

Update Information 2006 Update Number 4

DCM	Title	Action/Change
TOC	Table of Contents	Revised to reflect this update.
M6 [new]	Recommended Session Defaults and Preferences in the LC ILS Cataloging Module	New DCM M6 presents LC policies on setting session defaults and preferences in the LC ILS cataloging module. It provides background and indicates settings recommended or required in LC. DCM M6 supersedes former Bibliographic Workflow Training Document #1, which is being withdrawn. Suggestions to CPSO for improving new DCM M6 are invited.
Z1	Name Series Authority Records	<p>Revised yellow pages are listed below with a summary of the changes in content.</p> <p style="padding-left: 40px;">Introduction - Revised to reflect LC's June 1, 2006 series policy , to give information for the LC CIP partners, and to clarify LC's music cataloging practice for name/title headings.</p> <p style="padding-left: 40px;">The following sections have been revised to reflect LC's June 1, 2006 series policy: MARC 21 Fields Used in Serial Records; 008/32; 008/33; 008/39; 010; 016 ; 022; 050; X00; 1XX; 4XX; 5XX; 64X; 640; 642; 643; 644; 645; 646; 667.</p> <p style="padding-left: 40px;">670 - Revised to reflect LC's June 1, 2006 series policy and to clarify that catalogers may use the phrase "title not given" when a title is not provided in the work being cataloged as appropriate.</p>

Update Information 2006 Update Number 4

DCM	Title	Action/Change
		<p>The following sections have been revised to reflect LC's June 1, 2006 series policy: 675; 7XX; 952; 953; Appendix for LC Staff.</p>
		<p>For the convenience of having an up-to-date version of DCM Z1 in one place, all sections of the yellow pages have been included in this update.</p>
MARC 21 authority format	LC Guidelines	<p>Revised blue pages are listed below with a summary of the changes in content.</p>
		<p>Introduction - Revised to reflect LC's June 1, 2006 series policy and to indicate that not all the pages have been revised.</p>
		<p>The following sections have been revised to reflect LC's June 1, 2006 series policy: 008/12, 008/13, 022, 050, 640, 641, 642, 643, 644, 645, 646.</p>

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[replaced by Appendix 1, DCM Z1 in 2005]	

**Recommended Session Defaults and Preferences
in the LC ILS Cataloging Module**

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

M6.1 SUMMARY
DCM M6 presents LC policies on setting session defaults and preferences in the LC ILS cataloging module. M6.2 provides background. M6.3 indicates settings recommended or required in LC.

DCM M6 supersedes former Bibliographic Workflow Training Document #1.

Note: It is most effective to consult DCM M6 with a cataloging session open and the Session Defaults and Preferences dialog box displayed (see M6.2.2).

M6.2 INTRODUCTION

M6.2.1 Background

Session defaults and preferences are choices for LC ILS cataloging module sessions that are set on individual workstations. They reduce effort and help avoid errors by automatically prompting data, system functions, and other variables that you use most often when you are cataloging.

Security parameters established in your profile by your LC system administrator determine some session defaults. Signing on using your operator ID invokes those.

Use the instructions in M6.2.2 to set other preferences on your workstation. LC policies recommend or require certain settings, as presented in M6.3.

Some defaults and preferences depend on factors in your work assignment, such as the specific cataloging workflow and type of material. Change your settings as necessary to assist you in doing work with different parameters (for example, copy cataloging, added copies, reference materials). It helps to organize your work in order to avoid switching preferences constantly.

Note: The information here is current for Voyager 2003.1.1 (Unicode) in LC. If there has been any further LC ILS system upgrade, consult CPSO for advice on changes in recommended cataloging session defaults and preferences.

For more background information on cataloging defaults and preferences, see the *Voyager With Unicode Cataloging User's Guide* on the LC Integrated Library System Program's home page (<http://www.loc.gov/staff/ils/Unicode/unicodedoc/VCA.pdf>).

M6.2.2 Setting Session Defaults And Preferences

With an LC ILS cataloging module session open, view or change defaults and preferences by selecting "Options / Preferences" from the menu bar. That opens the Session Defaults and Preferences dialog box. Options within the dialog box are organized on different "tabs," which are accessible by clicking the tab labels at the top.

On each tab, input or change the settings by means of the mechanisms provided: select from a list, click an option so that it is checked or not checked, or input data. Save selections by clicking "OK." Close the dialog box by clicking "Cancel" if there are no new settings or changes to save or if you do not want to save selections that you made.

