PCC Training for Copy Catalogers: Is It Worth the Investment? The Columbia University Libraries Experience

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Notes on Operations

PCC Training for Copy Catalogers

Is It Worth the Investment? The Columbia University Libraries Experience

Natalia Gelber and Irina Kandarasheva

This paper presents a case study program implemented at Columbia University Libraries that trains copy catalogers in Program for Cooperative Cataloging (PCC) and Name Authority Cooperative Program (NACO) principles. Under the guidance of the NACO coordinator and cataloging supervisors, copy catalogers create PCC-level records for belles lettres materials, construct name and uniform title headings, and submit classification number proposals for literary authors in a variety of languages in both roman and nonroman scripts. The benefits of the program include timely and efficient processing of materials, high-quality bibliographic records, better collocation of belles lettres, and upgrade of vendor or member records utilized by the shared cataloging community. The program serves as an important step in the professional development of copy catalogers and contributes to the growth of training and mentoring skills of professional catalogers. The skills acquired by copy catalogers can be used in future cataloging projects such as metadata creation and name disambiguation.

The past two decades have witnessed a significant change in functions and daily operations of technical services departments in academic libraries. Rapid technological developments, shrinking budgets, merging of cataloging and acquisitions departments, and increased use of vendor records have contributed to reevaluation of workflows, reassignment of personnel, and creation of new in-house training programs. The current economic and information environment suggests that technical services will continue to experience these changes in the near future. As libraries continue to move from ownership-based to access-based models, technical services departments will face the challenge of providing access to new types of resources while still processing materials in more traditional formats.

These transformations will influence staffing changes and blend job responsibilities in technical services departments in academic libraries. The shift of professional tasks from professional librarians to paraprofessional staff in various aspects of technical services operations is a reality widely acknowledged by library literature and practitioners in the field.1

The area of cataloging in particular has much potential for training and developing copy catalogers’ skills to perform more complex and motivating tasks. The research to date has largely focused on successful development of copy cataloging skills. The specifics of training paraprofessionals in original
cataloging have rarely been a focus of professional literature. In addition, the authors found no research describing the process of training copy catalogers in Name Authority Cooperative Program (NACO) of the Program for Cooperative Cataloging (PCC) principles, cataloging to PCC level, and cataloging of belles lettres by paraprofessionals.

The present study describes a successful program developed at Columbia University Libraries (CUL) in which the combination of copy catalogers’ skills and abilities and the institutional training potential resulted in a rewarding outcome. This paper begins by reviewing existing literature on paraprofessionals’ participation in original cataloging and principals of PCC and NACO. Then the authors discuss the training and ongoing workflows for paraprofessionals cataloging belles lettres material to PCC level, including creating authority records and submitting call number proposals to be included in the name authority record for a literary author. Finally, the authors argue that competencies obtained by paraprofessional staff in this program have the potential for application in a new emerging cataloging and metadata environment.

Literature Review

Paraprofessionals and Original Cataloging

Several studies have discussed the topic of paraprofessionals’ involvement in original cataloging. In 1992, Benaud, reflecting on trends in cataloging departments, appealed to library managers with the suggestion to take better advantage of people’s skills and abilities by actively involving paraprofessionals in original cataloging. In a separate article, Younger argued for the same approach, stating that libraries need to recognize the fact that some professional tasks can be performed by support staff. She further underscored the fact that this practice would benefit library users. Nevin’s library supervisors to consider whether future hires in copy cataloging units would be involved in original cataloging. She pointed out the importance of teaching cataloging theory and practice and use of cataloging applications to new paraprofessionals. Her list of initial qualifications for copy cataloging positions includes foreign language proficiency, basic knowledge of cataloging standards, and solid general educational background.

Citing changes in the copy cataloging workflows triggered by development of vendor and contract cataloging services and the availability of better cataloging copy in WorldCat, Rider encouraged greater involvement of paraprofessionals in original cataloging. In particular, she delineated a range of library materials that can benefit from in-house processing by support staff, such as foreign language monographs, rare books, and graphic and audiovisual materials. Rider elaborated on possible avenues for development of paraprofessional skills and suggested call number and subject heading assignments, original cataloging of literary works, and cataloging of variant editions as possible training areas. She mentioned solid problem-solving skills and extensive copy cataloging experience as prerequisites for the support staff participation and predicted that paraprofessionals would benefit from better professional opportunities as a result of the training.

