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# UNIT 9 TECHNICAL PROCESSING

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## 9.0 OBJECTIVES

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This unit introduces you to the activities of the technical department of a library which has the responsibility of processing and organising the document collection by classifying, cataloguing and preparing the documents for use.

After reading this Unit, you will be able to:

- identify the factors that govern the various activities and functions of the Technical Department;
- plan and organise the work of the Technical Department by analysing the various jobs for effective operations;
- lay down proper procedures and routines for accomplishing the activities systematically; and
- perform the various jobs connected both with the technical and physical processing of documents.

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## 9.1 INTRODUCTION

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In Unit 7, you have learnt the methods and procedures of acquiring documents for a library. In this unit, we discuss the technical and physical processing and organisation of the acquired documents for use. These tasks are entrusted to the Technical Department of the library, which operates in consonance with the aims and objectives of the library and coordinates its activities with the reference, circulation and maintenance departments. Planning the various activities, laying out proper procedures for them, establishing the routine operations, designing the forms, registers, and records for all the operations, determining required personnel, tools and materials, etc., are taken care of by the Technical Department.



The technical processing work consists of classification and cataloguing of documents in accordance with a carefully chosen scheme of classification and code for cataloguing and also in keeping with the requirements of the internal and external forms of the catalogue decided for the library. This is also to be in tune with the classification and cataloguing policy of the library to suit its local conditions and requirements. Physical processing work involves setting up routines for giving each document ownership marks of the library as well as affixing to the documents the various stationery needed for their circulation control.

The work flow of the different functions are planned and laid out to achieve maximum productivity. The necessary forms, registers and records are carefully designed to maintain speed and efficiency in work.

With the introduction of computers, many of the operations of a library are amenable for computer operations. The trend has already set in and will take firm roots in the near future. This unit deals with all these aspects in detail.

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## **9.2 TECHNICAL DEPARTMENT**

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One of the important sections in a library is the Technical Section as it occupies a pivotal position round which all other activities take place: It is called by other names, such as, Processing Department, Technical Processing Section, Cataloguing Department, Technical Department, etc. Irrespective of the name by which it is called, the objective and functions of this section remain the same. While the acquisition is responsible for the building up of a good collection, it is the Technical Section that transforms the collection of documents into service-able units. This it achieves mainly by performing two functions, namely, technical processing which includes classification and cataloguing, and physical preparation of the documents for circulation and use by the readers.

### **9.2.1 Need for Technical Processing**

The need for technical processing has been brought about by a number of reasons/factors. They are:

- i) Accelerated growth of information resulting in the production of a large number of documents and, consequently, user problems of inadequate time for reading and assimilation.
- ii) Complexity in subject specialisation coupled with the interdisciplinary nature of information.
- iii) Demand from readers for better services, etc.

In addition, the pressures of the Five Laws of Library Science, especially the second and third laws have forced librarians to seek new procedures in the arrangement and management of the collection. This has resulted in the development of new tools called Vocabulary Control Devices - such as, Classification Scheme, Thesauri, Catalogue Codes, Subject Headings Lists, etc --for the purpose of classification and indexing of information. Some of the advantages of technical processing are:

- i) It helps in the systematic arrangement of documents / information and thereby facilitates storage and retrieval whenever necessary.
- ii) It facilitates analysis of queries put by users
- iii) It helps in the preparation of information services and products.

### **9.2.2 Organisational Structure**

The Technical Section, of a library, especially a university library, may consist of various units such as, Classification Unit, Cataloguing Unit, Book Processing Unit, etc., to carry out the routine work of technical processing. In the case of a small library, such a demarcation into different units may not be there. Irrespective of the size of the library, however, it is necessary that this section be headed by a dynamic person with sufficient professional expertise and also be provided with staff to carry out the processing work. In addition, cooperation from other sections of the library is vital.

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## 9.3 PLANNING AND ORGANISATION

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In this section, the major items of work are classification and cataloguing. They are of a highly technical nature and accuracy is the very essence of all technical processing work. It has been suggested by Ranganathan that in libraries, especially large libraries, it will be a good policy to prepare at least two copies of the catalogue to facilitate use by the readers on the one hand and by the classifier and the cataloguer on the other. In other words, one set of the catalogue should be in the Technical Section. This catalogue is described by some as "Official Catalogue".

### Factors in Planning

The distinctive work of the Technical Section is to be planned with reference to the following factors:

- Classification
- Cataloguing
- Preparation of the volumes for public use
- Correction of call numbers and catalogue entries
- Binding
- Classification and cataloguing codes
- Catalogue cabinet

In the contest of the planning of the Technical Section, it is necessary to take certain decisions. These relate to:

- Choice of the classification scheme
- Choice of the catalogue code
- Choice of the internal form of the catalogue
- Choice of the physical form of the catalogue
- Adoption of a policy regarding classification and cataloguing
- Arrangement of personnel
- Acquiring the tools for use in classification and cataloguing
- Acquiring the necessary materials and equipment

Some of these -matters involve policy decisions while others relate to the organisation of men and materials.

### Self Check Exercises

1) List the two main functions of the Technical Department of a library.

**Note:** i) Write your answer in the space given below.

ii) Check your answer with the answers given at the end of this Unit.

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### 9.3.1 Classification Scheme

A scheme of classification is but a tool in the hands of the library to organise subjects and to serve them out in an efficient way. Therefore, it is necessary that a lot (sire and thinking should go while choosing a classification scheme for a library. Classifications schemes are of different types. Broadly speaking, there are two types, namely, Enumerative and Faceted schemes. While Dewey Decimal Classification and Rider's International Classification be-long to the former type, Universal Decimal Classification and Colon Classification may be considered as Faceted schemes. For details regarding these schemes, you may consult Block 4, Units 10-12 of Course III. Each classification scheme has its own merits and demerits. This makes the choice a little bit difficult. It is easily said that the scheme which satisfies the needs of the library and its clientele should be chosen. Ranganathan has suggested the following points for consideration:

- Scope of classification
- Sequence of Basic/Main Subjects
- Provision for New Basic/Main Subjects
- Provision for "Systems" of exposition of a Basic Subject
- Provision for "Specials" of a Basic Subject
- Crisp words to denote ideas
- Sameness of patterns in the sequence of subjects going with different Basic Subjects
- Objectively used postulate and principles
- Systematic procedure for practical classification
- Avoidance of the fault of alternative places for one and the same subject
- Inner mechanism to find a helpful place to a new compound subject
- Length of base of notational system
- Provision of connecting digits
- Hospitality in chain
- Hospitality in array including extrapolation and interpolation
- Agency for promoting use
- Permanent organisation for development

He suggests the use of four scores: 0 Poor; 1 Passable; 2 Fair; and 3 Good in the scheme. Perhaps, this method would be very good for the choice of a scheme of classification, especially in special libraries.