Selections are stored when you exit the cataloging module session. Check the preferences on your workstation occasionally, however, to confirm they are what you need for your work, especially if you share the same workstation with other staff members.

M6.3 RECOMMENDED SETTINGS

TAB: Option	Recommended, Required, or Usual	<i>Additional Information</i>
GENERAL: Holdings/Item default location	<i>Most ABA staff:</i> c-General Collections/CMD	Select the location that holdings and item records you create are most likely to use. Select a location other than GenColl if your work usually serves that location (for example, “c-Law Library” for a law cataloger).
GENERAL: Call Number Hierarchies	<i>Most ABA staff (work with full LC classification call numbers):</i> LCclass-050a&b	Select the hierarchy for the kind of call number most likely present in your work. This is necessary for the LC ILS to copy call number data from the bibliographic record into a holdings record’s 852 field.
GENERAL: Bibliographic Import/Replace Profile	<i>Most often:</i> LCCNadd or LCCNmerge <i>(Both now have the same result.)</i>	<i>Only in special workflows:</i> <i>SMCD special workflow for which the profile was designed:</i> smcdONLYmerge <i>CIP verification workflow using “Z-Processor CIP Ver version” to search OCLC and import upgraded CIP records:</i> CIP Ver Replace
GENERAL: Authority Import/Replace Profile	<i>Required always:</i> ARLCCNadd	
GENERAL: Delete records from work files once saved to database	<i>Required always:</i> Checked	
GENERAL: Delete records from import file once saved to database	<i>Required always:</i> Checked	
GENERAL: Add a subfield ‘a’ to a new field	Your individual preference	<i>Note:</i> Setting chosen affects results of some macros.

TAB: Option	Recommended, Required, or Usual	<i>Additional Information</i>
GENERAL: Display MARC Views maximized	Your individual preference	
VALIDATION: Cataloging formats	<i>Required always:</i> UnicodeLCMARC21	“UnicodeLCMARC21” assures only valid MARC 21 tags, indicators, and subfields are saved to the database.
VALIDATION: Bypass MARC Validation	<i>Usually: Not checked</i>	<i>Exception:</i> Change the preference to “checked” and thereby bypass MARC validation only when you cannot save a record because of a MARC validation problem, you cannot resolve the problem without assistance, and that assistance is not immediately available. After you save the problem record, reset the preference right away to “not checked.”
VALIDATION: Bypass MARC21 Character set validation	<i>Required always: Not checked</i>	“Not checked” assures only MARC 21 Unicode characters are saved to the database and invalid characters generate error messages.
VALIDATION: List all the errors / Show errors one at a time	Your individual preference	
VALIDATION: Bypass Authority Control Validation	<i>Only creating IBCRs, shelflisting, end-stage processing: Checked</i> <i>Otherwise: Not checked</i>	
VALIDATION: Display All The Headings	<i>Recommended: Checked</i>	“Checked” causes the LC ILS authority validation window to display authority records that the system validated as well as those it did not, thereby making access to the authority records easier.
VALIDATION: Heading Types	<i>Recommended:</i> Check all the heading types	<i>Exception:</i> Staff who do not review subject access points may leave “Subdivision” not checked.

TAB: Option	Recommended, Required, or Usual	<i>Additional Information</i>
VALIDATION: Bypass Decomposition of accented characters for MARC21	<i>Required always: Not checked</i>	“Not checked” causes the LC ILS to convert any pre-composed Unicode “letter + diacritic” combination (introduced, for example, by copying text from a Web page) into the decomposed form, that is, letter followed by combining diacritic, which MARC 21 requires.
VALIDATION: 856 link servers	[Do not input & do not change]	
WORK FLOW: Retain last search	Your individual preference	<i>Note:</i> “Checked” is useful when doing a sequence of searches of the same kind.
WORK FLOW: Automatic truncation for non keyword searches	Your individual preference	
WORK FLOW: Display record directly if search results in only one title	Your individual preference	
WORK FLOW: Always create a holding when adding holdings to a bib (i.e., do not show existing holdings first)	<i>Creating IBC records: Checked</i> <i>Otherwise: Not checked</i>	
WORK FLOW: Display item record directly if item retrieve results in only one item	Your individual preference	
WORK FLOW: Sequence new items at top	<i>Recommended: Not checked</i>	<i>Reminder:</i> Put any incorrectly sequenced item records into correct order by clicking “Get Items” from the holdings record display and using “Move before” and “Move after.”
WORK FLOW: Sequence new e- items at top	[Disregard]	