Researchers actively used surveys to provide important insights into the role of paraprofessionals in original cataloging. Eskoz surveyed cataloging staff in academic libraries on two occasions and examined the level of cataloging delegated to paraprofessionals. Eskoz’s findings indicated a perceived tendency toward assignment of complex cataloging tasks to paraprofessionals. The level of participation of paraprofessionals in the original cataloging was further investigated by Mohr and Schuneman. Their survey data revealed that 77.1 percent of the respondents assigned original cataloging responsibilities to paraprofessionals. Mohr and Schuneman noted that the participation of support staff in original cataloging was most visible in the larger cataloging departments, confirming Eskoz’s findings. Mohr and Schuneman highlighted various reasons why cataloging managers delegated professional tasks to support staff. Respondents cited the large volume of materials to be processed, the lack of professional catalogers, paraprofessionals’ language and subject expertise, and cost-saving and support-staff professional development reasons. Buttler and Garcha surveyed catalogers in academic libraries: 75.1 percent of the participants indicated a trend toward paraprofessionals’ involvement in original cataloging. Responding to the survey conducted by Bordien and Seiser, 67 percent of academic research library administrators confirmed assigning professional duties to paraprofessionals. Finally, Cox and Myers provided the most recent snapshot on the state of professionals’ and paraprofessionals’ participation in cataloging in Association of Research Libraries (ARL) cataloging departments. The 2010 study confirmed the positive attitude of professional catalogers toward paraprofessionals’ involvement in original cataloging. As library budgets decrease, support staff’s participation in original cataloging helps reduce backlogs, makes possible the redeployment of professional catalogers to more complex work or service needs, and expands work skills of paraprofessionals.

Several authors have observed advantages, disadvantages, and certain concerns related to paraprofessionals’ involvement in complex cataloging tasks. The advantages include better job outlook and opportunities for promotion, reduced backlogs
and increased statistics, and teaching opportunities for professional catalogers. Time-consuming training processes, delegation of managerial duties to professional catalogers, and copy catalogers’ lack of theoretical background are reasons for concern. Adequate compensation and revision of job descriptions are additional important considerations related to assignment of original cataloging tasks to paraprofessionals.

Training Programs and Case Studies

In contrast to the number of studies focused on paraprofessionals’ involvement in original cataloging, the body of literature concerned with the analysis of specific training programs is relatively modest. Robare described a formal training program developed by cataloging professionals at the University of Oregon to teach paraprofessionals to assign call numbers and subject headings to WorldCat member copy. The study noted a number of beneficial outcomes for the library and highly skilled and enthusiastic copy catalogers, including the reduction of the library cataloging backlog, increased productivity, and a more positive outlook of paraprofessionals regarding the future of their positions.

El-Sherbini described the process of a technical services reorganization at Ohio State University and the subsequent changes in copy cataloger job functions. Paraprofessionals underwent a training program developed by professional catalogers. After training, new duties assigned to paraprofessional staff included descriptive cataloging, subject analysis, call number assignment, original cataloging of literary works and variant editions, and authority record creation for the Library of Congress Name Authority File (LC NAF). The program allowed professionals to dedicate more time to supervisory and training duties, eliminated backlogs, and created new challenges and work opportunities for paraprofessionals. This cost-effective program resulted in improved productivity, a streamlined cataloging workflow, and better use of staff’s skills and abilities.

Training of paraprofessionals in subject analysis of theses and dissertations in Oregon State University was a focus of a case study conducted by Sapon-White. The reduction of professional cataloging staff and the need to provide training to staff responsible for the description of digital resources were motivating factors in the program development. The study emphasized that original cataloging by paraprofessionals requires a significant investment of time for training and supervision. Sapon-White also drew attention to the fact that changing job responsibilities from copy to original cataloging involves an important transformation of the work model. He stated that “changing from one work paradigm to another necessitates retraining in both perspective and specific knowledge.”

Paraprofessionals received ongoing training and support from professional catalogers and were given a certain degree of independence following the initial training. Professionals and paraprofessionals alike benefited from the teamwork environment, continued professional growth, and the development of mentor–mentee relationships.