The basic tool in classifying documents is the classification scheme. There are several standard schemes available now. They include general schemes meant for general libraries as well as special schemes for specialised libraries. Three of the most popular general schemes are already familiar to you. These are the Dewey Decimal Classification (DX), the Universal Decimal Classification (UDC), and the Colon Classification (CC). For details regarding these schemes you may consult Block 4 Units 11-13 of Course III. These schemes belong to three different stages in historical development. Your choice Oldie scheme should be based on the special features of each scheme and their relevance to the needs of your library. Normally, factors like the size of the collection, the nature of the library, its clientele and subjects of documents, the scheme already in use in associated libraries, if any, the knowledge and ability of the library staff to work with a particular scheme, etc., may govern the choice of the scheme,

Going with the choice of the classification scheme is the choice of the Book Numbering Sys-tem. If the choice is in favour of the CC this question does not arise as CC has its own Book Numbering System. In the case of the other two schemes, a suitable Book Numbering System has to be devised or adopted. It is a common practice in libraries to give book numbers by using the first three letters of the author's name (entry element). There are also modifications on this practice, like Cutter's Author Tables, the Cutter-Sanborne Numbers, Merrill's Author Tables, and the Author Tables of Stanley last.



### 9.3.2 Catalogue Code

As with classification schemes, there are different catalogue codes available for use in libraries. Two of them are already known to you as they are prescribed for detailed study in Course IV. These are the Anglo-American Cataloguing Rules, Edition 2 (AACR-2) and the Classified Catalogue Code of Ranganathan, Edition 5 (CCC). The former is a more descriptive catalogue code and is mainly meant for a dictionary catalogue. The latter, on the other hand, is meant for a classified catalogue and is more simple, scientific and logical. Here again, the final choice of the code is governed by various factors like the internal form of the catalogue chosen, namely, classified or dictionary, the extent of bibliographical description needed, the code in use in associated libraries, if any, etc. Whichever is the code chosen, it should be consistently followed in all cases so that standardisation will be ensured in the choice and rendering of the headings and other sections, and in the order of citation.

If the choice happens to be in favour of AACR-2, there arises the need for choosing a list of Subject Headings too. There are two popular lists, namely, the Sears' List of Subject Headings and the L.C. List of Subject Headings. The former is adequate for a small library while a large library will need the use of the latter. Both of them are useful for general libraries while special libraries will need specialised lists. There are also different indexing techniques like PRECIS and POPSI. Chain indexing is the technique introduced by Ranganathan as part of the CCC primarily for use in a classified catalogue. These subject indexing techniques are discussed in Unit 6 of Course IV. Lists of Subject Headings or indexing Techniques are required for the cataloguer to choose headings for either class index entries in a classified catalogue, or specific subject entries and cross reference entries in a dictionary catalogue.

#### Self Check Exercises

- 2) State the functions of the classification and cataloguing of documents in a library.
- 3) State the seven factors influencing the choice of a classification scheme in a library.

**Note:** i) Write your answer in the space given below.

ii) Check your answer with the answers given at the end of this Unit.

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### 9.3.3 Internal Form of the Catalogue

As mentioned earlier, according to the internal form, the two major types of library catalogues are the Dictionary Catalogue and the Classified Catalogue. Unit 4 in Course IV has dealt with these two types in detail. Here we will note that each type has its own advantages and disadvantages. The choice will depend upon the type of library and the nature of its clientele. The Dictionary Catalogue is more popular with public libraries where the general readers may find it easy to consult. On the other hand, in research and special libraries where the readers will be more interested in a systematic subject approach to documents, the Classified Catalogue will be advantageous.

### 9.3.4 Physical Form of the Catalogue

You might have learnt in Unit 3 (of Course IV) the various physical forms of the library catalogue and their relative advantages and disadvantages. In Indian libraries today, the Card Catalogue has become increasingly popular although there are some libraries that still follow the old tradition of the printed book form of catalogue. The latter may be found satisfactory for



a small library with only a few additions every year. On the other hand, for a fast growing library, the printed book form of catalogue can never be kept up to date. In fact, the Card Catalogue has many advantages like its flexibility and updateability. Even libraries that continue to bring out printed book catalogues do have to maintain some form of a card file as their basic record. From this basic record the printed book form of catalogue can be made from time to time. Because of these reasons, knowledge of preparing the Card Catalogue is a basic requirement for all librarians.

### **9.3.5 Classification and Cataloguing Policy**

Whatever may be the scheme of classification or catalogue code chosen, a policy should be formulated for their application. Some of the issues on which policy decisions should be taken relate to the following:

- a) Broad vs close classification. Whether classification should be coextensive with the thought-content of the document or whether it should be broad, i.e., the extent or depth to which one must go in assigning class numbers.
- b) Whether cataloguing should be descriptive or simplified or selective. The number of main and added entries to be prepared per document or book should be decided.
- c) Whether variations to suit local requirements can be made.
- d) Whether the catalogues should be in Card Form or Ledger Form.
- e) If in Card Form, whether it should be handwritten or typed.
- f) If in Ledger Form, whether it should be handwritten or printed. If printed, can it be made accessible to other libraries and users?

It is better to decide on these issues in the beginning itself as it would be difficult to change course in midstream.

### **9.3.6 Personnel**

Technical processing work is, perhaps, the area in the whole library work where the highest degree of professional expertise is needed. Therefore, the technical department should be manned by persons who have proven abilities and aptitude for technical work. They should be adept at classification and well conversant with the intricacies of the catalogue code. As far as possible, knowledge of different languages and a background in different subjects must be ensured in the selection of personnel. Further, the staff should have a good handwriting if the catalogue cards are to be handwritten. They should be persons who can do things with a high degree of precision. The chief of the Technical Department should be an experienced hand who can exercise effective supervision over his staff and coordinate the work done by several persons while maintaining consistency and accuracy.