TAB: Option	Recommended, Required, or Usual	<i>Additional Information</i>
WORK FLOW: Check for Duplicate Item Barcodes	<i>Required always: Checked</i>	
WORK FLOW: Suppress confirmation message upon successful save	<i>Recommended: Not checked</i>	Not suppressing confirmation messages lets you know with certainty whether your record was saved to the database and therefore reduces additional, unnecessary “save” actions “just to be sure.”
ITEM DEFAULTS: Item Type	<i>Recommended:</i> Type of item most likely in your work	Select the type of item you are most likely to process, depending on your work assignment.
ITEM DEFAULTS: Status	<i>Usually: In Process</i>	
ITEM DEFAULTS: Copy	<i>Recommended: 0</i>	Change number manually in item records when you know which copy you are processing.
ITEM DEFAULTS: Pieces	<i>Recommended: 1</i>	Change number manually in item records when necessary.
ITEM DEFAULTS: <i>Other Options</i>	[Leave blank]	
FOLDERS/FILES: Templates	<i>Recommended:</i> Specify Hldg template: c:\program files\ voyagerunicode\ voyagertemplates\voyager original defaults\hold.tem Do not specify Bib and Auth templates	For each type of record, you can only specify one template to be used when you create a new record. That is only practical if you always use the same template for that type of record (usual for Hldg, unusual for Bib and Auth).
FOLDERS/FILES: Folders	<i>Recommended:</i> Specify Template folder: c:\program files\ voyagerunicode\ voyagertemplates\ Leave Work and Import folder options blank	<i>Reminder: Generally, do not specify or use special work folders in the LC ILS; let the LC ILS use its default work folder during addition of new records or modification of existing ones. Using work folders other than the default risks accidental errors. Do not use an import folder as a work folder in the LC ILS.</i>

TAB: Option	Recommended, Required, or Usual	Additional Information
FOLDERS/FILES: Work Files	[Disregard and leave blank]	<i>Reminder: Do not use work files in the LC ILS.</i>
FOLDERS/FILES: Save to Local File	[Disregard and do not change]	
MAPPING: Expected Character Set of Imported Records	<i>Required always:</i> MARC21 MARC-8 (non-Unicode)	
MAPPING: MARC Mapping for OCR Data	[Disregard and do not change]	
COLORS/FONTS: Mark Views (variable fields): Bibliographic	Your individual preference	<i>Preset: White background</i>
COLORS/FONTS: Mark Views (variable fields): Holdings	Your individual preference	<i>Preset: Blue background</i>
COLORS/FONTS: Mark Views (variable fields): Authority	Your individual preference	<i>Preset: Yellow background</i>
COLORS/FONTS: Mark Views (variable fields): Conversion	Your individual preference	<i>Preset: Orange background</i>
COLORS/FONTS: Mark Views (variable fields): Row Marker Symbol	Your individual preference	
COLORS/FONTS: Record Hierarchy: Bibliographic	Your individual preference	<i>Preset: White background</i>
COLORS/FONTS: Record Hierarchy: Holdings	Your individual preference	<i>Preset: Blue background</i>
COLORS/FONTS: Record Hierarchy: Item	Your individual preference	<i>Preset: Green background</i>
COLORS/FONTS: Record Hierarchy: Bound With	Your individual preference	<i>Preset: Magenta background</i>

TAB: Option	Recommended, Required, or Usual	<i>Additional Information</i>
COLORS/FONTS: Font: Name	<i>Recommended: Arial Unicode MS</i>	Arial Unicode MS is the only font guaranteed to display all MARC 21 characters in UTF-8 accurately; but other fonts are permissible, although not recommended if your work includes diacritics and special characters.
COLORS/FONTS: Font: Size	Your individual preference	
COLORS/FONTS: Font: Bold	<i>Recommended: Not checked</i>	Setting the font to bold makes diacritics indistinct, sometimes indistinguishable.
COLORS/FONTS: Global Heading Change Hierarchy: <i>All Levels</i>	Your individual preference	

DESCRIPTIVE CATALOGING MANUAL

Z1: NAME AND SERIES AUTHORITY RECORDS

Prepared by the

Cataloging Policy and Support Office

Library of Congress

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INTRODUCTION

These instructions address the creation and update of name and series authority records. They do not address subject authority records. For the purposes of this document, “authority record” applies to both name and series authority records. “Authority file” applies only to the name and series authority records which constitute the national authority file (NAF).

LC staff members and libraries participating in the Name Authority Cooperative (NACO) component of the Program for Cooperative Cataloging (PCC) contribute records to the authority file. In addition to being available online at LC, the authority file is available to NACO participants through the OCLC and RLIN utilities.

