

Update Information 2006 Update Number 3

DCM	Title	Action/Change
TOC	Table of Contents	Revised to reflect this update.
B13.9.2	Copy Cataloging Manual - Appendix 6: Team Level Import Procedures	Changed reference from DCM C15 to DCM M4.
C12.5.1	Multipart Items and Added Volumes	Changed reference from DCM C13 to DCM M3.
M3	Bibliographic and Authority Database Maintenance In the LC ILS	Revised from a “working draft” to become a “final” document, incorporating suggestions from staff comments and changes in LC cataloging policies.
M3.1		Changed to eliminate reference to series authority record maintenance.
M3.3.1.3		Added email address for CPSO Database Improvement Unit.
M3.3.2.2.2		Simplified and clarified information and reorganized presentation in response to comments.
M3.3.2.4		Deleted instruction related to series authority record maintenance.
M3.3.4		Changed for consistency with revised <i>Serial Record Manual</i> guidelines for monograph-to-serial recataloging.
M3.3.4.1		Reworded and simplified in response to comment.
M3.3.6		Changed DCM reference citation from M4 to M4.4.2.
M3.4.1		Changed to eliminate reference to series authority record maintenance.

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DCM	Title	Action/Change
M3.4.1.1		Changed to eliminate reference to series authority record maintenance.
M3.4.2.2		Deleted instruction related to series authority record maintenance and reorganized presentation to suit simpler content.
M3.4.3		Changed to eliminate reference to series authority record maintenance.
M3.4.3.1		Changed to include LCCN citation in recommended message, in response to comment, and to simplify.
M3.4.4		Deleted instructions related to series authority record maintenance.
M3.6.2		Changed to cover additional former upgrading projects.
M4 [new]		New DCM M4 presents guidelines for making referrals in order to resolve questions regarding serial versus non-serial cataloging treatment of resources in LC. It supersedes content formerly in appendixes to DCM C15, updated to reflect the current LC cataloging environment and policies. DCM M4 summarizes the LC policy making serial versus non-serial questions necessary and the bases for serial versus non-serial decisions. It distinguishes referrals for “known LC serials” and for “possible serials” and provides identification criteria and referral procedures for each, along with brief descriptions of processing that may occur after referrals are made. It also summarizes steps taken when serials catalogers refer resources for cataloging as monographs or integrating resources. Suggestions to CPSO for improving new DCM M4 are invited.
Z1	Name and Series Authority Records	Revised yellow pages are listed below with a summary of the changes in content:

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		<p>008 - RLIN - information on mnemonics in RLIN deleted. As of May 2005, RLIN 21 uses the MARC 21 naming conventions for values in the 008 fixed field.</p> <p>670 - character of 670 changed to emphasize the evolving nature of the guidelines as a set of “best practices” rather than a prescribed set of rules. The concept of “name not given” was restored with reasons included why such a citation may be useful in a shared authority file. Deleted the examples for substituting the spacing underscore and spacing tilde in URIs, as these data elements are now authorized for use in the LC/NACO authority file.</p>

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[replaced by Appendix 1, DCM Z1 in 2005]	

cataloged work that it is preferable to use the MAKE A COPY feature to copy a record from an internal instead of an external source. If a record from an internal source is found, do the following:

- a) check the call number of the previously cataloged work and determine whether it indicates that the item in hand is out of scope for the team; if so, redistribute the item to the appropriate team according to team practice;
 - b) otherwise, decide whether to use the MAKE A COPY feature or to search for an external record.
- 7) **Editions:** prefer the use of the MAKE A COPY feature to copy LC cataloging for an earlier edition instead of searching for outside library copy for the edition in hand.
 - 8) **Serials:** forward known or suspected serials to SRD according to team practice and DCM M4.
 - 9) **Added volumes:** route according to team procedures.
 - 10) **CIP verification titles:** route according to team procedures.
 - 11) **Referrals for language assistance:** re-route according to team procedures.
 - 12) **Titles in series not analyzed or not worth analysis:** refer according to team procedures.
 - 13) **Ephemera to be referred to a Selection Librarian:** refer according to team procedures.

B13.9.3 CRITERIA FOR SELECTING RECORDS TO IMPORT

B13.9.3.1 General

The primary concern is to find a record that will save time in the LC cataloging process. A record that is incomplete or requires extensive editing may not be more advantageous than doing original cataloging.

B13.9.3.2 Language Of Cataloging

The language of cataloging is the language used in the physical description, notes, etc. Do not confuse this with the language of text (008/35-37; 041 \$a subfield). Subfield \$b of field 040 has been defined to contain a code for the language used in cataloging. If subfield \$b is not present in a record, assume the language of cataloging to be English. With respect to copy cataloging, observe the following two points:

- 1) external records are candidates for use in copy cataloging **only** if the language of cataloging is English (040 \$b not present or, if present, contains "eng");
- 2) if 040 subfield \$b is present, insure that it is "eng"; if it is anything other than "eng" look for a record that does have the language of cataloging in English; if none is available, import the record under the OrigRes cataloging stream, not that for copy cataloging; **remove** field 035 from the record (to insure that the record issued by LC does not merge/replace a "parallel" record that might be in OCLC (i.e., another record for the

multipart monographs: if the item is numbered and classified separately, slip it priority 2; if it is classified as a collection and not analyzed, slip it priority 2; if it is classified as a collection and analyzed, slip it priority 1 (see DCM Z1 under “Priority for series/multipart items”).

C12.5 PROCESSING ITEMS COVERED BY AN EXISTING AACR2 COLLECTED SET RECORD

C12.5.1 General

Use these procedures to add a newly-received published volume to an existing AACR2 collected set record for a multipart monograph. These instructions do not apply to CIPs at the pre-publication stage. They require special procedures, given below in DCM C12.5.4.1.

In general, update the record to reflect the item in hand. Follow all pertinent sections of the *Descriptive Cataloging Manual* (especially DCM M3 on record/catalog maintenance), LCRI 1.0C, and DCM Z1 for series authority records.

C12.5.2 Description

C12.5.2.1 The part in hand

Examine the part in hand to be added. Compare all information from the part to the description in the collected set record. If the part in hand shows variations from the description of the collected set record, make any necessary changes to the record. Note that rules 21.2A1 and 21.3A2 allow for exceptions whereby a part other than the first may be used both as the basis of the description and for determining choice of main entry for the item as a whole.

C12.5.2.2 Temporary data

Record temporary data and holdings according to LCRI 1.0C (i.e., within angle brackets if the set is incomplete). Indicate the numbers/designations of the parts inclusively (if they are consecutive) or individually (if they are not consecutive). All holdings must be recorded in the bibliographic record. When adding another volume to a bibliographic record with the note “Holdings listed in shelflist only,” create a 505 field beginning with the volume being added; then, send a printout of the collected set record to CPSO.

C12.5.2.3 Cataloger's note (952 field)

Supply a cataloger's note indicating any action taken according to DCM B9. Do not add a 952 field solely to indicate the adding of a part.

C12.5.2.4 Closing the entry

If the part being added completes the set, update the record to reflect in all aspects the completed multipart monograph (e.g., ending publication date in 008 and 260 fields, extent in 300 \$a).

C12.5.3 JACKPHY Upgrade/Update Conventions

For monographs represented by a less-than-full JACKPHY collected set record (cf. DCM B5.11) in the LC ILS Database, use the following procedures:

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Bibliographic and Authority Database Maintenance in the LC ILS August 2006

M3.1 SUMMARY

DCM M3 presents guidelines for maintaining bibliographic records and name, title, and name/title authority records in the LC ILS database. It does not explain all reasons why record and database maintenance may be necessary; those depend on cataloging guidelines (LCRIs, DCM, etc.) and on practical circumstances. It provides policies for carrying out LC ILS database maintenance once the need to do so has been determined. Although some staff use OCLC and RLIN 21 to do LC record maintenance, this document chiefly addresses maintenance done in the LC ILS system. Principal guideline topics are modifying records for maintenance purposes (M.3.3.1-M3.3.3, M3.4.1-M3.4.2), canceling records (M3.3.4, M3.4.3), and changes to bibliographic or authority records due to changes in cataloging approach (M3.3.5-M3.3.6, M3.4.4).

Note: Beginning in June 2006, LC catalogers do not maintain series authority records.

For guidelines on maintaining subject heading and classification authority records and subject elements in bibliographic records, see *Subject Cataloging Manual (SCM)*, with special attention to the following:

<i>SCM</i> D 240	Subject Heading Corrections in MARC Bibliographic Records
<i>SCM</i> D 241	MARC Call Number Changes
<i>SCM</i> F 50	Classification Proposals
<i>SCM</i> H 193	Changing a Heading or Deleting a Subject Authority Record
<i>SCM: Shelflisting (ILS Supplement)</i> , Workflow #20	Changing Call Numbers (http://www.loc.gov/staff/catdir/cps0/WF20.PDF)

*M3.3.1.3**Distributing workload*

Each division/unit establishes its own criteria, determined by local resources and service goals, for either absorbing record maintenance into local workflows or referring records to CPSO Database Improvement for maintenance. Number of records affected may or may not be a deciding factor, according to the local preference and circumstances.