### **9.3.7 Tools**

The Technical Department must possess all the tools necessary for classification and cataloguing work to be done in the library. Some of the important tools are:

- i) Classification schedule(s)
- ii) Catalogue Code or Subject Headings List
- iii) Reference Tools - standard dictionaries including language dictionaries, subject dictionaries and bibliographical dictionaries, encyclopaedias; geographical sources; handbooks, etc.
- iv) Bibliographies - Indian National Bibliography, British National Bibliography, Accession Lists of important libraries, etc

In the case of classification schemes and Catalogue Codes, "how-to-use" manuals are brought out. These may be acquired for ensuring consistency and uniformity in classification and cataloguing work. As individual institutions libraries adopt different practices to suit local requirements, it maybe helpful for preparing their own manuals which may be useful not only for technical processing, but also for training new entrants.



### 9.3.8 Materials and Equipments

The Technical Department needs various items of special furniture, equipment and stationery. A list of these items is given below. Specimens of the stationery will be given in Section 9.6. Adequate stock of materials and stationery should be acquired and kept ready.

List of furniture, equipment and stationery materials

<b>Furniture</b>	<b>Equipments</b>	<b>Materials/Stationery</b>
Catalogue cabinets	Card copier	Book tags
Table trays	Typewriter	Book plates
Work tables	Stencil duplicator	Date labels
		Book cards
		Book pockets
		Catalogue cards
		Class index cards
		Guide cards
		Rubber stamps

#### Self Check Exercises

- 4) State the six policy decision to be taken for classifying and cataloguing documents a library.
- 5) List the three tools that aid classifying and cataloguing.

**Note:** i) Write your answer in the space given below

ii) Check your answer with the answers given at the end of this Unit.

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## 9.4 JOB ANALYSIS

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The work in relation to technical processing involves:

### i) Classification

The work of the Technical Department relating to classification is to consist of the following items:

- a) Making a preliminary survey of volumes received from the accession section, which may be referred as Preliminary Work.
- b) Assigning Call Numbers to the volumes, which may be referred to as Call Numbering Work.
- c) Detecting duplication, defect etc in the volumes, and informing the accession section, which may be referred to as Detection Work; and
- d) Checking the assigned Call Numbers, which may be referred to as Checking Work.



## **ii) Cataloguing**

The work relating to cataloguing consists of the following:

- a) Sorting the volumes according to cataloguing peculiarities. This may be referred to as Preliminary Work.
- b) Writing out the necessary fresh catalogue cards. This may be referred to as Fresh Card Writing Work.
- c) Making the necessary entries in the catalogue card already existing. This may be referred to as Card Consolidation Work.
- d) Dealing with the volumes raising difficulties in cataloguing. This may be referred to as Refractory Cases Work.
- e) Checking the catalogue cards. This may be referred to as Checking Work.
- f) Typing catalogue slips. This may be referred to as Typing Work,

## **iii) Preparation of Volumes**

The work relating to the preparation of volumes for public use may consist of the following:

- a) Noting the Accession Number or the Call Number as the case may be, i.e., Card Numbering Work.
- b) Making the volumes fit for use by cutting open, stamping, fixing the data label, tag etc, i.e., Preparation Work.
- c) Noting the Call Number and Accession Number in different parts of the volumes, i.e., Volumes Numbering Work.
- d) Sorting the prepared volumes into sequences and arranging them, i.e. Prepared Volumes Arranging Work.

## **iv) Correction of Call Numbers and Catalogue Entries**

This work consists of the following items:

- a) Collecting the volumes to be corrected and their main cards and their first impression main slips, i.e., Preliminary Work.
- b) Reclassifying the volumes, i.e., Reclassification Work.
- c) Carrying out the corrections in the first impression slips, i.e., First Impression Slips Work.
- d) Carrying out the corrections in all other cards and slips, i.e., Correction Completing Work.
- e) Reinserting the corrected main cards and the first impression slips, i.e., Reinsertion Work.

## **v) Binding**

The binding work is to consist of:

- a) Examining the Call Numbers of the volumes selected for binding to see if they require any revision, i.e., Call Number Examining.
- b) Preparing instructions for tooling, i.e., Binding Slip Preparing,
- c) Transmitting the volumes and slips to the Binding Section, i.e., Binding Books Transmitting.

## **vi) Classification and Catalogue Codes**

This work consists of:

- a) Carrying out the amendments arrived at in the course of the week in the Classification or Catalogue Code, as the case may be, i.e., Code Correcting.





- b) Bringing the monthly statements of corrections up to date, i.e., Monthly Amendment Statement Filing.
- c) Transmitting the monthly statement of corrections to the Staff Council, i.e., Code Corrections Transmitting.

#### vii) Catalogue Cabinet

This work consists of:

- a) Sorting all the cards written in a week, i.e., Sorting Work.
- b) Discussing the Card with the librarian, i.e., Reviewing Work.
- c) Transmitting the Accession Cards and the shelf register cards to the Maintenance Section, i.e., Accession Card Transmitting Work.
- d) Inserting the Catalogue Cards in the Public Catalogue Cabinets, i.e., Card Inserting Work.
- e) Inserting the catalogue slips in the appropriate cabinets, i.e., Slip Inserting Work.

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## 9.5 PROCEDURES AND ROUTINES

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The procedures and routines in the preparation of documents for use arise out of various activities and operations. These can be listed as follows:

- Physical processing work
- Classification work
- Cataloguing work
- Coordinating work
- Releasing work
- Card filing and catalogue updating work

In the following sub-section we will analyse and explain the routines and procedures in each of these operations.

### 9.5.1 Physical Processing Work

As and when documents are received from the Accession Department for processing, the chief of the Technical Department will forward them for physical processing. Physical processing work can be done by menial staff under proper supervision and guidance. Physical processing includes the following specific jobs:

- Cutting open the pages
- Easing the back
- Putting the library stamp
- Fixing the book plate
- Fixing the date label
- Fixing the book tag

**Cutting:** It is often found that books are received with partially uncut sections. If these are left unnoticed, readers may carelessly open up the pages by inserting a finger or pencil. This can damage the pages. To prevent this it must be ensured that all sections of the book are duly scrutinised and all uncut edges are opened up. This cutting open work should be done carefully with a "cutting bone" or paper knife which is not too sharp-edged.