In constructing headings/references and recording information, NACO participants and LC catalogers not working in the LC Database may make use of all records on the file against which the searching and cataloging is being done: OCLC, RLIN, etc. NACO participants may choose to use only LC records found on the file being searched. For LC catalogers working in the LC Database, the file is the set of records comprising the “LC database” (see 670 yellow pages). In this document, “database” refers to whatever file is being used for searching and cataloging. At times, LC staff may need to consult the manual Official Name Catalog (ONC).

Use this document (DCM Z1) in connection with AACR 2, *Library of Congress Rule Interpretations* (LCRI), and other sections of the *Descriptive Cataloging Manual* (DCM). It supplements the MARC 21 Format for Authority Data and generally does not repeat information found in the format. Interfile the pages of this document with the appropriate pages of the format; the pages of this introduction through the pages “MARC 21 fields ...” can be filed after the introduction section in the format. The examples are given in MARC 21 style; an exception is the use of a blank space before and after the delimiter/subfield code combination. The symbol “#” represents a blank in an indicator position; the symbol “\$” is used for the delimiter.

This Introduction section covers the following topics:

- Name authority records (NARs)
- Series authority records (SARs)
- Additions and changes to authority records
- NACO normalization
- Should an SAR be made?
- How many SARs should be made?
- Series statement appears only on ECIP data view at galley stage
- Priorities for series/multipart items
- Searching series

Name authority records (NARs)

A name authority record has the following basic contents: 1) the authorized form of name chosen for use in headings, 2) the sources for this form and for variant forms, and 3) the cross references leading to the heading from variant forms or from related headings. Additional information may be recorded in fixed fields and in note areas of the authority record. Control data and content designation are also included for proper identification and manipulation of the data.

Generally, make a name authority record for any personal or corporate (including geographic) name heading that may be used as a main or added entry heading, whether it is actually first used as (or as part of) a main entry heading, a secondary entry (including a subject entry), or in certain cross references (e.g., hierarchy 4XX references, 5XX references). NARs are not made for personal names when the only clue to the person's identity is a nonalphabetic or nonnumeric device, or for entities that may be used only as subject entries, e.g., topical subject headings, fictional characters, animals.

LC practice: For titles or name/titles, an authority record is required only when one or more of the conditions listed below applies. Apply these criteria to each element of the full heading (main title, language, part, etc.) and make a separate authority record for each element that meets the criteria. Note: Authority records are not automatically created for each element of a uniform title heading.

- (1) a reference must be traced on **that** authority record; or,
- (2) special research done to establish that heading must be recorded (Note: In this context the LC manual Official Name Catalog is treated as a reference source; so searches in that catalog should be recorded in the authority record); or,
- (3) the heading is needed for a related work added entry or subject entry and the work is not represented by a bibliographic record in the LC database, or, for serials, by a CONSER record in OCLC or RLIN. See specific guidelines in LCRI 21.30G for a related work added entry; apply the same guidelines when a heading is needed for a subject entry; or,
- (4) special information needs to be recorded, e.g., citation title for a law;

LC music cataloging practice: As of August 16, 1999, authority records are created for ALL title and name/title headings. When a name/title see also reference needs to be made in accordance with LCRI 26.4B4, Conflicts, make an authority record for the name/title referred from if such a record had not been made in accordance with the above guidelines.

PCC practice: NACO participants may contribute name authority records for titles or name/titles (other than series, see below) as needed for cataloging. Also consult LCRI 21.30G for specific guidelines when a heading is needed for a related work added entry; apply the same guidelines when a heading is needed for a subject entry.

Series authority records (SARs)

LC series practice: As of June 1, 2006, LC does not create or update SARs

PCC series practice: The PCC Policy Committee has announced that the PCC series policy remains unchanged.

A series-like phrase record also can be made to record information of general interest or application, e.g., the 1XX in the record is an imprint rather than a title.

A series authority record has the following basic contents: 1) type of series code (i.e., monographic series, analyzable multipart item, a serial other than a monographic series, series-like phrase), 2) form of heading, 3) series treatment (classification, analysis, and tracing), 4) series numbering, 5) an LC call number, if classified as a collection, 6) place of publication and publisher/issuing body, 7) the source(s) on which the form of series heading is based, 8) cross references leading to the heading from variant forms and from/to related headings. Additional information may be recorded in fixed fields and in note areas of the authority record. Control data and content designation are also included for proper identification and manipulation of data.

Until 1983, series authority records created at LC, for the most part, reflected solely LC holdings and practices. However, now the authority file is a national authority file that accommodates holdings and practices of other institutions.