Paraprofessionals, NACO, and PCC

The quantitative measurement of paraprofessionals’ contribution to NACO work was first mentioned by Mohr and Schuneman in their analyses of 1997 survey data. Precisely 57.8 percent of the responding libraries stated that paraprofessionals participated in the establishment of names and uniform titles headings. The authors further speculated that well-documented rules and paraprofessionals’ experience with authority work in copy cataloging were important factors contributing to this figure. The authority-work studies by Wells, Wolverton, and Burke and Shorten mentioned the number of paraprofessional staff involved in authority work in a range from 42 to 78 percent, but did not provide specific data on how many support staff are trained in NACO principles and submit headings to NAF.

In the case study of the NACO program in the University of Florida Libraries, Simpson and Williams addressed staff issues related to authority work. In particular, the authors mentioned that paraprofessionals’ participation in NACO workflow in the past caused some concerns among professional catalogers regarding de-professionalization. The authors reported that after the duties of professional librarians were better defined, this attitude changed and senior level cataloging staff became actively involved in the creation of NACO headings. Simpson and Williams noted the creation of guidelines specifying participation of staff at all levels in the NACO program.

Describing the management of pre-professionals at Kent State University Libraries, Lisius and colleagues mentioned that “some experimentation has taken place training pre-professional catalogers to create name authority records (NARs), all under the review of a NACO cataloger.” In her historical overview of the Indiana Libraries experience with the PCC program, Charbonneau stated that both paraprofessionals and professionals have been trained in NACO principles.

The “White Paper on PCC Role in Continuing Education for Catalogers,” prepared for the PCC Policy Committee, recognized significant contributions made to original cataloging by paraprofessionals. The paper cited results of the informal survey of Monographic Bibliographic Record Program (BIBCO) institutions, acknowledging that 73 percent of the libraries employ paraprofessionals in their BIBCO operations.
Arguing about the future of the PCC program itself, Banush stated in his recent article that “the [PCC] program no longer measures its success by the number of bibliographic records it produces each year, but instead by the extent of its outreach and training, its ability to influence standards development and application, and its expertise in automated systems.”

Background

CUL have a long standing history of training professional staff to catalog materials to PCC level. It started soon after the inception of the PCC in 1995. CUL were one of the early program partners, and many CUL staff participated in the three standing committees initially formed by the program. CUL have been a NACO library since 1989 and implemented series NACO in 1995. In 1996, CUL became a fully accredited BIBCO library, contributing name, series, and uniform title headings to the NAF and later participating in Subject Authority Cooperative Program (SACO) of the PCC (1996) and Cooperative Serials Program (CONSER) of the PCC (1997). Since then bibliographic and authority records have been produced in a variety of roman and nonroman languages, including Chinese, Japanese, and Korean. Numerous professional cataloging staff have been trained to create BIBCO records and name, series, conference, and uniform title authority records, and to submit subject heading proposals to the Library of Congress (LC). All components of the PCC program have been very successful and prolific over the years. A recent report by R2 Consulting for the LC, Study of the North American MARC Records Marketplace, shows that CUL were the fifth most active contributors to the BIBCO program in 2008.

One little-known aspect of the CUL PCC training program is that it soon expanded to include some copy catalogers who started contributing PCC-level records for belles lettres in a variety of languages. In the workflow of technical services at CUL, “belles lettres” are defined as works of fiction, poetry, and drama. This paper discusses the process and efforts involved in training paraprofessionals to catalog to PCC level, create authority records, and submit call number proposals for belles lettres. It also shows that the skills acquired by copy catalogers have potential future use for broader authority control projects and initiatives.

CUL historically have had a remarkable partnership between trainers and trainees. Expert professional catalogers and PCC trainers are capable and willing to train in PCC-level cataloging and authority work. The copy cataloging department also has employed highly motivated copy catalogers with excellent cataloging skills and valuable language expertise. From the program’s inception and through its subsequent development, crucial institutional and administrative support was provided, including managerial assistance to free resources for training and support and to establish workflows to facilitate this level of cataloging.