**Easing:** Books when received from publishers may not open up well due to the glue getting hardened at the spine. This may need a little easing. This can be done by opening the volume somewhere in the middle and placing it on a flat table and then gently pressing with a thumb from the top to the bottom. This can be repeated after several sections according to the thickness of the volume.



**Stamping:** The library stamp must be put on the book in all conventional places. These are the top of the verso of the title page, the top of the first chapter or introduction as the case may be, the bottom of the last page of the text, and the blank side of the maps, charts, plates, etc. that are separately stuck to the text. Stamping should not be done carelessly to obstruct reading matter or to mar the beauty of the book.

**Book Plate Fixing:** The Book Plate is normally fixed on the left-hand top corner of the inside of the first cover.

**Book Pocket Fixing:** The book pocket is to be put on the right-hand bottom corner of the inside of the first cover. Before pasting, the book pocket should be properly eased so as to allow the Book Card to go in without hindrance.

**Date Label Fixing:** The Date Label has its place on the first page after the first cover which will be often an end-page. Care should be taken to apply glue only on the top edge of the label.

**Tagging:** The book tag must be pasted on the spine of the book at a uniform height from the bottom. One inch is a desirable height. It is better to use a measure to mark out the exact position of the tag. In case the thickness of the volume is less than the width of the book tag, the tag must be fixed on the front cover close to the back and at the same height as it would have been on the spine. Books having book jackets should be given an additional tag on the jacket at the same position as the tag is on the spine.

All the above mentioned pasting jobs should be done very carefully. Good quality glue which is thin and fast drying must be used. Care must be taken to wipe out completely the excess glue so as to avoid the sticking of pages.

The documents after the physical processing work described above are to be returned to the chief of the Technical Department for distribution to the classifiers.

### Self Check Exercise

6) List four items of stationary to be affixed to a document.

**Note:** i) Write your answer in the space given below

ii) Check your answer with the answers given at the end of this Unit.

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### 9.5.2 Classification Work

Library classification is the work of translating the specific subject of a document into an artificial language of ordinal numbers. This will result in assigning a Class Number to each document which will determine its position in the library in relation to the documents on other subjects. From this point of view, classification work can be seen as having the following steps:

- Preliminary sorting
- Checking with the catalogue
- Determining the specific subject
- Assigning the Class Number



- Assigning the Book Number
- Assigning the Collection Number
- Writing the Call Number on the book

**Preliminary sorting:** When documents are received after physical processing, the chief of the Technical Department may have to do a preliminary sorting. At first, fiction and non-fiction are separated. Non-fiction books can then be grouped by their subjects. Both fiction and non-fiction books can then be sorted by the language. The purpose of this preliminary sorting is to distribute the books for technical processing among the staff according to the language and subject background. At this point of sorting, it is usual to provide each book with a Process Slip. A Process Slip is normally of the size 3" X 5" and is used to note down indications for guiding the succeeding routines relating to a document in process.

**Checking with the catalogue:** The individual classifier who is allotted a set of documents for processing will first check each item in the set with the library catalogue. The purpose here is to know:

- a) Whether the document is a subsequent copy of an already processed item
- b) Whether it is a different edition than already processed item
- c) Whether it is a new volume of an already processed multi-volumed set
- d) Whether it is totally a new document to be processed

In the case of the first three categories, technical processing work is not required. The document in question is to be given the same class number with necessary changes in the book number. The information about these documents has only to be entered in the already existing catalogue entries. This is known as consolidating work. Here the classifier will have only to pull out the relevant cards from the catalogue, incorporate the information, and refile in the catalogue. The books are then prepared for use by writing the Call Number on the book, writing the Book Card and the Shelf-Card as in the case with other books.

It is in the fourth category of documents that technical processing has to be done. They are subjected to the following processes.

**Determining the Specific Subject:** The classifier's first task is to decide the specific subject of each document. For this, he needs to understand correctly the thought content of the document. For this purpose he cannot completely rely on the title of the document since titles may be too broad, ambiguous, misleading or even fanciful. He should go beyond the title to the sub-title, if any, then to the foreword, preface or introduction, the table of contents, the information given on the book jacket, and even the text itself. If necessary, dictionaries or other reference books should be consulted. The postulational approach for subject analysis/classification suggested by Ranganathan will be useful in determining the specific subject of the document irrespective of the scheme used.

**Assigning the Class Number:** Once the specific subject is formulated, assigning the correct Class Number can be done with the help of the classification scheme. But this process can vary according to the scheme in use. In DDC, the Relative Index can be used to find the relevant areas in the main schedule. The choice (the basic class number must be in relation to its proper context. Very often, relevant numbers from the auxiliary tables will have to be taken and added to the basic class number to form a class number co-extensive with the specific subject. Almost a similar procedure can be followed in the case of LTDC also. But here, a faceted class number will have to be constructed according to the nature of the specific subject. In the case of CC, the use of the Facet Formula given for each basic class will serve as a guideline for constructing the class number. Whatever be the scheme in use, a specific subject can be classified only to the extent of specificity admitted by that scheme. In some cases it may become necessary to enumerate new sub-divisions to an existing division for accommodating the latest subjects. All such expansions should be noted for future compliance.

In the case of new subjects not provided for in the scheme, references to current national bibliographies and new accession lists of other libraries may help to know their relative positions.



**Assigning the Book Number:** After constructing the class number, the document should be given a book number. In the case of CC, the facet formula for book number will take care of this work. In the case of the DDC and UDC, the book numbering system chosen must be used.

**Assigning the Collection Number:** Some of the documents may need to be placed in different collections rather than the usual lending collection. These will have to be indicated by appropriate collection numbers. In such cases, the Call Number of a document will have three components - the Class Number, the Book Number and the Collection Number.

**Writing the Call Number on the Book:** The Call Number assigned to a document should be written legibly at three places in the document: on the verso of the title page, on the Date Label, and on the Book Tag.

**Cross References:** In the Classified Catalogue it may become necessary to give class numbers for Cross Reference Entries also. The steps involved in assigning these numbers are the same as in the case with the class number of documents.

### Self Check Exercises

- 7) State the five steps involved in classification work.
- 8) Give the three steps in assigning the Call Number to a document.

**Note:** i) Write your answer in the space given below  
ii) Check your answer with the answers given at the end of this Unit.