Series treatment information reflects institution-specific decisions. Therefore, the fields containing series treatment information require the identification of institution(s) following that practice. Because series treatment decisions in an institution can change, certain series treatment fields provide the means for indicating variations in practice within an institution.

Additions and changes to authority records

Almost as common as the need for a new authority record is the need to alter an existing record. New information can be received in various ways (e.g., new cataloging, investigation in response to a query) and may be significant enough to add to the permanent authority record.

Normally a new reference or a change in heading must be justified by the addition of new information to the authority record. Many other types of data can be added to the authority record when judged useful for proper identification.

Change an authority record when errors in headings or cross references are discovered. When the published work for an item cataloged through the CIP program shows a change in the form of name of a person, corporate body, uniform title, or series, change the authority record;

add the published source after the CIP source in the 670 field to document the change. Changes in the imprint date, choice of main entry, and changes in title proper do not require changes to authority records created for CIP items.

Code uncoded headings for AACR2 at the first instance of use. Refer authority records for headings that are totally invalid under AACR2 to the Cataloging Policy and Support Office (cpsol@loc.gov).

NACO normalization

When a new authority record (or field) is added to the authority file, each heading is compared against the headings already in the file to determine whether the new headings are unique, i.e., adequately differentiated from existing headings. Prior to comparison, the headings undergo a computer edit designed to eliminate all but the essential characters of a heading-- this process is called *normalization*. All parties involved in the exchange of LC/NAF authority data have agreed to a specific set of rules for normalization, and these rules are posted at: <http://www.loc.gov/catdir/pcc/naco/normrule.html>

The process of normalization removes all diacritics and most punctuation, and converts all letters to uppercase and all modified letters to their unmodified equivalents. Subfield delimiters (but not subfield codes) are retained in the normalized form. The normalized form of heading differs from the authorized catalog form of the heading. For example:

Catalog form:	Ile-de-Montréal (Québec)
Normalized form:	ILE DE MONTREAL QUEBEC

Only normalized forms of headings and references are compared in the check for uniqueness. Normalized forms that match are considered duplicate headings or a see reference in conflict with an authorized heading.

The only mark of punctuation that is retained during normalization is the first comma in subfield \$a. This exception means that the following two headings normalize to different forms:

Catalog form:	Chung, Hui
Normalized form:	CHUNG, HUI
Catalog form:	Chung-hui
Normalized form:	CHUNG HUI

To conform to the NACO standard, participants must adhere to the following policies:

Headings. Because headings that differ only in diacritics, marks of punctuation (except

the first comma, as stated above), capitalization, or special characters normalize to the same form, they are considered to conflict and must be further distinguished. If personal names cannot be distinguished, create an undifferentiated personal name authority record. The heading can represent only one form of the name (it does not matter which), but the 670 fields for each person should make it clear what the catalog entry form should be, and that form, not necessarily the form in the 100 field, should be used in the entry on the bibliographic records. For example:

```

100 1# $a Ku, Chun
400 1# $a Gu, Zhun
400 1# $a Gu, Qun
670    $a [Editor of Hsia jih ti hui i]
670    $a Lo, Y.L. Hsia jih ti hui i, 1977: $b t.p. (Ku
        Chün)
670    $a [Joint author of Chung-kuo cheng fu k'uai chi chih
        tu]
670    $a P'an, H.L. Chung-kuo cheng fu k'uai chi chih tu,
        1941: $b t.p. (Ku Chun)

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Form of entry on bibliographic records for the first author: Ku, Chün.

Form of entry on bibliographic records for the second author: Ku, Chun.

See References. Do not trace a 4XX reference that normalizes to the same character string as an existing authorized 1XX heading in the national authority file, including the heading in the record to which the reference is made. This policy also applies to the *optional* linking references. If a linking reference and the heading in the same record normalize to the same form, do not trace a 4XX linking reference. Instead, give the old catalog heading in a 667 field preceded by the phrase: Old catalog heading:.

```

100 0# $a Napoleon $b I, $c Emperor of the French, $d 1769-
        1821
667    $a Old catalog heading: Napoléon I, Emperor of the
        French, 1769-1821
not 400 0# $w nnaa $a Napoléon $b I, $c Emperor of the French,
        $d 1769-1821

```

```

130 #0 $a Archives of toxicology. $p Supplement
667    $a Old catalog heading: Archives of toxicology :
        Supplement
not 430 #0 $w nnaa $a Archives of toxicology : $p Supplement

```

```

but 151 ## $a Birmingham (Ala.)
        451 ## $w nnaa $a Birmingham, Ala.

```

(This linking reference is permitted because the comma in the \$a

subfield makes the heading unique.)

