

UNITED STATES GOVERNMENT

Memorandum

LIBRARY OF CONGRESS

TO: PCC participants, OCLC, RLIN

DATE: April 24, 2003

FROM: LC "change of issuance" group

SUBJECT: Change in mode of issuance of integrating resources and the impact on distribution and maintenance of bibliographic records for integrating resources

Background

In 2001, the PCC established a Task Group on Implementation of Integrating Resources. One of the charges to the group was to "consider the maintenance and distribution issues associated with integrating resources ... and recommend further action." The report on distribution of records is part 3 of the final report of the task group; two scenarios for distribution are included with the recommendation that the second be adopted. The report is available on the PCC Web site at the following address:

<http://www.loc.gov/catdir/pcc/tgintegrfinal.pdf>

One topic not addressed in the report of the task group is the fact that a cataloger may need to indicate a different mode of issuance than that originally identified for a bibliographic resource. Such a situation can occur for two reasons: (1) a bibliographic resource can change its mode of issuance (an electronic serial can become an electronic integrating resource); and, (2) the mode of issuance can be incorrectly identified at the beginning of processing a bibliographic resource in a library. There is a placeholder in LCRI 1.0 for guidelines covering actions to be taken when the mode of issuance included in the MARC 21 bibliographic record is incorrect.

The issues raised in this memo and the actions noted in the accompanying tables will be discussed at the May meetings of the BIBCO and CONSER operations committees. Final decisions will be made by the PCC Policy Committee.

Tables of actions

The accompanying tables of actions were developed by an LC group looking at what needs to be done to enable distribution of records created either just by LC catalogers or by LC/PCC catalogers (really just PCC catalogers working in OCLC).

The tables are based on the second scenario in the task group's report: as long as code "m" is used in the Leader bibliographic level, records for integrating resources will be distributed with records for books, cartographic materials, sound recordings, etc. (based on type of record value); when code "i" is available, records for integrating resources will be distributed with records for serials. A serial 006 is added to records for integrating resources until code "i" is available.

The primary basis for determining action is the presence/absence of an LCCN. If the record has an LCCN, it has been received, is maintained, and, depending upon the processing status of the bibliographic resource, is distributed by CDS. Much of the complexity in the table is due to requirements that records distributed in one of CDS's product lines cannot be re-distributed in another product line until it has been deleted from the original product line (i.e., must be deleted then re-added). For example, a record for a book that is determined to be an atlas (cartographic material) must first be deleted from the book

distribution before it can be added to the cartographic distribution-- changes to bibliographic level usually also require this type of “delete and add” transaction.

All possible conditions of change have been included in the tables although it is likely that several of them may not occur.

Some conditions in the table are subdivided into “first-time cataloging” and “resource changes” because the necessary actions are different.

First-time cataloging = situation when the mode of issuance was incorrectly identified at the beginning of processing a bibliographic resource in a library. Records can be ibc records (initial bibliographic control, or “in process”), records from other libraries, and potentially records from other PCC libraries.

Resource changes = situation when the bibliographic resource has changed its mode of issuance. Records can be LC MARC records and potentially records from other PCC libraries.

Some decisions are marked with an asterisk because the LC group was sure that such possible actions were dependent upon utilities’ policies. The group assumes that the utilities may have policies affecting other actions listed in the tables.

After the tables have been reviewed by the utilities, a more user-friendly presentation of the desired actions will be added to LCRI 1.0.

Related aspects

If records created by PCC participants are to be distributed, other actions/decisions related to record creation and maintenance are needed:

- an 042 code must be included in the records in order to identify the records in OCLC
- cataloging managers at LC and at other libraries must decide if records updated by other PCC participants are wanted in local catalogs
 - if the local library isn’t updating the integrating resource itself (a common occurrence at LC for updating loose-leaves) or isn’t any longer acquiring the integrating resource, the bibliographic record may no longer represent the resource as held by the library
 - in some systems (including at LC), the replacement of the existing record by the updated record requires the post-cataloging addition of the OCLC number to the record in the local catalog
- cataloging managers at LC and at other libraries must agree to the updating of the records in OCLC rather than in the local catalog; information will need to be included in the record to indicate that maintenance shouldn’t happen in the local catalog
- legacy records (i.e., records for integrating resources created prior to implementation of bibliographic level code “i”) pose a serious problem. Most of these are currently coded with bibliographic level “m” and have been distributed via MDS-Books or other products (e.g., cartographic materials, music). Retrospectively changing all of these records will be difficult and time-consuming and will not be possible if associated system links, such as purchase orders, exist. Not deleting these records, however, could result in duplicates in LC’s ILS if OCLC or a cataloger subsequently changes the bibliographic level code in the record. Continued discussion will be necessary to see how or if legacy records can be changed.