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### 9.5.3 Cataloguing Work

The objective of the catalogue is to provide nodes tool that give information about all documents available in a library. The catalogue must be designed to meet the different approaches that readers may make to documents. Readers may seek a document either through its subject or author or tide or series or any of its collaborators like translator, compiler, editor, etc. To meet this multiple approach the catalogue has to enter and describe one and the same book under each of its possible search names or headings. This multiple entry method is the basic feature of modern library cataloguing. Cataloguing work, therefore, consists of making the necessary catalogue entries for each document. These entries may belong to different types, each having its own specific function, to perform in the catalogue. Every such entry is to be made in strict conformity with the rules prescribed in the catalogue code in use. The nature and content of each type of entry may also be influenced by the physical and internal forms of the catalogue. The work of the cataloguer also includes certain jobs other than making catalogue entries, like writing of the Shelf-list Card and the Book Card. These are necessary to complete the technical processing of a document. The whole procedure involved in cataloguing work can be outlined as follows:

- Assigning of appropriate Subject Headings
- Preparation of the Main Entry
- Preparation of the Added Entries
- Writing the Tracing
- Writing the Shelf-list Card



- Writing the Book Card
- Forwarding

Each of these steps is explained below:

**Subject Headings:** After classification work, logically the next step in the technical processing of a document is the work of assigning appropriate subject headings. These are essential for Specific Subject Entries and "See" and See also" Entries in a Dictionary Catalogue, and for Class index Entries in a Classified Catalogue. The methods employed for deriving these headings may vary from library to library. For libraries following CCC this work will be governed by the Chain Procedure. For libraries following AACR-2 either a list of Subject Headings or an indexing technique like PRECIS or POPSI will have to be used. In any case, the headings have to be chosen to correspond with the specific subject of the concerned document. If Cross Reference Entries or Subject Analytical Entries are indicated for a document, appropriate subject headings have to be derived for these also. The subject headings assigned for each document should first be noted on the Process Slip,

Consistency in the use of subject headings is an essential quality of good cataloguing. This can be ensured by maintaining an Authority File in the Technical Department. An Authority File is a card file listing the headings used by a particular library and it may contain, besides subject headings, headings used in the case of difficult personal or institutional names.

**Main Entry:** The Main Entry is the entry in the catalogue which contains the maximum information about a document as permitted by the catalogue code. Most of the other entries in a catalogue are derived from the information provided in the Main Entry. The cataloguer must first prepare the Main Entry for the document. If the cards are to be handwritten the Main Entry must be written legibly. If on the other hand the cards are to be typewritten the cataloguer must write the Main Entry on the Process Slip to be given for typing.

**Added Entries:** As mentioned earlier, Added Entries are made using the information given in the Main Entry. The number and type of Added Entries required will vary according to the document. The cataloguer will decide about them and make necessary indications on the Process Slip. If Unit Cards are to be used, necessary copies of the Main Card should be taken with the help of the Card Copier or got typewritten. Appropriate headings are then entered on the top of the Added Entries. In the case of a handwritten catalogue, when duplicating facilities are not available, added entries can be prepared even with the minimum information as the catalogue code may prescribe.

**Tracing:** After making the Main Entry and the Added Entries the cataloguer should write the tracing on the back of the Main Card. The tracing will be an indication about the Added Entries made for each document. This will be a guide when the entire set of cards relating to a book is to be pulled out of the catalogue either for the purpose of correction, consolidation or when the book is to be finally withdrawn from the stock.

**Shelf-list Card:** It is usual to maintain in libraries a Shelf-list in card form. This contains a card each for a volume and is arranged parallel to the arrangement of the documents in the library shelves. A card in the Shelf-list will be either a duplicate of the Main Card or an abridged form of the Main Entry. The essential pieces of information on a Shelf-list Card are the Call Number, Author, Title and Accession Number. The purpose of the Shelf-list is to enable convenient stock verification. It is the duty of the Technical Department to maintain the Shelf-list. The cataloguer must therefore prepare the Shelf-list Card for each volume of a document processed.

**Book Card:** The Book Card is an essential component of the Card Charging System and it should contain essential information about the document concerned. This information includes the Call Number, Author, Title and Accession Number. The cataloguer should write the Book Card for each document processed.

**Forwarding:** After completing the above work, the cataloguer must keep the entire set of catalogue cards, the Shelf-list Card, and the Book Card inside the title page of the concerned book and forward the same to the Chief of the Technical Department for scrutiny and passing.



### Self Check Exercises

- 9) State the seven procedural steps involved in cataloguing work.
- 10) State the functions of an authority file in five sentences.
- 11) State the purpose of a Shelf-list. What information should a Shelf-list Card contain?

**Note:** i) Write your answer in the space given below  
ii) Check your answer with the answers given at the end of this Unit.

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#### 9.5.4 Coordinating Work

When different persons are doing different jobs connected with the processing and preparation of documents there can be chances of inadvertent errors and inconsistencies. Consistency and accuracy are the two virtues of processing work and ensuring them is the main objective of coordination. This is the responsibility of the Chief of the Technical Department although he can assign the same to a different coordinator. The main function is to check and pass the physical processing, classification, and cataloguing jobs done by others. The procedure can be outlined as follows:

- Scrutiny of Physical Processing Work
- Scrutiny of Accession Numbers
- Scrutiny of Call Numbers
- Scrutiny of Subject Headings
- Scrutiny of Catalogue Entries, Shelf-list Card, and Book Cards.

**Physical Processing Work:** The coordinator should examine each document and satisfy having that -

- all pages are cut open
- easing work is duly done
- library stamp is put on all conventional places and
- the Book Plate, the Book Pocket, the Date Label and the Book Tag are correctly placed and properly fixed

**Accession Number:** The coordinator must scrutinise and satisfy himself that the Accession number written on the verso of the title page of the document is correctly carried over to the Main Entry card, the Shelf-list Card, the Book Card and the Date Label.

**Call Number:** For each document, the coordinator must satisfy himself that -

- the Subject Analysis is correct
- the Class Number is constructed and written correctly
- the Book Number is constructed and written correctly
- the Collection Number is correctly given where necessary
- the Call Number is correctly written on



- the Verso of the title page
- the Book Tag
- the Date Label
- the Main Entry Card
- the Added Entry-Cards wherever necessary
- the Shelf-List Card, and
- the Book Card

**Subject Headings:** The coordinator must ensure correctness and consistency in the subject headings used. The subject headings for the document as a whole and for Cross References or Subject Analyticals should be separately scrutinised. If necessary, the Authority File should be consulted and conformity ensured. Amendments, if any, should be noted and incorporated in the Authority File.