```
110 2# $a United States Information Agency
410 1# $a United States. $b Information Agency
```

(This reference is permitted because the delimiter is retained in the normalized form and makes the heading unique.)

Apply these guidelines to references on new authority records and to existing authority records when making some other change to the record.

Should an SAR be made?

Series authority records should not be made for the following categories:

- (1) a republication that does not include the original series statement (see “Republications” section in 64X yellow pages);
- (2) generally, a periodical (includes several separate articles by several contributors, frequency of publication more often than annual, and usually has both numeric and chronological designations) even if the issue in hand consists of a single contribution (e.g., a festschrift, proceedings of a conference) or may have a special title giving the overall theme of the issue;
- (3) a hardcover (sometimes even softcover) edition of a selected issue of a periodical;

Several publishers (e.g., Haworth Press, Pergamon Press) publish separate editions, with special titles, of selected issues of their periodicals. These editions are published in addition to the unbound issues received by subscribers. The Library generally acquires the separate edition whether or not it subscribes to the periodical.

Do not consider such a separate edition to be an integral part of the periodical; do not prepare an SAR. Make a separate bibliographic record for it. Add a note explaining its relationship to the periodical, e.g., “Published also as v. 15, no. 2 of the Journal of children in contemporary society.” Give a related work added entry for the periodical on the bibliographic record (cf. LCRI 21.30G).

It is not always clear, especially at CIP galley stage, whether the item in

hand is an integral part of the periodical or a separate edition. Some publishers make clear statements, e.g., saying the title “has also been published as [title of journal], v. _____, no. _____.” Others make ambiguous or misleading statements, e.g., saying that the edition is “Published as a special issue of the journal _____, v. _____, no. _____ and supplied to subscribers as part of their normal subscription.” The latter statement seems to indicate that the volume in hand is the only one issued and constitutes an integral part of the periodical. If the information given in the item is ambiguous, check the issue of the periodical or contact the publisher.

How many SARs should be made?

Because the entities represented by series authority records offer limitless possibilities for variation and change, it is sometimes difficult to determine how many authority records should exist.

- (1) How many authority records are made if the title or the series-like phrase changes?

Is the change in the series-like phrase or in the title proper of the monographic series/other serial a major change or a minor change? (Consult AACR2 21.2C, LCRI 21.2C.) If it is a major change, make a new SAR. If it is a minor change, give a 670 citation and a 4XX reference for the different form.

Is a separate SAR made when the title of a multipart item changes? No; give the other title proper as a 4XX reference.

- (2) How many authority records are made if the volumes of a monographic series are in different languages? Consult LCRI 1.6, 21.14, and 25.5C.
- (3) How many authority records are made if the same volumes in a series are published separately by publishers in the same language in the United States and in another country (e.g., England)? A separate SAR is made for the series from each publisher; if the titles of the series are the same, add a LCRI 25.5B qualifier to the SAR made later.
- (4) How many authority records are made if the volumes of a monographic series switch from having numbers to lacking numbers and vice versa? Consult LCRI 1.6.

- (5) How many authority records are made for main series and subseries? Consult LCRI 1.6H and LCRI 1.6.
- (6) Has there been a change in responsibility (i.e., different person/body, body's name changes, uniform title changes)? Consult 21.3B.
- (7) When reestablishing a series, is the apparent difference between the “earlier” form of title and the current title due to different transcription practices? If so, make only one SAR. *Optionally*, give the “earlier” form as a 4XX/667 old catalog heading (see 4XX yellow pages).

Possibilities include the following:

- (a) A change in the ALA/LC policy for romanization or word division results in a different title.

```
130 #0 $a Makedonikē vivliothēkē
430 #0 $w nna $a Makedonikē bibliothēkē
```

- (b) The title is in a language containing a symbol or numeral that under earlier rules was replaced by the corresponding word or words.

```
130 #0 $a Soldatenschicksale des 20.
    Jahrhundert als Geschichtsquellen
430 #0 $w nna $a Soldatenschicksale des
    zwanzigsten Jahrhunderts als
    Geschichtsquellen
```

- (c) The title of the series was transcribed in truncated form under previous rules.

```
130 #0 $a Occasional papers of the California
    Academy of Sciences
410 2# $w nnaa $a California Academy of
    Sciences, San Francisco. $t Occasional
    papers
```

- (d) The series title consists solely of the name of a corporate body and the same form of the same series was under earlier rules considered to lack a title.