Individuals consider their local policy and the facts of the specific situation when deciding whether to do maintenance of a record or group of records within the local unit or refer the record(s) to CPSO Database Improvement. If keeping the work within the local unit, expedite completion of the record maintenance through the local workflow as soon as possible. If referring it to CPSO Database Improvement, submit a database maintenance request as soon as possible to CPSO as instructed below.

Include the following information in every database maintenance request submitted to CPSO:

- LCCNs of record(s) needing maintenance (or instruction to make change *in all records*)
- exact description(s) of change(s) required
- name and email address of person submitting request

Submit database maintenance requests to CPSO by using the electronic Database Maintenance Request form available on the CPSO staff Web site (<http://www.loc.gov/staff/catdir/cpso>). If circumstances make them more practical, other methods of communication (such as email to dbiu@loc.gov or internal mail to CPSO Database Improvement, mail stop 4305) are also acceptable, provided they include all necessary information, as described above.

M3.3.2**Guidelines For Doing Record Maintenance**

Use the procedure in M3.2.2 when modifying any LC ILS database bibliographic record for maintenance purposes. Additionally, follow the bibliographic maintenance guidelines in M3.3.2.1-M3.3.2.4 when applicable.

*M3.3.2.1**Heading maintenance guidelines*

When a bibliographic record requires only heading maintenance, only take actions necessary to modify the heading for which you are doing maintenance. Do not routinely review other headings or data in the record(s) for possible maintenance opportunities, but fix obvious errors as necessary when you become aware of them in passing (for example, when Validator reports them).

M3.3.2.2*CIP pre-publication record modification guidelines*

Apply the special instructions in M3.3.2.2.1-M3.3.2.2.2 to monograph and integrating resource bibliographic records with the following characteristics:

- Leader/17 (encoding level) = “8”
- 263 is present and has a value *other than* “1111”
- 906 \$b has a value *other than* “ibc” or “vip”

In all other cases apply regular maintenance procedures.

M3.3.2.2.1**General procedures**

- 1) Follow regular procedures for distributing maintenance responsibility (see M3.3.1) and making necessary modifications in the bibliographic records.
- 2) Leave the 906 \$a value as “7” (distribute record) during the modification process.
- 3) If record maintenance requires the work of more than one staff person, forward the item *promptly* according to regular workflow procedures.
- 4) *Last staff person completing the record modifications:* Change the code in 906 \$b of the record and notify CIP Division according to instructions in M3.3.2.2.2.

M3.3.2.2.2

Notification of CIP pre-publication changes

When making changes in CIP pre-publication records, apply codes “rix” and “rip” in 906 \$b as instructed in the following table.

<i>Make 906 \$b value:</i>	<i>Conditions for application:</i>
<p>rix</p> <p>Revised data are <i>not</i> sent to publisher.</p>	<p><i>If either:</i></p> <p>(1) Changes are <i>only</i> in one or more of the following:</p> <ul style="list-style-type: none"> • content designation • Leader, 008, 006, 007 • 020 • 04X • 260 or related date in 050 • 263 • 9XX <p><i>or:</i></p> <p>(2) Field 263's date is <i>more than one year old</i> (with change <i>anywhere</i> in the record)</p>
<p>rip</p> <p>Revised data are sent to publisher.</p>	<p><i>If both:</i></p> <p>(1) Changes are in any aspect of the record <i>other than</i> those listed above in (1) for “rix” (including but not limited to headings)</p> <p><i>and:</i></p> <p>(2) Field 263's date is <i>one year or less old</i> or has not arrived yet</p>

Notify CIP Division of changes made in a CIP pre-publication record, using a method corresponding to the way the item came to you for maintenance (for example, through the ECIP traffic manager if the maintenance request came that way, or using a printout and CIP Problem Routing Slip if you initiated the changes based on items or information in hand). If CIP Division sent physical pieces to you with a change request, return the package there.

M3.3.2.4*Call numbers*

Change the information in field 050 or 051 of a bibliographic record when maintenance requires doing so for any reason (for example, to correct a typographical error or because of reclassification). Correct 050/051 in the bibliographic record as necessary regardless of whether you have been able to retrieve items carrying the incorrect call number or not.

Important: Call number changes in bibliographic records may involve maintenance of holdings and item records. See *Subject Cataloging Manual: Shelflisting (ILS Supplement)*, Workflow #20 (<http://www.loc.gov/staff/catdir/cps0/WF20.PDF>) and DCM C8 (Procedures Applicable to Materials Stored at Ft. Meade) and follow their guidelines concerning:

- 1) when to attempt and when not to attempt retrieval of items carrying the incorrect call number
- 2) when and how to correct holdings and item records at the same time as correcting the bibliographic record
- 3) when and how to annotate holdings and item records for later maintenance instead of correcting them immediately
- 4) when and how to request correction of holdings and item records for reference locations
- 5) when and how to annotate holdings records to show LC's policy of not correcting call numbers on copies stored at Ft. Meade (DCM C8.4)

M3.3.3**Maintaining Less-Than-Full Records**

Do maintenance as necessary in less-than-full bibliographic records in the LC ILS database, as well as in full/core bibliographic records.

For guidelines on upgrading brief JACKPHY records (that is, improving less-than-full JACKPHY records to full/core records), see M3.5 (Appendix 1: Upgrading Brief JACKPHY Records).

M3.3.4 Canceling Records

Cancel bibliographic records in order to eliminate duplicate or unnecessary records from the LC ILS database.

Follow your local division/unit workflows and routines for canceling and deleting bibliographic records in the LC ILS or requesting their deletion. Divisions and units may have different local operations with respect to division of responsibilities, workflow details, and who has authorization to delete records from the LC ILS database. Incorporate the following in any local workflows:

- Refer serial and JACKPHY-language records needing cancellation as instructed in M3.3.4.7.
- Carry out the requirements in M3.3.4.1-M3.3.4.6.
- Complete the steps in M3.3.4.1-M3.3.4.5 preceding (or at the same time as) final deletion of the record per M3.3.4.6.
- Where the local workflow has staff submitting deletion requests to someone with delete authorization, make clear how the deletion requests fit in with other workflow steps and what form(s) of deletion request to use (for example, annotated printouts).

Serials catalogers expedite the cancellation of non-serial records in conjunction with recataloging a resource as a serial, when that is appropriate, or add notes to affected serial and non-serial records to help users locate holdings, when cancellation is not appropriate. They follow instructions in the *Serial Record Manual* (<http://www.loc.gov/staff/srd/srmanual.html>) when doing so.

M3.3.4.1*Inputting cancellation message*

Input a message in the form “[staff code] [date] MESSAGE Being canceled” in 955 \$a of an LC ILS database bibliographic record when you determine that cancellation of the record will occur:

Example 955 ## \$a xx04 2005-11-15 MESSAGE Being canceled

Do this as soon as possible, in order to alert other catalogers and help prevent unnecessary processing. (Delete-authorized staff need not input the message right before deleting a record.)

Suppress the record from LC’s OPAC (unless there are unretrieved items associated with the record that potentially still could circulate).

M3.3.4.2*Retrieving items in LC collections*

Obtain copies (if any) of resources covered by the unwanted record that are shelved in LC’s collections **and** are going to be re-labeled as part of your record cancellation workflow. Examples of items *not* retrieved during record cancellation include:

- *copies in reference locations:* See *Subject Cataloging Manual: Shelflisting (ILS Supplement)*, Workflow #20

(<http://www.loc.gov/staff/catdir/cps0/WF20.PDF>) for instructions on handling call number changes affecting reference copies.

- *copies stored in Ft. Meade*: LC does not correct call numbers on these items (see DCM C8.4).

M3.3.4.3 Tracking canceled LCCN

When canceling an unwanted bibliographic record in favor of a new or existing one, track the LCCN of the canceled bibliographic record in 010 \$z of the record retained in the LC ILS database. When canceling multiple records, input their LCCNs in separate 010 \$z subfields. (Do not track “sv”- or “unk”-prefixed numbers, which were LC-internal, not sent out in MARC distribution.)

M3.3.4.4 Transferring holdings data and item records

Where applicable and as necessary, transfer or re-link any holdings data and item records from an unwanted bibliographic record to the one retained in the LC ILS database before deleting the bibliographic record or requesting its deletion, according to your local workflow. Delete-authorized staff should confirm that necessary data have been moved before carrying out a deletion.

The LC ILS system requires first deleting any remaining item and holdings records linked to a bibliographic record (for example, ones lacking data or created in error) before finally deleting the bibliographic record itself.