**Catalogue Entries:** The coordinator should examine whether the Main Entry and the required Added Entries, including Cross Reference Entries or Subject Analytical Entries, and Cross Reference Index Entries or "see" and "see also" entries are made; the Tracing is given correctly and completely; the choice and rendering of the Heading Section in the Main Entry and the Added Entries are correct and in conformity with the rules in the catalogue code; and the piece of information given in the Main Entry and the Added Entries are in conformity with the rules and are written correctly. Proper care should be taken to see that spelling mistakes and errors in punctuation are completely avoided. Discrepancies noted should be corrected then and there. Only after such a detailed scrutiny should documents be passed for releasing work.

#### 9.5.5 Releasing Work

Documents whose physical and technical processing have been completed are released for use at prescribed intervals, like once a week, once a fortnight, or once a month, etc. Releasing work also includes making lists of new additions or Accession List. For this purpose the Main Entries relating to the released documents are arranged in a classified order and sent for typing out the Accession List. The practice may vary from library to library with regard to the dissemination of information regarding new additions. The Accession List may be put up on the Notice Board, printed or cyclostyled and copies mailed to members, or published in the weekly editions of newspapers, etc. The documents released at a time are usually placed on display for a week or so before they are merged in the general collection. During this period the readers can examine the new documents and make reservation if necessary. The following procedure can be adopted for releasing work:

- Inserting the Book Card in the Book Pocket
- Separating the Shelf-list Cards
- Separating the Main Entry Cards
- Separating the Added Entry Cards
- Arranging the Main Entry Cards in the classified order
- Typing out the Accession List from the Main Entry Cards
- Noting the Date of Release on the Date Label of each document
- Putting the books on the display rack

#### 9.5.6 Card Filing Work

After the Accession List is made the catalogue cards relating to the released documents are ready for merging with the catalogue. In the case of the Classified Catalogue, the Main Entries and the Cross Reference Entries are to be filed in its Classified Part while all the other Added Entries are to be filed in the Alphabetical Part. Since there is no classified part in the dictionary catalogue, all the entries are filed in a single alphabetical sequence. There are prescribed rules for filing. In the classified part of the Classified Catalogue, the ordinal values given to the various symbols in the Call Number will take care of this arrangement. Compared to this, the alphabetical arrangement will appear to be easier. But this is not true. There are many



cases in alphabetical filing where definite rules are needed for ensuring consistency in arrangement. Therefore, the library should have formulated rules of alphabetisation of its own, or have adopted any of the standard rules available, like *the A.L.A. Rules for Filing*, or the Standards for alphabetical arrangement. The Shelf-list Cards are filed in the Shelf-list.

**Catalogue Updating Work:** The updating and maintenance of the library catalogue is the sole responsibility of the Technical Department. This includes, besides the filing of the entries relating to the newly processed documents, occasional work of corrections, consolidations, and withdrawals. Labelling the catalogue trays and providing adequate Guide Cards inside the trays are also to be attended to. Since the catalogue will be growing corresponding to the growth of the collection there will be a continuous need for the movement of the cards from one tray to another. Parallel to this movement, the labels and guide cards also will have to be moved.

### Self Check Exercise

12) List the responsibilities of a coordinator of the Technical Department of a library.

**Note:** i) Write your answer in the space given below

ii) Check your answer with the answers given at the end of this Unit.

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## 9.6 FORMS AND RECORDS

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The Technical Department does not have to maintain any register unlike other departments, However, it has the use of other appropriate records, forms and stationery. The major records are the Catalogue, the Shelf-list and the Authority File. Further, there is the Work Diary and the necessary routine files.

The most important record of the department is the *Catalogue* itself. But this is kept in the library for public use, The catalogue will have to be frequently referred to by the staff in the Technical Department. Hence, some libraries prefer to maintain a copy of the public catalogue in the Technical Department for its own use. But this involves more work, expenditure and space.

The Shelf-list is maintained by the Technical Department under safe custody. The Shelf-list is in card form and the cabinets containing the Shelf-list occupy substantial space in the Technical Department.

The *Authority File* is another card file to be maintained in the Technical Department.

**Work Diary:** There is need for maintaining proper work diaries in the Technical Department. Work diaries can be maintained at two levels, for an individual staff member, and for the department as a whole. The work diary for the department can be written on a daily or weekly basis and consolidated later on a monthly or annual basis for statistical reporting as well as for work evaluation purposes. The following can be accounted for through the work diary of the Technical Department.

- Items received for processing
- Item physically processed





- Items classified afresh
- Items catalogued afresh
- Items consolidated with the aid:
  - copies added
  - editions added
  - volumes added
- Items released
- Items displayed
- Items listed/typed
- Catalogue Cards written:
  - Main Entries
  - CRE/subject analyticals
  - *CRIE/See* and *See also* entries
  - Class Index Entries
  - Other added Entries
- Shelf-list Cards written
- Book Cards written
- Catalogue Cards filed
- Shelf-list Cards filed

**Files:** The Technical Department may not have many files to maintain unlike other departments. However, the following may become necessary.

Files containing Accession Lists brought out

File relating to the purchase of stationery, materials and equipment

Files dealing with various policy decisions

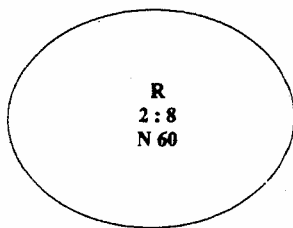
**Forms and Stationery:** The forms and stationery in use in the Technical Department are mainly relating to the physical processing work. They are:

- The Book Tag
- The Date Label
- The Book Plate
- The Book Card
- The Book Pocket

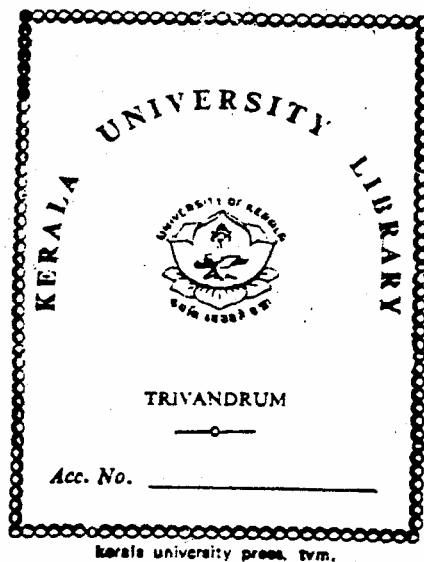
In the technical processing work, the major form used is the catalogue card. Some libraries use the printed class Index Cards also. Further, the Guide Card is used for giving suitable feature headings in the card catalogue.