Table 1: Change of Issuance ---- Code “i” not yet implemented

This table applies to situations when the only change is in the mode of issuance of the same resource. It does not apply to those situations when the decision is changed for future issues of a monographic series from classified separately to classified as a collection.

Change	Modify that record?	Create new record & include full scope of resource? (If “yes,” delete existing record if possible; if not possible, suppress record from OPAC.)	Create new record & not include full scope of resource? (If “yes,” give links between records.)
Mono to integ’g – existing record lacks LCCN (m/m)	Yes	N/A	N/A
Mono to integ’g – existing record has LCCN (m/m)	Yes	N/A	N/A
Mono to serial – existing record lacks LCCN (m/s)	Yes	N/A	N/A
Mono to serial – existing record has LCCN (m/s)	No	Yes	NA
Serial to integ’g – existing record lacks LCCN (s/m)	Yes	N/A	N/A
Serial to integ’g – existing record has LCCN; first-time cataloging (s/m)	No	Yes	N/A
Serial to integ’g – existing record has LCCN; resource changes (s/m)	No	No	Yes

Change	Modify that record?	Create new record & include full scope of resource? (If “yes,” delete existing record if possible; if not possible, suppress record from OPAC.)	Create new record & not include full scope of resource? (If “yes,” give links between records.)
Electronic serial that incorporates past contents and doesn't maintain division of issues – existing record has LCCN [resource changes] (s/m)	No	Yes	N/A
Integ'g to serial – existing record lacks LCCN (m/s)	Yes	N/A	N/A
Integ'g to serial – existing record has LCCN; first-time cataloging (m/s)	No	Yes	N/A
Integ'g to serial – existing record has LCCN; resource changes (m/s)	No	No	Yes
Integ'g to mono – existing record lacks LCCN (m/m)	Yes	N/A	N/A
Integ'g to mono – existing record has LCCN (m/m)	Yes	N/A	N/A
Serial to mono – existing record lacks LCCN (s/m)	Yes	N/A	N/A
Serial to mono – existing record has LCCN; first-time cataloging (s/m)	No	Yes	N/A
Serial to mono – existing record has LCCN; resource changes (s/m)	No	No	Yes

Table 2: Change of Issuance ---- Code “i” implemented

This table applies to situations when the only change is in the mode of issuance of the same resource. It does not apply to those situations when the decision is changed for future issues of a monographic series from classified separately to classified as a collection.

Change	Modify that record?	Create new record & include full scope of resource? (If “yes,” delete existing record if possible; if not possible, suppress record from OPAC.)	Create new record & not include full scope of resource? (If “yes,” give links between records.)
Mono to integ’g – existing record lacks LCCN (m/i)	Yes	N/A	N/A
Mono to integ’g – existing record has LCCN; (m/i)	No	Yes	N/A
Mono to serial – existing record lacks LCCN (m/s)	Yes	N/A	N/A
Mono to serial – existing record has LCCN (m/s)	No	Yes	NA
Serial to integ’g – existing record lacks LCCN (s/i)	Yes	N/A	N/A
Serial to integ’g – existing record has LCCN; first-time cataloging (s/i)	Yes *	N/A	N/A
Serial to integ’g – existing record has LCCN; resource changes (s/i)	No	No	Yes

Change	Modify that record?	Create new record & include full scope of resource? (If “yes,” delete existing record if possible; if not possible, suppress record from OPAC.)	Create new record & not include full scope of resource? (If “yes,” give links between records.)
Electronic serial that incorporates past contents and doesn't maintain division of issues – existing record has LCCN [resource changes] (s/i)	Yes*	N/A	N/A
Integ'g to serial – existing record lacks LCCN (i/s)	Yes	N/A	N/A
Integ'g to serial – existing record has LCCN; first-time cataloging (i/s)	Yes *	N/A	N/A
Integ'g to serial – existing record has LCCN; resource changes (i/s)	No	No	Yes
Integ'g to mono – existing record lacks LCCN (i/m)	Yes	N/A	N/A
Integ'g to mono – existing record has LCCN (i/m)	No	Yes	N/A
Serial to mono – existing record lacks LCCN (s/m)	Yes	N/A	N/A
Serial to mono – existing record has LCCN; first-time cataloging (s/m)	No	Yes	N/A
Serial to mono – existing record has LCCN; resource changes (s/m)	No	No	Yes

* – dependent upon utilities' policies