Staffing Overview

The initial training was conducted by the NACO coordinator in two cataloging divisions (called departments until 2008): Monographs Processing Services (MPS) and Original and Special Materials Cataloging (OSMC). Monographs Processing Services is divided into three units: LC Copy Cataloging, Database Maintenance, and Precat (a precataloging backlog of circulating materials lacking a standard record on receipt). The responsibilities of the MPS copy cataloging staff include creating preliminary records, editing standard records according to national and in-house cataloging rules, verifying personal name and series headings and call numbers assigned by agencies other than the LC, and various database maintenance tasks. In addition, all staff in MPS perform some original cataloging, e.g., “variant edition” cataloging based on an existing standard record for a different edition. The Original and Special Materials Cataloging Division performs most of the original cataloging at CUL, including monographs, serials, and rare books. They also support various digital and metadata initiatives throughout the libraries. One of OSMC’s goals has been to produce a large number of BIBCO records. Thus the division and its members are perfectly situated to provide training and consultation regarding BIBCO and NACO standards. The NACO coordinator was chosen to train copy catalogers in the principles of PCC cataloging and familiarize them with the NACO manual and creation of authority records for personal names and uniform titles.

The MPS and OSMC staff involved in the training process are the NACO training coordinator and the metadata coordinator in OSMC, several copy catalogers, and two professional librarians, who are supervisors in MPS. Staff from both divisions have an excellent long-standing working relationship that contributes to the success of the training and continuing development of the program.

Training Program

In 1997 the NACO coordinator in OSMC started the PCC training program for paraprofessionals by training Slavic copy catalogers to contribute names and uniform titles authority headings to the NAF. The decision to train copy catalogers to create records for belles lettres was made under the rationale that most belles lettres do not require subject analysis and the
classification is more limited and easier to learn. Slavic languages materials were chosen initially for training purposes for several reasons. First, a steady flow of Russian and other Slavic belles lettres required immediate cataloging to avoid creating a backlog. Second, experienced and motivated copy catalogers were capable and willing to learn new workflows, an important factor that is crucial in a unionized environment. An additional contributing factor was that the NACO coordinator is also the principal Slavic cataloger, so the training and later revisions were facilitated by her language expertise.

The initial training took several weeks of one-on-one sessions familiarizing the trainees with the NACO Participants Manual, the appropriate Anglo-American cataloging rules, the Library of Congress Rule Interpretations, and WorldCat bibliographic searches needed to perform authority work. Teaching the trainees to catalog directly in WorldCat also was imperative; prior to training, all copy cataloging work was done in the local integrated library system.

The workflow was and still is very straightforward. The copy cataloger creates a PCC-level record for the monograph in WorldCat, verifies all headings, creates authority records for new name and uniform title headings as appropriate, saves them in the online authority save file, assigns an LC call number, and finishes processing. The fully cataloged book with the attached printout of the proposed authority heading is then routed to the reviewer, who reviews the bibliographic and authority records and discusses any needed edits with the copy cataloger. After the corrections are made, the authority records are produced by the reviewer in WorldCat.

Figure 1 shows a bibliographic record created by a copy cataloger in WorldCat for a Greek title (the example includes only the variable MARC fields of the WorldCat record). Here the 040 (cataloging source) field is ZCU—the CUL WorldCat code—and the 066 (character sets present) field indicates presence of vernacular scripts, in this case Greek. The record is coded “pcc” in the 042 (authentication code) field and the call number is assigned according to the LC guidelines for creating call numbers for literary authors. The 100 (main entry—personal name), 245 (title statement), 250 (edition statement), and 260 (imprint) fields have parallel fields in Greek; providing the vernacular script for nonroman languages is one of the strengths of the program. The name of the author is constructed according to the NACO principles, and an authority record is submitted to the LC NAF.

Figure 2 shows an example of the name authority record in the LC NAF for the personal author that appears in figure 1 (variable fields only). The name authority record in figure 2 uses the birth date of the author as part of the heading; it also provides the transliterated and Greek form of the name and cites the bibliographic information as found in the book.