We have given illustration of specimen forms and stationery hereunder:

**Illustration 1**  
Book Card



**Illustration 2**  
Book Plate



**Illustration 3**  
Date Label

इन्दिरा गांधी राष्ट्रीय मुक्त  
विश्वविद्यालय पुस्तकालय  
INDIRA GANDHI NATIONAL  
OPEN UNIVERSITY LIBRARY

Author \_\_\_\_\_  
Title \_\_\_\_\_  
Acc. No. \_\_\_\_\_ Call No. \_\_\_\_\_


This book should be returned on or before the  
date last stamped below.


**Illustration 4**

(Recto)

Call No. \_\_\_\_\_  
Author \_\_\_\_\_  
Title \_\_\_\_\_

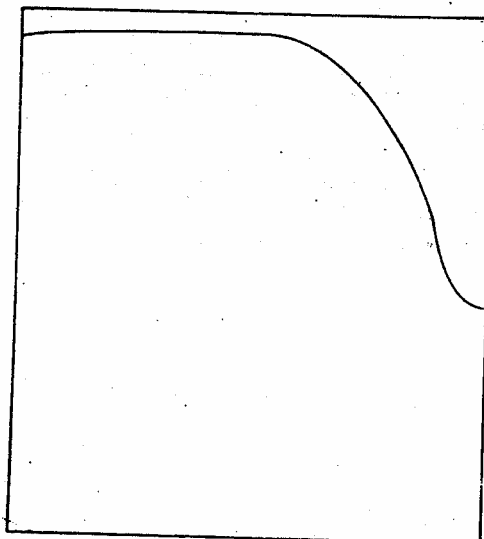
Acc. No. \_\_\_\_\_



(Verso)

Membership No.	Due Date

**Illustration 5**  
Book Pocket





**Illustration 6**  
**Blank Catalogue Card**

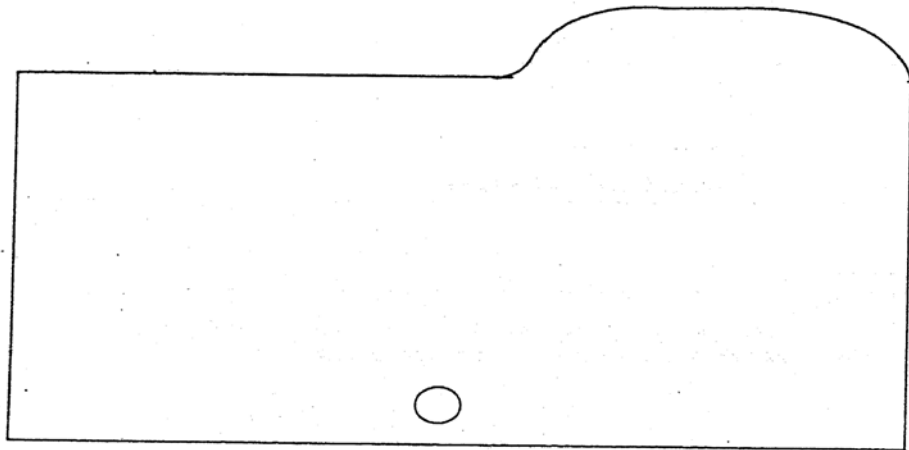
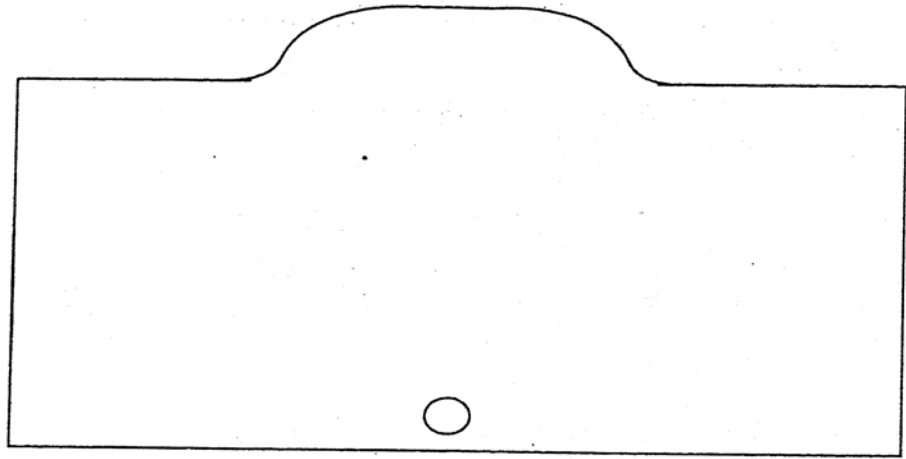

**Illustration 7**

**Printed Class Index Card**

		For books and documents in this Class and its Subdivisions see the Classified Part of the Catalogue under the Class Number:

**Illustration 8**

**Guide Cards**



**Self Check Exercises**

- 13) List the record and forms to be maintained by the Technical Department of a library.
- 14) Write a short note of not more than 250 words on the work diary maintained by the Technical Department of library.

**Note:** i) Write your answer in the space given below.  
ii) Check your answer with the answers given at the end of this Unit.

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**9.7 SUMMARY**

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The work of preparing documents for use includes both physical processing and technical processing. We have assumed here that both these activities will be performed by the Technical Department, as such a combination is more logical and economical. Nevertheless, technical processing work is the more significant activity of the Technical Department. This includes mainly classification and cataloguing. Both of them are of utmost importance in a library since they alone give meaning and purpose to the collection. However good the library collection, it will remain practically useless unless its contents are made known to the readers.



In this perspective, we have given you in this unit a detailed knowledge about the planning and organisation of the activities of the Technical Department stressing mainly on the arrangements to be made and the procedures to be followed. You get familiar with the sequence of operations and various jobs in the preparation of documents, from the time they are received from the Acquisition Department for processing until they are released for use.