M3.3.4.5 Preparation for re-labeling

Line through any LCCN or call number from the canceled record that appears on items retrieved from LC’s shelves. Route items for re-labeling, as necessary.

M3.3.4.6 Deleting record or requesting deletion

A delete-authorized staff member receives the deletion request and deletes the record from the LC ILS database (that is, clicks “Record / Delete”).

If you do not have LC ILS delete authorization, follow your local division/unit procedures for carrying out the steps in M3.3.4.1-M3.3.4.5 and requesting deletion of the bibliographic record. If other staff perform some of the steps in M3.3.4.1-M3.3.4.5 after you determine the record will be canceled, they (rather than you) may be the ones to submit the final deletion requests to someone with the necessary authorization.

Follow the instructions in DCM C7.3.1 for suppressing and modifying, instead of deleting, bibliographic records with linked Purchase Orders. LC ILS does not allow deletion of bibliographic records with P.O.’s linked to them. LC policies require retaining those as audit trail records, as explained in DCM C7.3.

If you delete a bibliographic record that (you realize too late) should remain in the LC ILS database, **do not “re-input” the record**. Instead, email to CPSO immediately the record’s LCCN and a request to restore the record (so that a CPSO specialist can retrieve the record from a CDS file).

M3.3.4.7 Referrals for record cancellation

Refer *serial* bibliographic records needing deletion from the LC ILS database to Serial Record Division, Serials Cataloging (mail stop 4160). LC serials cataloging staff must delete LC CONSER serial bibliographic records both from the CONSER database in OCLC and from the LC ILS database in the LC ILS.

Refer *JACKPHY-language* bibliographic records that (a) need deletion *and* (b) have “n-rlinjack” in 906 \$g to the appropriate JACKPHY-language units in RCCD (mail stop 4380). LC must manage the deletion of such records through RLIN 21.

M3.3.5 Changes In Type Of Record (Leader/06)*M3.3.5.1 General*

Generally, do not change the type of record (Leader/06) code in a record already saved in the LC ILS database. *Exceptions*: See M3.3.5.2 for circumstances in which changing Leader/06 in the same record *is* permissible.

If the existing record’s Leader/06 value is incorrect, generally:

- 1) Cancel the incorrect record per M3.3.4, if possible.
- 2) Create a new record that has:
 - the correct Leader/06 value
 - a new LCCN in subfield \$a of field 010
 - the canceled record’s LCCN in 010 \$z (see M3.3.4.3)

Consult CPSO for guidance if it is impossible to delete an incorrect record because it is linked to a Purchase Order or if it is important to use the canceled record’s LCCN in the new record (for example, because it appears in CIP data printed in the resource).

Background: Changing Leader/06 in a bibliographic record already saved in the LC ILS database prevents distribution of the revised record in many cases. CDS begins queuing an LC ILS database record for its eventual distribution after it is first saved with an LCCN in 010 \$a, **even when 906 \$a has value “0.”** The Leader/06 value is one of the factors determining which of different CDS distribution sets will include the record. If a record is queued for one CDS distribution product and a Leader/06 change means it belongs in a different one instead, CDS programs reject the changed record and subsequent revisions of it.

M3.3.5.2 Exceptional changes permitted in bibliographic Leader/06

Change the Leader/06 code as necessary in a bibliographic record already saved in the LC ILS database *if one of the conditions in the following table applies*. These are situations in which it is *certain* that changing Leader/06 does not switch the record into a different CDS distribution set than the one in which it was already queued.

M3.3.6 Changes In Bibliographic Level (Leader/07)

<p>Change Leader/07 in the existing bibliographic record <i>only if the change is from one code to another within one of the following groups:</i></p>	<p><i>Group includes Leader/07 bibliographic levels:</i></p>
<p>a) Non-serials</p>	<p>“m” (monograph/item) “c” (collection) “a” (monograph component part)</p>
<p>b) Serials</p>	<p>“s” (serial) “b” (serial component part)</p>

If the existing record’s Leader/07 value is incorrect and the change required is *between* these groups (that is, from serial to non-serial or vice versa), then changing the code requires cancellation of the incorrect record and creation of a new record.

Refer cases possibly requiring changes from non-serial to serial to Serial Record Division, Serials Cataloging (mail stop 4160) according to instructions in DCM M4.4.2.

M3.4 AUTHORITY RECORD MAINTENANCE

M3.4.1 Distribution Of Responsibility For Maintenance

Address the same decision points as defined in M3.3.1 – eligibility, responsibility, and workload – and apply the guidelines in M3.4.1.1-M3.4.1.3 when determining whether *you* should carry out modifications in a particular name, title, or name/title authority record yourself or refer it elsewhere for maintenance. *Note:* Beginning in June 2006, LC catalogers do not maintain series authority records.

Default: If in doubt concerning who should do maintenance on a record or group of records, refer the record(s) to CPSO Database Improvement. CPSO staff will do the maintenance or refer it to a unit with the necessary expertise.

M3.4.1.1 Determining eligibility

All name, title, and name/title authority records in the LC ILS database are eligible for modification in the LC ILS system.

M3.4.1.2 Determining responsibility

Consider any authority record maintenance made necessary by authority work *you* have done (for example, when your changing an established heading makes it necessary to change headings and/or references in other authority records accordingly) to be in scope for your expertise and responsibilities. See M3.4.1.3 for guidance on the decision whether to absorb the maintenance workload in the local unit or refer it to CPSO.

If you lack necessary expertise to do authority maintenance that originates from an outside request, refer the case to a unit/individual that has the resources to do

it. When you are uncertain where to refer such a problem, send it to CPSO Database Improvement for resolution or referral.

Maintenance needed in “being updated” records: If an authority record needs maintenance and is in “being updated” status (see M3.4.2.1) because someone else is already investigating it, either (a) refer a maintenance request for the record to the person whose code is in the 667 message or (b) wait until the authority record is out of “being updated” status (that is, until it has 008/32 “a”) and proceed with maintenance then, as necessary.

M3.4.1.3

Distributing workload

Apply the same guidelines as in M3.3.1.3 when:

- 1) deciding whether to absorb authority record maintenance work in the local unit or refer a maintenance request to CPSO; and/or
- 2) submitting an authority record maintenance request to CPSO Database Improvement.

M3.4.2

Guidelines For Doing Record Maintenance

M3.4.2.1

Coding records as “Being updated”

If an existing authority record requires action that cannot be completed right away, modify the record as follows to alert staff that revision is in process:

- 1) Change 008/31 to “b” (Record is being updated).
- 2) Input 667 with “MESSAGE Being updated [code] [date].”
(*Optionally*, also give a brief explanation of the problem.)
- 3) Complete work on the authority record as soon as possible and then change 008/31 to “a” (Record can be used) and delete the 667 message.

M3.4.2.2

Specific elements

010 field: Do not change the LCCN in 010 \$a of an authority record. **Never re-use LCCNs** from canceled authority records in new ones, even if the record is for the same entity.

See DCM Z1 and *MARC 21 Format for Authority Data, LC*

Guidelines for other information on LC’s use and maintenance of specific elements in authority records.

M3.4.3

Canceling Records

Cancel authority records in order to eliminate duplicate or unnecessary authorities from the LC/NACO Authority File.

Follow your local division/unit workflows and routines for canceling and deleting name, title, and name/title authority records in the LC ILS or requesting their deletion. Divisions and units may have different local operations with respect to division of responsibilities, workflow details, and who has authorization to delete records from the LC ILS

database, but must satisfy the requirements of M3.4.3.1-M3.4.3.4 in any local workflows.

LC staff who do authority record maintenance in OCLC or RLIN 21 as part of special workflows may do the steps in M3.4.3.1-M3.4.3.2 and some of the record maintenance per M3.4.3.4 in those systems. Final deletion of an authority record in the LC/NACO Authority File, however, can only occur in the LC ILS database.

M3.4.3.1

Inputting cancellation message

Input a message in the form “MESSAGE Being canceled; covered by [LCCN] [staff code] [date]” in field 667 when you determine that cancellation of the authority record will occur.

Example

```
667 ## $a MESSAGE Being canceled; covered by  
no2006006789.xx04 2006-01-19
```

Do this as soon as possible, in order to alert other catalogers and help prevent unnecessary processing. (Delete-authorized staff need not input the message right before deleting a record.)

M3.4.3.2

Tracking canceled LCCN

When canceling an unwanted authority record in favor of another one, track the LCCN of the canceled authority record in 010 \$z of the authority retained in the LC/NACO Authority File. When canceling multiple authorities, input their LCCNs in separate 010 \$z subfields.

M3.4.3.3

Deleting record or requesting deletion

A delete-authorized staff member receives an authority record deletion request (identifying both the authority marked for deletion and the authority retained in its place, if any) and deletes the authority record from the LC/NACO Authority File (that is, clicks “Record / Delete”).

