outlined the following selection process for MBRS materials, using the Selection JIG's overall recommendations. The current selection process for motion picture material will be maintained. LS staff in MBRS will continue to review motion picture deposits in CO and make the subsequent selection decision. RC staff will register the claim and complete the catalog record. RC staff will forward acquired deposits to LS cataloging and deposits not acquired to the CO storage facility.

For recorded sound, RC staff will review and make a selection decision on routine material. MBRS outlined the characteristics RC staff should review when making a selection decision (Appendix D). If RC staff can make a decision based upon

these guidelines, they will record the selection decision and forward the work to CO cataloging. If RC staff are unable to make a selection decision, they will set aside the deposit for a LS SO to review and make the selection decision. The SO will return the deposit to RC staff to record the selection decision and forward on to CO cataloging. Upon the completion of the CO catalog record for unselected deposits CO staff will forward the deposit for storage at DCSU. If the deposit is selected, CO will forward it to LS cataloging.

Figure 12 depicts the recommended workflow for MBRS deposits.

Figure 12: MBRS deposits process map