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## 9.8 ANSWERS TO SELF CHECK EXERCISES

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- 1) The function of the Technical Department of a library are:
  - a) Technical processing which involves classifying documents according to a standard scheme of classification and cataloguing documents using a standard catalogue.
  - b) Preparation of the classified and catalogued documents for their physical location on the shelves of the library and maintaining the library catalogue for providing access to the document collection.
- 2) Classification organises the collection on the basis of their subject contents, enabling their display on the shelves which reflect their filiation sequence. Cataloguing assembles the bibliographical data of a document in an entry, organising them logically. These entries are filed in a sequence to form the library catalogue which provides approaches to the collection of documents through author, title and subject.
- 3) The factors that influence the choice of a classification scheme to be adopted in a library are:
  - a) Features of the schemes and their adaptability to the needs of the library.
  - b) The nature and type of the library and the size of the collection.
  - c) Clientele served.
  - d) Subjects on which the library has to build its collection.
  - e) The knowledge and ability of the library staff to work with a particular scheme.
  - f) The classification scheme used in other/similar libraries.
- 4) The policy decision to be taken for classifying and cataloguing documents in a library may relate to -
  - a) the depth to which a document has to be classified, i.e., broad grouping of subjects or closely expressing the specific subject;
  - b) descriptive, simplified or selective with respect to cataloguing;
  - c) variations to suit local requirements;
  - d) cataloguing card to be handwritten or typed;
  - e) use of unit cards for added entries;
  - f) use of printed cards supplied by outside agencies.
- 5) The tools that aid classification and cataloguing work are:
  - a) Supply of adequate number of copies of Classification Schedules, Cataloguing Codes, Subject Heading List, etc.
  - b) A stock of reference books such as dictionaries, both language and subject biographical and geographical sources; abridged encyclopaedias.
  - c) Current national bibliographies, published catalogues of major libraries.
- 6) The items of stationery to be affixed to a document are:
  - a) book tag, b) book plate, c) book pocket, d) dateable
- 7) The steps involved in classification work are:
  - a) Preliminary sorting of documents on the basis of subjects and languages.
  - b) Checking with the catalogue to determine if the document is a new title.



- c) Determining the specific subject of a document, if it is a new title.
  - d) Assigning the Call Number.
  - e) Writing the Call Number on the book and other related records.
- 8) Giving the Call Number to a document involves three steps:
- a) Assigning Class Number, after determining the specific subject of the document.
  - b) Assigning Book Number from the data available in the book.
  - c) Assigning Collection Number, indicating the location of the book in the library.
- 9) The procedural steps involved in cataloguing work are:
- a) Assigning appropriate subject headings
  - b) Preparation of the main entry
  - c) Preparation of added entries
  - d) Writing the Tracings
  - e) Writing the Shelf-list Card
  - f) Writing the Book Card
  - g) Forwarding
- 10) Authority files record decisions taken on several practices of the library relating to classification and cataloguing. This will include rendering of difficult personal or corporate names, new subject headings, an isolate number or a class number, etc. The function of the authority file is to help consistency in handling difficult problems in classification and cataloguing. Once a decision is taken, it becomes the practice of the library in handling such problems and thus serves as a guideline for the future. Eventually these decisions are consolidated to evolve a standard manual for this work.
- 11) The purpose of the Shelf-list is to facilitate stock verification. The piece of information that go into a Shelf card are Call Number, Author, Title and Accession Number.
- 12) The responsibilities of a coordinator in the Technical Department of a library would include scrutinising and supervising the following:
- a) Physical processing of documents,
  - b) Checking if the Accession Number and Call Number are posted properly in the book as well as in related records,
  - c) Checking the correctness and consistency of subject headings and classification,
  - d) Checking the main and added entries in the catalogue,
  - e) Checking the Shelf-list Cards.
- 13) The major records of the Technical Department are:
- a) the Catalogue, Shelf-list and the Authority files. The forms and stationary used in the Technical Department are:  
Book tag, Date label, Book plate, Book Card & Book Packet.
- 14) Work diaries are records that give brief accounts of the turnover of the work done by individuals and by the Technical Department as a whole. Depending upon the policy of the library, this may be done daily, weekly or monthly and consolidated quarterly, half yearly or annually. Appropriate formats to record the different items of work must be designed, both in terms of contents and physical form.

The nature of data recorded would be largely statistical, relating to the number of documents received for processing and those processed during a given time, preparation of main and added entries and their numbers, items consolidated, released, displayed, etc.

The diaries would be feeders for the preparation of the annual report of the library, showing the quantum of work done. These may serve as a measure of performance of individuals. These diaries must be systematically prepared, maintained and periodically checked by a supervisor.




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## 9.9 KEY WORDS

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<b>Card Changing System</b>	:	An issue system wherein circulation control is effected through the use of a Book Card containing information about a document and Borrower's Ticket containing information about the borrower.
<b>Citation</b>	:	The information given in a catalogue entry to describe a document.
<b>CRE</b>	:	The abbreviation of Cross Reference Entry. It is used in the context of CCC.
<b>CRIE</b>	:	The abbreviation for Cross Reference Index Entry, It is used in the context of CCC.
<b>Document/Book</b>	:	The terms "document" and "book" are used as synonyms in this unit.
<b>Entry Element</b>	:	The word or word-group appearing as the first part of the heading in a catalogue entry.
<b>End Page</b>	:	The thick blank sheet of paper sewn into either side (ends) of a book with one part of it having pasted on to the inside cover.
<b>Heading</b>	:	The name or word chosen as the access point for each catalogue entry. Normally, it will be a subject name or name of the author, editor, compiler, translator, or series, or the title.
<b>Library Hand</b>	:	A special writing style recommended by Ranganathan for handwritten catalogues where the letters are written in a bold and detached manner so as to avoid personal hand-writing styles.
<b>Precise</b>	:	The abbreviation for Preserved Context Indexing System. It was developed by Derek Austin for use in the British National Bibliography.
<b>POPSI</b>	:	The abbreviation for Postulate-based Permuted Subject Indexing. It was developed-by the Documentation Re-search and Training Centre, Bangalore.
<b>Section</b>	:	A set of pages in a book printed together using a large sheet of paper which is later brought into the book size by folding. Normally, a section will be a set of 16 pages.
<b>Specific Subject</b>	:	In the context of a document it is the name of the subject which is narrow enough to represent exactly the thought content.

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## 9.10 REFERENCES AND FURTHER READING

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