If you do not have LC ILS delete authorization, follow your local division/unit procedures for carrying out the steps in M3.4.3.1-M3.4.3.2 and requesting deletion of the authority record.

M3.4.3.4

Determining and expediting needed database maintenance

If the heading of the authority record being canceled is different from the heading being retained, search the LC ILS database for bibliographic and authority records using the canceled heading in main entries, added entries, subject entries, headings, references, qualifiers, etc. (LC serials catalogers also search in the CONSER database in OCLC and do heading maintenance in non-LC CONSER bibliographic records, as necessary.)

Do maintenance in affected bibliographic records or refer them elsewhere for maintenance as instructed in M3.3.

Do maintenance in affected authority records or refer them elsewhere for maintenance as instructed in M3.4.

M3.4.4 Changing Kind Of Authority Record

For various reasons (changes in rules, etc.), it is necessary sometimes to change a heading of one kind and/or with one tag to a different kind of heading and/or a different tag. In some cases, changing the existing authority record is sufficient; in others, distribution and other technical requirements make it necessary to cancel the existing record (see M3.4.3) and create a new one of the correct kind. The following table summarizes requirements for changing authority record kinds and tags for the same entity.

<ul style="list-style-type: none"> <i>Note:</i> Apply these guidelines to the authority record(s) for the same entity. Never “re-cycle” an existing authority record for a different entity. 		
<i>Change to</i> Change FROM	<i>Name / Title / Name-Title NAR</i> <i>(100, 110, 111, 151, 130)</i>	<i>Subject Heading AR</i> <i>(100, 110, 150, 151)</i>
Name / Title / Name-Title NAR (100, 110, 111, 151, 130)	Continue using same NAR, with same LCCN. Change 1XX (including tag, as necessary) in same NAR.	Cancel NAR. Propose new subject heading AR (with new LCCN), per instructions in <i>Subject Cataloging Manual: Subject Headings</i> .
Subject Heading AR (100, 110, 150, 151)	Propose canceling subject heading AR, per instructions in <i>Subject Cataloging Manual: Subject Headings</i> . Create new NAR (with new LCCN).	Propose changing subject heading AR, per instructions in <i>Subject Cataloging Manual: Subject Headings</i> . Continue using same subject heading AR, with same LCCN.

M3.5 APPENDIX 1: UPGRADING BRIEF JACKPHY RECORDS

M3.5.1 General

See DCM B5.11 for background on brief JACKPHY records in the LC ILS database.

Optionally, at the discretion of your team, upgrade brief JACKPHY records to full/core records when changing them to handle either of the following situations:

- 1) adding volumes to incomplete multipart item records (see DCM C12.5);
- 2) correcting erroneous attribution to the wrong person/body in the main entry heading.

If you do not upgrade in either of the above circumstances (and in cases where any other kind of maintenance is necessary), record the additional or corrected information in the existing brief JACKPHY record.

M3.5.2 Procedure

- Transfer information from the LC nonroman source card (if available) to the LC ILS database record.
- Record necessary information from any item(s) in hand (for example, publisher changes). Use any item(s) in hand as the basis for upgrading the record when no LC source card is available.
- Check or input specific elements in the record as instructed in the following table.

Element	<i>Instruction</i>
Leader/17 (Encoding level)	Change existing value (usually “7”) to “1.”
Leader/18 (Descriptive cataloging form)	Use value corresponding to cataloging rules applied in the record (usually “i” or “a”).
008/38 (Modified record)	Use value “r” (completely romanized/printed cards in script) in all cases.
010 \$a (LCCN)	Confirm LCCN matches LC source card (if available).
050	Confirm call number matches LC source card (if available).
955	Input the following, to identify record is in upgrade process: 955 ## \$a [staff code] [date] JACKPHY UPDATE

For information on bibliographic upgrading procedures no longer applied actively, see M3.6 (Appendix 2: Former Upgrading Procedures).

M3.6 APPENDIX 2: FORMER UPGRADING PROCEDURES

M3.6.1 Upgraded Less Than Full Records

During the years 1983-1996 various libraries, including some participants in a program called National Coordinated Cataloging Program (NCCP), worked directly in the LC input/update system. These libraries upgraded to full level cataloging records in two categories:

- 1) less than full records (LTF); records that had represented a brief form of cataloging in LC were upgraded to full cataloging; they were treated as cooperative cataloging and so identified;
- 2) minimal level cataloging (MLC); records that had been given MLC treatment by LC were upgraded to full level cataloging; if LC had assigned an MLC shelf number, that number was retained instead of the item being reclassified.

M3.6.2 Inactive CIP Records

In the 1970s and 1980s CIP records still in a CIP state for a long time and for which LC had not yet received an item were updated to remove them from being in that state. The first method of doing this was to search RLIN for completed cataloging. If found, the encoding level in the LC record was set to blank (Full level), the first indicator in field 050 was set to "1" (Not in LC), the record was upgraded to match the RLIN record, and a cataloger's note was added to indicate the source the completed cataloging was based on (cf. 81014893).

The second method of doing this was to assure an item had been published. If confirmed, the encoding level in the LC record was set to "1" (Full level, material not examined), the first indicator position in field 050 was set to "1" (Not in LC), and a 500 field was added containing "Cataloging based on CIP information" (cf. 74034472).

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New document: Send suggestions for improving these guidelines to cpso@loc.gov.

M4.1 SUMMARY

DCM M4 presents guidelines for making referrals in order to resolve questions regarding serial versus non-serial cataloging treatment of resources in LC. It primarily addresses the concerns of LC staff seeking to obtain resolutions of such questions, rather than those of the serials catalogers who resolve them. It summarizes the LC policy making serial versus non-serial questions necessary and the bases for serial versus non-serial decisions. It distinguishes referrals for “known LC serials” and for “possible serials,” provides referral procedures for each, and briefly describes processing that occurs after each kind of serial versus non-serial referral is received. It also summarizes steps taken when serials catalogers discover that resources in process as serials should be treated instead as monographs or integrating resources in LC.

Note: DCM M4 does not address questions of monograph versus integrating resource cataloging of resources in LC. At this time, the same LC bibliographic access units catalog monographs and integrating resources and resolve those questions internally. The standards cited in M4.3 also help resolve monograph versus integrating resource questions.

Note: When the planned ABA reorganization occurs, see the CPSO staff home page for timely information on where to send serial referrals in the new organization.

M4.2 LC GENERAL POLICY

By general policy, if the Library of Congress catalogs a resource collectively as a serial, it does not also create separate non-serial records for items that are parts of the serial. For example, if LC's catalog has a serial record for an annual story anthology, LC records the 2006 anthology in holdings on the serial record and does not also create a monograph record for it.

Exceptions: The LC catalog intentionally has both a serial bibliographic record and non-serial records for parts of the serial in certain circumstances:

- 1) *Rarely*, LC creates a separate non-serial record for an individual serial issue when the issue's individual importance for user needs is sufficient that a recommending officer requests separate cataloging.
- 2) Since April 25, 2006, when LC catalogs a resource collectively as a serial after it earlier completed cataloging some volumes individually as non-serials, it **keeps the existing completed non-serial records** and does not cancel or reclassify them or re-label the associated resources. (Before this policy, LC serials catalogers canceled completed monograph records covered by LC serial records.) Serials catalogers add notes to the serial and non-serial bibliographic and holdings records affected, in order to help users and staff locate and process LC holdings. For example:

	<i>Bibliographic record</i>	<i>Holdings record</i>
Mono-graph	500 ## \$a Issues for 1996- cataloged as a serial in LC. \$5 DLC 955 ## \$a SEND ALL OTHER ISSUES FOR SERIAL CATALOGING	852 0# \$b c-GenColl \$h PC2119 \$i .A45 1998 \$t Copy 1 \$z Issues for 1996- cataloged as a serial in LC.
Serial	500 ## \$a Earlier issues, 1993- 1995, cataloged as monographs in LC. \$5 DLC	852 0# \$b c-GenColl \$h PC2119 \$i .B35 \$t Set 1 \$z Earlier issues, 1993-1995, cataloged as monographs in LC.

LC also follows the same procedures and keeps *completed* LC non-serial records created in error *after* the LC serial record already exists. *Note:* *In-process* non-serial records covered by LC serial records *do* get canceled. Instructions for serials catalogers are in *Serial Record Manual M7.1, Monograph to Serial Cataloging in the LC Database* (<http://www.loc.gov/staff/srd/SRM%20M7.1%20Mar2606.pdf>).

Note: See DCM C8.2 concerning items stored in Ft. Meade that LC recatalogs as serials—in those cases, LC cancels the non-serial *bibliographic* records but retains the non-serial *holdings records* (including non-serial call numbers), re-linked to the serial bibliographic record in the LC ILS database.