```
130 #0 $a Centre de recherches d'histoire
    ancienne (Series)
410 2# $w nnaa $a Centre de recherches
    d'histoire ancienne. $t Publication
```

(pre-AACR2 form of heading: Centre de recherches d'histoire ancienne.

[Publication])

- (e) Evidence indicates that a word such as Bibliotheca, Collection, Edice was always present as the first word of the title but was not considered to constitute a part of the title proper.
- (8) How many series-like phrase heading SARs are made for the same phrase used by different bodies?

There should be only one SAR. If an SAR already exists, use it as an undifferentiated phrase record; delete from the existing heading any qualifier other than “(Series).”

If the heading on an undifferentiated phrase record consists of a combination of letters that is the same as an acronym/initialism or name of a corporate body, use the qualifier “(Series).” If the heading on an undifferentiated phrase record conflicts with the title of a serial (monographic series or non-analyzable serial), add a qualifier to the heading for the serial on its bibliographic record.

Give the 643 field as “Various places : various publishers.” Do not give a 667 for publisher variations.

Include two 667 fields. The first should be either “Give phrase as a quoted note” or “Do not give phrase as quoted note.” The second 667 should be the following: “Undifferentiated phrase record: Covers all instances when this character string used by any publisher is considered to be a series-like phrase; if character string is considered to be a series, separate SAR has been made.”

Series statement appears only on ECIP data view at galley stage (LC partner practice)

- (1) Series is new to the Library.

Return the ECIP data view to CIP Division with request that CIP return the data view to publisher to “refresh” associated text file to include the series information.

(i) When revised copy is received, establish series according to regular partner procedures.

(ii) If revised copy is not received within five to eight work days, the ECIP Data

Application will be deleted automatically from ECIP system and publisher will be required to resubmit in order to obtain CIP data for the item. Cancel any CIP record which may have been created in the partner database.

(2) Series is already represented by an SAR.

(a) Series title on data view matches form of title in the SAR: Transcribe the series statement without brackets in the bibliographic record. Trace the series if appropriate according to regular partner procedures.

(b) Series title on ECIP data view is considered to be variant form of the title in the SAR:

(i) Clarify the data with publisher, transcribe the series statement without brackets, and trace the series if appropriate according to regular partner procedures.

(ii) Add reference(s) to the SAR for any valid variant form.

(c) Series title on ECIP data view might represent a title change or situation might require a change in heading from that in the SAR:

(i) Clarify the data with publisher and, if appropriate according to regular partner procedures, return the CIP data view to CIP Division with request that CIP contact the publisher (see (1) above for procedures to follow).

(ii) When information from publisher is received, follow regular partner procedures and either add information and reference(s) to the existing SAR or create a new SAR as appropriate.

(iii) If information is not received within five to eight work days, the ECIP Data Application will be deleted automatically from the ECIP system and the publisher will be required to resubmit in order to obtain CIP data. Cancel any CIP record which may have been created in the partner database.

(3) Series is represented by analytic bibliographic records but there is no SAR: Create SAR for series according to regular partner procedures.

Searching series

Searching is the most important step in series processing. You must determine whether your series is already represented in the database; if not, you must know what other series are already in the database so your series will “fit” and not conflict with headings on authority and bibliographic records (also see LCRI 25.5B).

Remember that the bibliographic records in the database include series handled under different cataloging codes. Some of the differences affecting series access are summarized below.

Choice of entry:

AACR 1 had a special rule for serials. Generic titles were entered under body. Titles containing name or initialism of body were entered under body.

AACR 2 has no special rule for serials. Most are entered under title per 21.1C1.

Title truncated:

For a time AACR 1 eliminated from the series title the name or part of the name of the body. "Bulletin of the Department of Education" became "Bulletin." "Research Department study" became "Study."

Space-hyphen-space:

Revised chapter 6 of AACR 1 specified that space-hyphen-space plus the body's name should be added to generic titles to create titles proper. The body's name was given in the form found on the item (which could change from one issue to the next). "Report - Department of Health" might be "Report - Virginia Department of Health" on the next issue and "Report - Commonwealth of Virginia Department of Health" on another issue. The form in the series added entry depended upon which issue was used when establishing the heading.

Subseries:

AACR 1: If subseries title was "weak," the subseries was entered subordinately to the main series; if subseries title was "strong," the subseries was entered independently.