The trainers implemented some modifications to the initial ambitious plan. For example, although contributing series authority records (SARs) by paraprofessional staff had been envisioned, it never fully materialized because of the additional extensive training and oversight required. For a period, some copy catalogers created SARs for Slavic materials with the
Since 2003, the workflow includes an additional component that facilitates cataloging subsequent works of the same literary author. Because classification numbers for current literary authors are generally not printed in the LC classification schedules, the class number for a literary author is included in the 053 field of the author’s name authority record to keep a consistent shelflist. CUL copy catalogers are trained to assign the call number for the work in the bibliographic record and recommend a class number to be included in the 053 (LC classification number) field of the authority record. This step required additional training and involved further searching in both local and LC shelflists.

The copy cataloger uses a local Library of Congress classification proposal form (figure 3) to propose an LC literary author call number to be included in the authority record’s 053 field. When this is finalized, it is used to populate the request sent to the LC. This local form also includes a date, the copy cataloger’s name and e-mail address, the author’s name as formulated for the name authority record, and brief information about the author’s nationality or place of residence, language, occupation, and so forth.

In 2006, the LC ceased producing series authority records for new series; therefore the CUL decision not to trace most of the series on the belles lettres materials cataloged to PCC level produced by copy catalogers was the most practical one. Currently, the CUL guidelines for copy catalogers mandate recording new series lacking SARs in the NAF in the 490 (series statement) field, second indicator 0, of the bibliographic record.

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Over time, some nonroman scripts (mostly Slavic and Modern Greek) have been added to both bibliographic and authority records, requiring further training for creating name and uniform titles authority records. For example, copy catalogers needed to learn the differences in fixed fields of authority records with and without vernacular scripts as well as the order of the transliterated fields or positions versus those in the vernacular script.

The program uses locally developed and WorldCat macros for complex cataloging tasks. The in-house macros are used in the 053 proposal form for supplying diacritics in authors’ names. This step is especially
important because of the variety of vernacular scripts used in the 053 proposal forms. The WorldCat macros include creating authority records to be contributed to the NAF and adding nonroman scripts to the bibliographic record in WorldCat. Some macros, such as those to create name and uniform title authority records, were first tested in the workflows of the OSMC Division; others (e.g., adding the vernacular script to the bibliographic record in WorldCat) were initially implemented in MPS. All macros facilitate quicker cataloging of materials and result in an accurate and type-free environment crucial for cataloging materials to PCC level.

Since the inception of the program, seven copy catalogers have been trained to create PCC-level records for belles lettres materials in a variety of languages. Most recently, Greek, English, Spanish, and some African languages have been added to the Slavic and Eastern European languages that inaugurated the program. Only seven copy catalogers were chosen to participate in the program because of a combination of the availability of belles lettres materials in certain languages that match the copy catalogers’ language proficiency and a need for a high degree of cataloging judgment and a good understanding of national cataloging principles in addition to a thorough understanding of CUL’s local procedures. MPS contributes a significant number of PCC-level cataloging to the CUL BIBCO and NACO production. The recent PCC production statistics for 2008–10 indicates that 21.6 percent of CUL PCC output is created by copy catalogers.

Discussion

The process of painstakingly producing PCC-level records, and especially creating authority records for name and uniform titles, requires significantly more complex skills than does basic copy cataloging. It is a time-consuming process involving considerable intellectual effort. The skills required for this type of high-level cataloging work can be taught to copy catalogers, but ongoing support is necessary to promote their continuing development. To identify the correct form of a personal name and appropriately construct it, researching personal names and performing additional bibliographic and authority record searches to identify the proper form of the author’s name are essential. Paraprofessional staff need to continually practice establishing authority records on a regular basis to maintain these valuable skills.

Also worth mentioning are potential bargaining union issues associated with assigning original PPC-level cataloging to copy cataloging staff. Copy catalogers, unlike professional librarians at CUL, are unionized, and CUL has established a special task for PCC cataloging of belles lettres materials in its union classification system. This requires a high degree of cataloging judgment, very good understanding of national cataloging principles in addition to a thorough knowledge of CUL’s local procedures, and often a substantial knowledge of specified foreign languages. Assigning this task to a copy cataloger has meant upgrading a union position to the highest level in the union classification system. This practice has been successful in the CUL environment primarily because specialized language skills are needed to perform these tasks. However, libraries lacking a steady volume of belles lettres acquisitions may not fully benefit from implementing similar programs.