The existence of serial or non-serial records cataloged by agencies outside LC (which can make different decisions) does not necessarily indicate the way LC is treating the resource(s)—search LC’s catalog as necessary to discover that. Likewise, the LC ILS database incorporates vendor-supplied resource records (with only “acqvend” under “History”) in batches that include some monograph records for issues covered by LC serial records; those do *not* mean LC will catalog those as monographs—LC checks in the serial issues normally upon receipt and deletes the unwanted resource records.

The policy described in the preceding paragraphs **does not apply to monographic series** and is distinct from LC’s policies for series analysis and classification decisions (see LCRI 13.3). For series that LC gave “analyze, classify as a collection” decisions in the past, the LC catalog intentionally has both serial records for the monographic series and monograph records for analytics.

M4.3 BASES FOR SERIAL VERSUS NON-SERIAL

Standards: The primary *standards* that determine whether LC catalogs a resource as a serial or not are the following:

- 1) **AACR2:** AACR2’s definitions of “serial,” “integrating resource,” and “monograph” and the scope instructions in 12.0A1 are the main guidance for serial versus non-serial treatment decisions and the bases of other related standards.
- 2) **LCRI 1.0:** LCRI 1.0 interprets the AACR2 definitions and guidelines for application in LC cataloging and gives LC-specific instructions for certain situations and categories of resources (such as conference publications).

Facts: Along with AACR2 and LCRI 1.0, *facts* discovered when processing a resource contribute to the observation that LC may catalog the resource as a serial (or not):

- The **resource in hand** sometimes provides relevant information—for example, a volume calls itself “number 1” and states that it is annual.
- **Circumstances** sometimes provide significant facts—for example, multiple volumes in hand from 2002, 2004, and 2006 suggest that a resource is a serial when an individual volume in isolation might not.
- Information from acquisitions providers, bibliographic records, or **other information sources** sometimes supports considering the resource as a serial—for example, an annual subscription is available, or volumes from different years exist. *Note:* LC catalogers routinely search in the database(s) where they normally work (for example, the LC ILS database) and consult other sources only *selectively*, when their judgment tells them doing so may help them be more timely and accurate.

ISSN: Consider presence of an International Standard Serial Number (ISSN) in a resource *in conjunction with* the standards and fact sources described above. Not every resource carrying an ISSN is a serial. Include a search for any ISSN that the resource carries as part of routine searching to find whether the resource is a “known LC serial” (see M4.4.1). If it is not, apply the standards described above and, if there remains *any* doubt about whether the resource is a serial for LC cataloging purposes, refer it for a decision as a “possible serial” (see M4.4.2).

M4.4 MAKING SERIAL VERSUS NON-SERIAL REFERRALS

Refer resources that are serials or that you believe possibly are serials to the Serial Record Division (SRD). Include a Materials Routing slip (form 6-127) annotated as instructed in M4.4.1.2 and M4.4.2.2 with the forwarded resources.

Discriminate whether each such referral is for a “known LC serial” or a “possible serial”—see the definitions and identification criteria in M4.4.1.1 and M4.4.2.1, respectively—and follow the corresponding referral procedures (in M4.4.1.2 and M4.4.2.2, respectively).

Additionally, follow instructions in M4.4.1-M4.4.2 that support LC’s needs to:

- give tracking information in 955 fields while referrals are in process
- cancel superseded non-serial records, when that is appropriate
- track canceled LCCNs in 010 \$z

Note: Do not make a serial versus non-serial referral if the non-serial record for a resource contains a note indicating a decision has been made:

- 1) LC rejected the resource for cataloging as a serial (note in 955 or 952); *or*
- 2) LC recorded its decision to leave that item cataloged on that non-serial record and catalog other issues as a serial (note in LC-specific 500; see M4.2).

M4.4.1 Known LC Serials

M4.4.1.1 Definition and identification

A “known LC serial” for the purposes of these instructions is a resource that **already has a serial bibliographic record in the LC ILS database and that LC is controlling by means of that serial record.**

“Acquire” serials versus serials with nonpermanent retention:

Further discriminate whether the serial bibliographic record found in the LC ILS database has “acquire” or a nonpermanent retention decision in current 925 \$a, as instructed in the following table. In the case of “acquire” serials, apply the additional criteria shown to determine whether to handle them as “known LC serials” or not.

<i>Serial with “acquire” decision:</i>	<i>Serial with nonpermanent retention:</i>
1) Leader/07 (bibliographical level) has code “ s ” (serial).	1) Leader/07 (bibliographical level) has code “ s ” (serial).
2) Current 925 \$a has “ acquire. ”	2) Current 925 \$a has: a) “ do not acquire, ” <i>or</i> b) statement including “ CIO ” (current issues only)—for example: “ acquire-CIO, ” “ acquire-CIO until microfilm ”
<p><i>Note:</i> Record is “cataloged” in LC and follows cataloging standards (for example, AACR2) that applied at time of record’s creation.</p> <p>Apply additional criteria given following this to determine whether to handle “acquire” serial as “known LC serial” or as “possible serial” (see M4.4.2).</p>	<p><i>Note:</i> Record is “not cataloged” in LC and follows LC local guidelines, but not necessarily other cataloging standards.</p> <p><i>Note:</i> Record generally also has 906 \$b “bbc” (basic bibliographic control).</p> <p>Handle resources covered by LC ILS database serial records with nonpermanent retention decisions as “known LC serials.”</p> <p><i>Exception:</i> Local team may discard items with serial “do not acquire” decisions instead of referring to SRD. If there is any doubt, refer to SRD.</p>

“Acquire” serials: Identify a resource covered by an “acquire” serial record in the LC ILS database as a “known LC serial” when it satisfies *all* the following:

- 1) **906 \$b** has code “**cbc**” or “**cbu**” (cataloging completed) or “**par**” (descriptive cataloging completed, subject cataloging and/or shelflisting in process)

- 2) **050** is **present** *and*:
 - a) **has first indicator “0”** (item is in LC) *and*
 - b) does **not** contain any of the following:
 - i) “UNC” or “CLASSED SEPARATELY”:
The record is for a monographic series analyzed and classed separately in LC. It remains in the LC ILS database from earlier practices
 - ii) “ISSN RECORD”:
The record is for registration of an ISSN. LC has not begun cataloging the serial or has decided not to acquire it. (*But* refer the resource as a “possible serial,” per M4.4.2, if the record does not also have “**xlc**” in field 042—see below.)]
- 3) **042**, if present, does **not** contain “**xlc**” (“**xlc**” = LC decided not to treat the resource as a serial)

M4.4.1.2

Referral procedures

When searching discovers the resource in hand is a “known LC serial” (see M4.4.1.1), follow the instructions below and forward the resource as shown:

“Known LC serial” – Records in LC ILS database include:	<i>Complete the following and send resource to Serial Record Division (as instructed):</i>		
	<i>Materials Routing slip (form 6-127)</i>	<i>Record cancellation</i>	<i>955 tracking in non-serial record</i>
No non-serial record	Mark “Known LC serial” and write serial LCCN in the blank following that. Send slip with items in hand to Ser. Rec., P & R.	None	None
A non-serial ACQ/IBC record with NO LCCN	Mark “Known LC serial” and write serial LCCN in the blank following that. Send slip with items in hand to Ser. Rec., P & R.	Delete non-serial record in local unit.	Input 955 cancellation message (see DCM M3.3.4.1) if deletion does not happen right away.
A non-serial ACQ/IBC record WITH LCCN	Mark “Known LC serial” and write serial LCCN in the blank following that. Note LCCNs of non-serial records (or attach printouts). Send slip with items in hand to Ser. Rec., Ser. Cat.	Do not delete non-serial record in local unit.	Charge out in 955 (see DCM C16.16.2) with “to Ser Rec” or “to SRD,” etc.
A non-serial completed record (with no note indicating LC cataloged other issues as serial; see M4.2)	Mark “Known LC serial” and write serial LCCN in the blank following that. (<i>Alternatively</i> , if referring only record information and no physical items, one may use an ILS Serials Problem Report slip (form 1662 (2000/03)); see DCM B11.8.3.1.) Note LCCNs of non-serial records (or attach printouts). Send slip with items in hand (if any) to Ser. Rec., Ser. Cat.	Do not delete non-serial record in local unit.	None

M4.4.1.3

Processing after referral

Upon receipt, the Serial Record Division distributes “known LC serial” referrals as shown below. Indicated processing occurs thereafter, as necessary. (*Note:* This is a summary for the information of those making referrals, not instructions for SRD staff, who follow procedures in the *Serial Record Manual* (<http://www.loc.gov/staff/srd/srmanual.html>).

If Materials Routing slip is addressed to:	<i>SRD distributes “known LC serial” first to:</i>	<i>Summary of processing that may occur, as necessary:</i>
Ser. Rec., P & R	Serials check-in staff	Check-in of item(s) on serial record If check-in staff observe significant change in serial, they refer item(s) to serials cataloging staff.
Ser. Rec., Ser. Cat.	Serials cataloging staff (catalogers or cataloging technicians)	If there are non-serial completed records: <i>Materials stored in Ft. Meade:</i> Processing per DCM C8.2 <i>Otherwise:</i> Adding notes on serial/non-serial records to help users locate holdings (see M4.2) Tracking in serial 010 \$z any canceled non-serial LCCN(s) (from in-process records or records for Ft. Meade materials) Re-linking and updating any item record(s) from non-serial in-process records Deletion of non-serial record(s) (in-process or for Ft. Meade materials) Check-in of item(s) on serial record, as necessary

M4.4.2 Possible Serials

M4.4.2.1 Definition and identification

A “possible serial” for the purposes of these instructions is a resource that **you believe is or possibly may be a serial** for LC cataloging purposes (based on available facts and application of the standards described in M4.3) *and* that **does not fit the criteria for a “known LC serial”** in M4.4.1.1.

Note: There *are* circumstances in which a resource covered by an “acquire” serial record in the LC ILS database should be identified as a “possible serial” rather than a “known LC serial.” These include *at least* the following:

- **906 \$b** = “**ibc**” or “**acq**” in the “acquire” serial record LC has not cataloged the serial yet.
- **050** has “**ISSN RECORD**” in the “acquire” serial record *and* the record **does not have “xlc”** in **042**. The record so far is for ISSN registration. LC has not begun cataloging the serial, but has not decided *not* to treat it as a serial in LC.
- You are **not sure** whether the “acquire” serial record covers the resource or not.

The existence outside LC of serials cataloging for a resource is often a clue that the resource is a “possible serial.” Observe whether the record has field **042** with the code “**xlc**.” Only LC serials catalogers input that code. It indicates that LC has seen the record and decided *not* to catalog the resource as a serial in LC. In that case, generally do not refer the resource as a “possible serial.” (Make the “possible serial” referral in such a case *only* if there is new information that you believe calls for a new decision.)

M4.4.2.2

Referral procedures

Make a “possible serial” referral by following the instructions below and forwarding the resource to Serial Record Division, Serials Cataloging:

“Possible serial” – Records in LC ILS database include:	<i>Complete the following and send resource to Ser. Rec., Ser. Cat.:</i>		
	<i>Materials Routing slip (form 6-127)</i>	<i>Record cancellation</i>	<i>955 tracking in non-serial record</i>
No non-serial record	Mark “Possible serial?” <i>Optionally, note information that makes you think the resource may be a serial (or attach relevant printouts).</i> Send slip with item(s) in hand to Ser. Rec, Ser. Cat.	None	None
A non-serial record <i>(with no note indicating that LC rejected the resource as a serial or that LC cataloged other issues as a serial; see M4.2)</i>	Mark “Possible serial?” Following that, note non-serial record number(s). <i>Optionally, note information that makes you think the resource may be a serial (or attach relevant printouts).</i> Send slip with item(s) in hand to Ser. Rec, Ser. Cat.	Do not delete non-serial record.	<i>ACQ/IBC record:</i> Charge out in 955 (see DCM C16.16.2) with “to Ser Rec” or “to SRD,” etc. <i>Completed record:</i> None

Notes and attachments: If you believe it will help decision-making in SRD, give a brief note on the Materials Routing slip of **readily available, non-obvious** information that makes you think the resource may be a serial (or attach printouts).

Examples of notes:

- Planned to be annual; see introd.
- Appears to be serial; see *[non-serial record ID numbers for other volumes]*

Examples of printouts:

- Serial record for the resource from another bibliographic source
- Information from a publisher’s Web site

M4.4.2.3

Processing after referral

SRD distributes “possible serial” referrals to serials catalogers, who provide serial versus non-serial decisions (see below). Whether other tasks listed below are done or not depends on current policies, circumstances, and judgment of what is appropriate. (Note: This is a summary for the information of those making referrals, not instructions for SRD staff, who follow procedures in the *Serial Record Manual* (<http://www.loc.gov/staff/srd/srmanual.html>).)

1) Serial versus non-serial decision		
Serials catalogers decide whether resources are serials for LC cataloging or not, applying <i>Serial Record Manual</i> instructions, the standards described in M4.3, CONSER documentation, etc.	Resource is a serial in LC – Serials cataloger:	Adds 955 message in affected <i>in-process</i> non-serial record: <pre>955 ## \$a [code date] MESSAGE: Being canceled; to be recat as serial [Item is in process and in hand.]</pre> <pre>955 ## \$a [code date] MESSAGE: Item requested; to be recat as serial; when found, forward to SRD for processing [Item is in process and not in hand.]</pre> Routes resource for LC serial retention decision
	Not a serial in LC – Serials cataloger:	Adds 955 message in affected non-serial record: <pre>955 ## \$a [code date] Rejected as serial</pre> Returns resource for non-serial cataloging with brief explanation of why it was rejected as serial

2) Serial selection		
Resources accepted as LC serials require new serial retention decisions from selection officers (separate from any prior decisions for them as non-serials).	Decision is “acquire”:	Serial gets initial bibliographic control record (906 \$b = “ibc”) with “acquire” and number of copies in 925. Resource is returned for serials cataloging.
	Decision is “do not acquire”, “acquire-CIO”, etc.:	Serial gets basic bibliographic control record (906 \$b = “bbc”) with selection decision in 925. Resource is discarded or checked in nonpermanently (per 925 decision).

3) Serials cataloging		
<p>SRD distributes serials with “acquire” decisions to serials cataloging staff.</p> <p>Processing that occurs includes, as necessary:</p>	Always	<p>Cataloging the serial in the OCLC/CONSER and LC ILS databases</p> <p>Check-in of item(s) on serial record, as necessary</p>
	When applicable	<p>If there are non-serial completed records covered by the new LC serial record:</p> <p><i>Materials stored in Ft. Meade: Processing per DCM C8.2</i></p> <p><i>Otherwise: Adding notes on serial/non-serial records to help users locate holdings (see M4.2)</i></p> <p>Tracking in serial 010 \$z any canceled non-serial LCCN(s) (from in-process records or records for Ft. Meade materials)</p> <p>Re-linking and updating any item record(s) from non-serial in-process records</p> <p>Deletion of non-serial record(s) (in-process or for Ft. Meade materials), if any</p>

M4.5 REFERRALS FOR NON-SERIAL CATALOGING

When LC serials catalogers discover that resources in hand with serial records (initial or completed) in the LC ILS database should be cataloged in LC as monographs or integrating resources instead, they follow section IV of *Serial Record Manual* M11, Monograph vs. Serial Treatment Decisions (<http://www.loc.gov/staff/srd/SRM%20M11%20apr2005.pdf>). Briefly summarized, steps taken thereafter include:

Serials cataloger	<p>Adding “xlc” in 042 in any OCLC/CONSER serial record for the resource, indicating LC decided not to treat the resource as a serial</p> <p>Adding 955 \$a “[code date] Rejected as serial” in any existing bibliographic record in the LC ILS database for the resource</p> <p>Canceling the serial bibliographic record in the LC ILS database (and in the CONSER database, if appropriate)</p> <p>Notifying the appropriate acquisitions unit of the change in treatment, if the serial record has a Purchase Order</p> <p>Forwarding resource(s) in hand for non-serial cataloging with an explanation of the reasons</p>
Non-serial cataloging unit receiving the resources(s)	<p>Added copy or added volume processing, as necessary, if an LC non-serial record already exists</p> <p>IBC record creation, as necessary</p> <p>Tracking in 955</p> <p>Non-serial cataloging and catalog maintenance</p>

RLIN Leader/Fixed Field Conversion Table

As of May 2005 RLIN21 Authorities no longer uses mnemonics for MARC 21 Leader and 008 positions. With the exception of the following three fields below, the MARC 21 fields with corresponding position numbers and names are used.

<u>RLIN</u>		<u>MARC 21: Name and Tag</u>
ID	Record identifier/Control number	001
ST	Record status	N/A
VST	Authority record version status	N/A

670 Source Data Found

This 670 section covers the following topics:

- General
- Transcription of names and titles
- Internet resources
- Recording dates
- Justifying references
- Transcription of other data
- Special types of citations

General

The purpose of this field is to record information about the name or title represented in the 1XX field. It includes facts that contribute to the identification of the heading, that justify the choice of the name used as the 1XX heading and references to it, and that clarify relationships between it and other headings in the file.

FUNCTIONS OF THE 670 FIELD

- ◆ To supply information, from bibliographic, and at times non-bibliographic sources (e.g., phone calls, letters), in support of the choice and form of the heading and references.
- ◆ To store information that may be used to break a conflict later.
- ◆ To identify a person with a particular work or as an author in a particular discipline or time period.
- ◆ To identify separate individuals whose access points must remain identical for now (i.e., undifferentiated personal name headings).
- ◆ To clarify whether different forms of a body's name or of a title are simply variations or reflect a change in the name or title and to identify relationships with other headings.
- ◆ To record research required by the current rules.
- ◆ To facilitate authority and bibliographic file maintenance, i.e., the information in 670 fields aids in making decisions about duplicate headings and misattributions.
- ◆ To support machine manipulation based on algorithms using information in the 670.