Using a WorldCat search combining the PCC marker, language of cataloging, and imprint date, the authors determined that many U.S. academic and some U.S. public libraries contribute PCC-level records for belles lettres materials. Whether any of them employ paraprofessional catalogers to create PCC-level records is unknown. In this respect, sharing this program experience with technical services managers and practitioners is important because, despite initial training expenditures and efforts to establish workflows, it is an efficient process that brings high-quality records to WorldCat to be shared by libraries and cataloging agencies.

This program has many positive results for catalogers and users alike. The success of this training and resulting contributions to BIBCO and NACO can be seen in the absence of a belles lettres backlog at CUL. Aside from revisions and corrections, professional catalogers’ time is not used to process these materials. The belles lettres are available to patrons in a timely manner, thus contributing to comprehensive collection development. If the work is in a nonroman language, the record provides access to the original script, facilitating users’ discovery of these materials. CUL enjoys a well-organized shelf list in the literary authors’ area because of the extra attention to the classification and 053 proposals. The establishment of a literary author class number leads to a better collocation of materials for works of the same author, allowing for better user browsing capabilities. CUL PCC records for belles lettres are immediately available in WorldCat, which gives other libraries an opportunity to use them for copy cataloging faster and increases the cooperative value of the program. The contributions of the PCC-level records for belles lettres by paraprofessional staff amounts to an average of 1,060 bibliographic records per year.

In addition, CUL’s NACO and BIBCO training program and steady production of name authority records by copy catalogers paves the way for future expansion, especially in developing new tools and potential opportunities for catalogers to employ their knowledge and skills. The skills acquired by copy catalogers also could
be used in other projects such as name disambiguation, metadata creation, and contributing to any type of future authority file. Recently, a survey conducted by Veve and Feltner-Reichert revealed that 71 percent of copy catalogers would like to have a broader variety of job duties and would like to be on the “cutting edge of cataloging.” In this survey, professional and nonprofessional catalogers alike perceived creating non-MARC metadata is a “natural extension of catalogers’ responsibilities.”

Furthermore, Banush underscored the importance of “consistent naming conventions” in the current information environment, and he believed that the PCC—and especially its NACO component—have the potential to preserve vital principles of authority control. Contributions of name authority headings to the WorldCat Cooperative Identities Hub (www.worldcat.org/identities) or to the Virtual International Authority File (VIAF) (http://viaf.org), which were proposed in the 2009 “Report of the PCC Task Group on the Internationalization of the Authority Files,” can serve as examples of potential libraries participation. Name authority control becomes crucial to ensure discoverability in the new networking environment. Copy catalogers well versed in PCC cataloging and creation of name authority records could be trained to participate in name disambiguation projects or the identification and distinguishing of names in a metadata context.

Conclusion

The CUL PCC training program for copy catalogers has proven to be a valuable investment of cataloging resources. The program benefits not only CUL but the entire cooperative cataloging community. It provides opportunities for professional development and has great potential for the future.

The program for training paraprofessional catalogers to catalog belles lettres materials to PCC level, create name and uniform titles authority records, and propose class numbers for literary authors serves the immediate needs of CUL for more efficient and practical solutions to cataloging these materials. The belles lettres materials are available to the users in a timely manner, they are not backlogged, and, because of the authority work and a careful revision process, they represent high-quality bibliographic records. The program for training copy catalogers to create PCC records for belles lettres materials not only has a potential to benefit libraries with extensive collections of foreign poetry, drama, and fiction, but provides a model for cataloging more commonly held English language belles letters. Moreover, the upgrade of vendor records found in WorldCat to PCC level represents an additional benefit to shared cataloging. In addition to providing bibliographic records, which can be shared immediately with peer institutions, the program trained paraprofessionals whose professional development was very much influenced by the assigned task. Of the seven copy catalogers trained in the CUL PCC program, four graduated from library schools and became professional catalogers. The success of the program also suggests other potential benefits. Currently, when the international potential of the PCC program is tested, expanding the pool of catalogers who can expertly contribute headings to either the NAF or the VIAF becomes an important consideration. As the bibliographic universe becomes increasingly complex, the need for quality metadata, consistent author numbers, and author disambiguation will only increase in importance.

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