Note that the examples given throughout the following text have different conventions in regard to punctuation and style. These conventions are not prescriptive and should be considered as best practices to facilitate the exchange of information in a shared database environment. Catalogers are expected to use judgment and common sense. Punctuation and style need not be consistent from record to record as long as the information is clear and accurate.

Generally, the first 670 field is the work for which the heading is being established, i.e., the work being cataloged; give subsequent 670 fields in any order, adding new fields after existing ones. Do not routinely delete or change existing 670 fields, input by LC or by a NACO participant, when adding new 670 fields.

Note that it is not always necessary to include a 670 field for every reference source consulted; use judgment in deciding what sources are important enough to retain in the permanent authority record. For example, an NAR does not serve as a biographical sketch of a person, nor as an account of the detailed history of a corporate body.

By exception, a 670 field (rather than a 675 field) may be provided with the phrase (name not given) in the subfield \$b if/when the name in the 1XX is not available in the work being cataloged. This information will help reduce ambiguity and provide other catalogers with clues to the identity of the author by citing the work that generated the need for the heading (e.g., title of work, publication date) as described below. For all citations other than the “work being cataloged” that lack information about the 1XX, use field 675.

A 670 field should include the following:

- (1) The title of the work being cited, complete enough for later identification in an online catalog. Abbreviations and ellipses may be used. Precede a generic or indistinctive title with an indication of the main entry of the work, which may also be abbreviated or in a NAR be replaced by a pronoun; if the main entry is the same as the title proper plus a qualifier, give the uniform title main entry instead of the title proper.

In authority records created using an automated authority generation program, the 670 information may include the main entry name as it appears in the bibliographic record for which the authority record is being made. In order to maintain the cost effectiveness of this process, it is recommended that catalogers accept the additional information as generated.

- (2) The date of publication. Also see the guidelines below for specific categories:
 - Multipart items. If the part is the first part, give the date of publication as an open date.

• Serials other than monographic series. Generally, use a chronological designation instead of a publication date; if there is no designation date, use the numeric designation and the date of publication. Indicate, following the designation statement, if a “surrogate” was used.

```

670 $a The Verdict, Feb. 1975: $b t.p. ([data])
not 670 $a The Verdict, vol. 2, no. 1 (Feb. 1975): $b
      t.p. ([data])

670 $a Studies in Confederate history, No. 1 (1966),
      surrogate $b cover ([data])

not 670 $a Studies in Confederate history, 1966,
      surrogate $b cover ([data])

```

• Integrating resources. Identify the iteration from which information was taken (e.g., “viewed on” dates for updating Web sites, update number or release number for updating loose-leafs).

```

670 $a Internet Broadway database, viewed on Jan. 21,
      2003: $b about IBDB (League of American Theatres
      and Producers)

```

- (3) The specific location(s) of the information found (e.g., t.p., jkt., label, map recto) when the work cited is other than a standard reference source, (e.g., an encyclopedia or a bibliographic file). For numbered multipart items, include the volume number of the item with the specific location. *LC practice*: If the heading is being established from a CIP at the galley stage, precede the first location with the word CIP, e.g., CIP t.p., CIP pref.

Specific location was not given on “n42-” (retrospective) SARs.

For NARs, generally, use “etc.” to avoid giving more than two locations or a sequence of locations (e.g., p. 316, etc., for p. 316-325, 329-331, 342). For SARs, always give each location separately.

- (4) Information found. Following the location, cite the information found there, enclosed in parentheses. Automated authority record generation programs may supply additional information from the bibliographic record from which the authority record is being made, e.g., complete statements of responsibility. In order to maintain the cost effectiveness of these programs, use judgment in deciding what information can remain in the subfield \$b and what is really extraneous to the record being created and should be deleted.

As appropriate, give multiple occurrences of information from the same source following the location of the information. (Note: In SARs the parenthetical statement of the form of title proper was omitted until June 1989.)

If an SAR is for a republication only, begin the 670 with the term for the type of republication and a slash. Do not include a 670 for a republication if the SAR covers both the original and one or more republications. Do not add additional 670 fields for other types of republications cataloged later. (See 64X yellow pages for more information about republications.)

```
670 $a Large print edition/Fool's coach, c1989 $b CIP  
t.p. (An Evans novel of the West)
```

Transcription of names and titles

Transcribe names or series titles used in the heading or references in full, as they appear in the source, without abbreviation by the cataloger.

For titles that are not series (cf. Introduction Page 2 on when an NAR for these titles is needed), generally transcribe only titles that are considered important to document.

When preparing an authority record for the text of a law (AACR2 rule 25.15A2) or a subject compilation of laws (AACR2 25.15A1), if a source being cited contains an official short title or citation title, cite that title, preceded by the term "citation title" and its exact location, e.g.

```
670 $a Workers' compensation law of the state of North Carolina,  
c1980: $b t.p. (Workers' compensation law of the state of  
North Carolina) citation title, p. 49 (The North Carolina  
Workers' Compensation Act)
```

For corporate headings, include in the data cited all the hierarchy required to justify needed references, but do not include elements irrelevant to the particular heading being established, e.g., subordinate body's name. Automated authority generation programs may supply additional information beyond the specific corporate body's name; use judgment in deciding what information (e.g., subordinate body's name) is extraneous to the record being

created and should be deleted.

For all of the above categories, if the only expression of the name or title on the chief source of information is in the bibliographic title given in subfield \$a of the 670 citation, repetition of the name in subfield \$b may be omitted, provided no important information is lost.

If information about an earlier/later name or title is found in the same source as the name or title in the heading, give all the information in the 670 field; do not separate the information about the earlier/later name or title and give it in a 675 field.

```
670 $a Strafvollzug, 1985 $b t.p. (Rechtsgeschichte) p. 2
      (Continues: Veröffentlichungen / Justizministerium Nordrhein-
      Westfalen)
```

Data must be given in romanized form. Normally it is understood that the cataloger has provided the romanization; therefore, when transcribing romanization found in the source, add after it the bracketed phrase **[in rom.]**.

In such languages as Arabic and Hebrew, vowels are commonly omitted from the orthography of texts, and the cataloger supplies the missing vowels in transcribing data. When transcribing text that does include the vowels, add after it in brackets **[voc.]** or **[part voc.]** as appropriate.

Internet resources

These instructions apply to electronic resources being cataloged and to resources used as reference sources.

Give the title of the Internet resource and the date it was consulted in subfield \$a. In subfield \$b, give a location within the resource (e.g., home page, about page, HTML title, t.p. of .pdf), if appropriate, and the information found.

Catalogers may *optionally* provide a uniform resource identifier (URI) in the 670 citation to link to the cited resource if it contains significant information related to the established heading that cannot be cited succinctly in the authority record. Note that use of a URI in the 670 \$u does not take the place of the requirement to cite relevant data in subfields \$a and \$b of the 670 field needed to support the heading or references (this information will continue to be

available if the site changes or disappears). Do not provide URIs for general reference sources and/or web-based reference sources that are included in the LCRIs (e.g., Contemporary Authors online, GNIS, GEOnet). If a URI is included, it must be given in subfield \$u. ~~If the URI contains a spacing tilde or a spacing underscore, replace the character with its corresponding hex code, preceded by the percent sign:~~

~~%7E for spacing tilde~~

~~%5F for spacing underscore~~

670 \$a British Oceanographic Data Centre WWW Home page, Sept. 6, 1995 \$b (BODC, est. Apr. 1989, developed British Oceanographic Data Service (BODS))

670 \$a AltaVista, viewed Dec. 4, 1997: \$b WWW page title screen (AltaVista, search network) HTML title (Alta Vista) additional screens (World Wide Web search engine developed by Digital Equipment Corp.)

670 \$a Harvard Business School Publishing Corporation gopher, Nov. 23, 1994 \$b main menu (Harvard Business School Publishing Corporation) readme (Harvard Business School Publishing)

670 \$a Stephen King.com, the official Web site, viewed Feb. 28, 2006 \$b biography, etc. (Stephen Edwin King; b. Portland, Maine, 1947) site also includes listings of author's works \$u <http://www.stephenking.com>

Recording dates

To facilitate international contribution and use of authority records, when giving dates, use the abbreviated forms for months given in AACR2 Appendix B.15. (The U.S. practice for recording dates using numerals differs from the practice in some other countries). Do not change the style of dates in existing records.

Justifying references

Justify names or titles given as references by information cited from sources. However, justification is not required in the following cases:

- (1) References justified by rules or rule interpretations only, usually because the reference is derived from inverting, shortening, etc., the heading or giving a substitute form in the heading.
- (2) References made on the basis of the cataloger's awareness of different romanizations or orthographies.
- (3) Name/title cross references derived from the work being cataloged, from other works cataloged under the same heading, or from information in standard reference sources.
- (4) References made on the basis of information from the Library and Archives, Canada (cf. DCM Z1 Appendix 2: Canadian headings).
- (5) References to earlier/later headings of corporate bodies reflecting changes due to national orthographic reform, changes in government headings due to an official language change, or changes involving only a parent body to which the body being established is subordinate.
- (6) References made on the basis of information from the British Library as part of the English Short Title Catalogue project.
- (7) Optional references from pre-AACR 2 forms on SARs and on retrospective NARs.

Transcription of other data

NARs. Use judgment to determine how much data to record in the permanent authority record. Do not abbreviate or translate distinguishing terms (e.g., titles of address or office) that appear in conjunction with personal names in statements of responsibility and that potentially could be used as part of the heading. Other data may be abbreviated or summarized. Generally informally translate other data from foreign languages into English, paraphrasing or summarizing as convenient.

SARs. Use judgment to determine how much data other than forms of the title/phrase to record in the permanent authority record. Numbering and names of issuing bodies are not required but may be given.

Special types of citations

The most commonly occurring citations are listed below. If these are not appropriate, devise others as needed.

LC database. For LC catalogers not working in OCLC and RLIN, “LC database” as used in a 670 subfield \$a equals name/series authority records and bibliographic records with the following values in the 906 \$b: cbc, cbu, rip, par, and vip. Note that PREMARC records are now included in those categories of bibliographic records. (LC catalogers: See the separate document about policy decisions related to local authority control and PREMARC records.)

For LC catalogers working in OCLC and RLIN and for NACO participants, there is no change in what is considered to be the “LC database” as used in 670 subfield \$a.

NARs. Give the date of the search, using month abbreviations. In parentheses, prefaced by the label **hdg.:** (or **MLC hdg.:** if appropriate), give the heading (or headings) found, even if it is the same as the current heading.

If different forms of the name exist in the bibliographic records, record the heading and also any forms found, including usage identical to the heading. Separate the heading from the other forms, and preface the other forms with an

appropriate label, e.g., **usage:**¹ or **variant:**² Do not normally cite specific bibliographic records or the exact location of the variations found.

670 \$a LC database, Jan. 31, 1992 \$b (hdg.: Rivière, Pierre, 1815-1840)

670 \$a LC database, Aug. 24, 1982: \$b (hdg.: Sociedade Brasileira pelo Progresso da Ciencia; usage: Sociedade Brasileira para o Progresso da Ciencia, SBPC)

670 \$a LC database, Mar. 11, 1996 \$b (hdg.: Swedish American Corporation; variant: Swedish American Corp.)

SARs. Give the date of the search, using month abbreviations, followed by the citation of the bibliographic record. In parentheses give the series statement found in that record.

670 \$a LC database, Nov. 28, 1983, Les Déchets ménagers, c1980 \$b (Les cahiers de l'AGHTM)

Minimal level cataloging records and less than fully authenticated serial records. Authority work normally has not been done for headings used in minimal level cataloging records and less than fully authenticated serial records (authentication field 042 does not contain any one of the codes lc, lcd, nlc, or gpo). It may be necessary to reconsider the formulation of the heading. If the established heading is different, do

¹ “Usage” on bibliographic records refers to literal transcriptions of the forms of name usually found in records' statement of responsibility. Literal transcriptions may also appear in other parts of the bibliographic record, such as in the title proper or in a quoted note. Be sure that you are recording the transcription of the name as it appeared on the publication and not as it was formulated because of cataloging rules. Be especially careful when taking information from the publication, distribution, etc., area and from series statements. Headings may never be provided as usage.

² “Variant” on bibliographic records refers to a form of the name other than a literal transcription, e.g., a form found in the publication, distribution, etc. area or in an unquoted note; normally, there is not a need to cite such a variant in a 670 field. This understanding of “variant” within the context of a database does not refer to the varying forms of name found on an item not selected as the form used for the heading.

necessary bibliographic file maintenance. Also, an MLC or less than fully authenticated serial record might provide useful information, such as a birth date not given elsewhere or usage not otherwise available. Do not routinely cite MLC headings. However, when the information is useful, document its source in the 670 field, e.g., **MLC hdg.:** or **Less than fully authenticated serial usage:**

LC manual authority card. *LC practice:* When formulating the 670 citation for a manual authority card citation, use either **LC manual auth. cd.** or **LC manual cat.** (i.e., authority and bibliographic records) as appropriate. Summarize and record data found, without specifying individual works cited on the manual authority card or other sources of information which may have been mentioned there.

Citing other files or catalogs. If a heading is found in other manual catalogs or online databases, use judgment in creating a 670 citation. Begin the 670 field with a designation of the catalog/database in which these other bibliographic records were found. There is no prescribed formulation of such citations; examples are listed below:

```
670 $a LC in OCLC, date: $b ([data])
670 $a RLIN, date $b ([data])
670 $a M/B/RS Collections Authority file $b ([data])
670 $a New Delhi MARC file $b ([data])
670 $a MWA/NAIP files $b (hdg.: ____; usage: ___; variants:
    _____)
670 $a NUC pre-56: $b ([data])
670 $a NRMM $b ([data])
```

Library of Congress staff working with the National Union Catalog (NUC) reports used specific library reports in the 670 citations when creating name authority records.

```
670 $a nuc85-70017: Lower and middle Pennsylvania
    stratigraphy ... 1982 $b (hdg. on AAP rept.:
    Sutherland, Patrick Kennedy, 1925- ; usage: Patrick
    K. Sutherland)
```

Reference works. Cite reference sources and the information found in them as briefly as possible within the requirements of intelligibility already stated, e.g.:

670 \$a DNB \$b ([data])
 670 \$a Harvard dict. of music \$b ([data])
 670 \$a Comp. diss. index: \$b ([data])
 670 \$a WW sci. Europe, 1991 \$b ([data])
 670 \$a Banker's alm./yrbk., 1991: \$b ([data])

A list of previously used abbreviations for some national bibliographies is in *Cataloging Service Bulletin*, no. 22 (fall 1983).

BGN. For geographic names established on the basis of information from the United States Board on Geographic Names,³ convey a designated short form of name by adding within brackets immediately after the appropriate element the statement [short form]. Repeat the short form if needed for clarity. Do this even if the long form is chosen for the heading. Retain the phrases “[conventional],” “[language],” etc., when used by BGN. Give the date of the search in the online file and include the feature designation (e.g., ADM1, PPL), coordinates, and variants. If searching the latest available published gazetteer because online access is not available, do not include the date but do include the feature designation and coordinates. Note: In the published gazetteers the short form is shown with the use of boldface type.

670 \$a GEOnet, June 13, 1989 \$b (Coast [short form]
 Province; ADM1, 3⁰⁰'S 39⁰³⁰'E)
or 670 \$a BGN \$b (Coast [short form] Province; ADMD, 3⁰⁰'S
 39⁰³⁰'E)

670 \$a GEOnet, July 7, 1992 \$b (Varese [short form]
 Provincia di; ADM2, 45⁰⁴⁸'N 8⁰⁴⁸'E)
or 670 \$a BGN \$b (Varese [short form], Provincia di; PROV,
 45⁰⁴⁸'N 8⁰⁴⁸'E)

670 \$a GEOnet, Apr. 31, 1996 \$b (Geneva [conventional];
 Genève [native], PPL, 46⁰¹²'N 6⁰¹⁰'E; variants:
 Ginevra, Genf)

³ Published gazetteers or World Wide Web sites (GNIS (domestic information: URL: <http://geonames.usgs.gov>; GEOnet (foreign information: URL: <http://164.214.2.59/gns/html/>))

or 670 \$a BGN \$b (Genève [French], Geneva [conventional];
POPL, 46⁰12'N 6⁰10'E)

670 \$a GEOnet, Sept. 28, 2001 \$b (Cambridgeshire [short form
= Cambridge]; ADM1, 52⁰12'N 0⁰07'E)

Non-bibliographic sources. Give the non-bibliographic source, the date, and the information. The source can be given specifically (“Letter from author,” “Phone call to publisher,” etc.) or in general terms (“Information from author,” “Information from publisher,” etc.). When noting a specific source, it isn't necessary to show how information was received, e.g, that letter was received via FAX rather than via mail. When a telephone call to a publisher/agency/organization is cited, usually give the name of the group called, rather than the title or name of the person contacted.

670 \$a Phone call to H. Jones, Jan. 31, 1992 \$b (Harry Jones
is real name of Lionel Jones)

670 \$a Letter from author, May 29, 1994 \$b (correct
birthdate for _____ is Oct. 14, 1950)

670 \$a Information from publisher, Feb. 6, 1991 \$b (James
Allan's middle name is Stephen, not Steven)

670 \$a Information from OCLC, Mar. 8, 1996 \$b (_____)