AACR 2: If the main series and subseries are on the same source in the preliminaries, the subseries is entered subordinately to the main series; if the main series and subseries aren't on the same source in the preliminaries, the subseries is entered independently.

Also remember that series titles including initial articles appearing on pre-1979 records and in series statements for untraced series (490 0) do not have the filing indicator set for the initial article. If the series title on item in hand includes an initial article, do a search including the initial article as well as a search without it.

OCLC Leader/Fixed Field Conversion Table

<u>OCLC</u>	<u>MARC 21: Name and Tag</u>	
Rec stat	Record status	Leader/05
Type	Type of record	Leader/06
Roman	Romanization scheme	008/07
Govt agn	Type of government agency	008/28
Series	Type of series	008/12
Ser num	Numbered/unnumbered series	008/13
Entered	Date entered on file	008/00-008/05
Upd status	Record update in process	008/31
Ref status	Reference evaluation	008/29
Auth status	Level of establishment	008/33
Auth/Ref	Kind of record	008/09
Name	Undifferentiated personal name	008/32
Enc lvl	Encoding level	Leader/17
Mod rec	Modified record	008/38
Subj	Subject heading system/thesaurus	008/11
Geo subd	Direct or indirect geographical subdivision	008/06
Subdiv tp	Type of subject subdivision	008/17
Source	Cataloging source	008/39
Name use	Heading use - main or added entry	008/14
Subj use	Heading use - subject added entry	008/15
Ser use	Heading use - series added entry	008/16
Rules	Descriptive cataloging rules	008/10

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

MARC 21 Fields Used in Serial Records

LC series practice: As of June 1, 2006, LC does not create or update SARs

PCC series practice: The PCC Policy Committee has announced that the PCC series policy remains unchanged.

Collected set serial bibliographic records for monographic series classified as a collection by a CONSER participant may be considered a reference source by other PCC participants.

Below are explanations of some of the MARC 21 fields used primarily/only in serial bibliographic records. For an explanation of fields not covered here, see the *CONSER Editing Guide*.)

Fields which may affect series heading or treatment

010 field (LC control number)

This field may contain a regular LC control number (usually without prefix) or a pseudo LC control number (with “pseudo” prefix). If the record in the OCLC database used by an LC serials cataloger already has a pseudo LC control number, as of May 1, 1999 it is not being replaced by a regular LC control number lacking a prefix.

Listed below are the prefixes that now may be found in LC control numbers with an explanation of the use of these prefixes before May 1, 1999.

- ce prefix = Canadian bilingual publication, English language cataloging.
- cn prefix = Unilingual Canadian publication, English language cataloging (also used for unilingual French language cataloging, but records not in the LC Database).
- sf prefix = Records authenticated by LC for titles held by LC given less than full cataloging: form card cataloging, minimal level cataloging, and other forms of cataloging for which no serial printed card existed (e.g., monographic series classified separately).
- sn prefix = Records authenticated by CONSER participants, National Serials Data Program (NSDP), United States Newspaper Program (USNP), and the former New Serial Titles Section (NST). (Prior to 1984, “sn” control

numbers were also assigned to LC minimal level cataloging records.)

042 field (Authentication agency code)

Records may have more than one code. If the record is an AACR 2 record and has been authenticated by LC or LAC, the heading is usually accepted as the AACR 2 heading. (See also 1XX yellow pages.)

- lc descriptive and subject elements verified by LC; all name and series headings are represented by name/series authority records in the national authority file

- lccopycat Code lccopycat signifies that the Library of Congress has used another organization's record as the basis for its cataloging. All headings have been checked against the relevant authority file (except for series headings in records used after May 31, 2006 and except subject headings not from *Library of Congress Subject Headings*).

- lcd descriptive elements verified by LC or a CONSER participant; all name and series headings are represented by name/series authority records in the national authority file or there are no headings appropriate to the record

- nlc descriptive elements and headings verified by Library and Archives of Canada

- nsdp ISSN elements (e.g., ISSN, key title) verified by National Serials Data Program (NSDP)

- isds/c ISSN elements verified by ISSN Canada

- nst code used 1981-1984 for records selected for publication in *New Serial Titles*; descriptive elements are only as accurate as reported by the NST reporting libraries; codes "lcd" and "msc" used 1985-1993 for such records (LC's New Serial Titles Section abolished in 1993)

- msc descriptive elements verified by NSDP, NST, the CONSER Minimal Level Cataloging Section, or a CONSER participant including U.S. Newspaper Program participants; all name and series headings are in AACR2 form but may not be represented by name/series authority records in the national authority file. (Prior to fall 1989, this code was also used when there were no headings appropriate to the record.)

- premarc code used for records converted to machine-readable form as part of LC retrospective conversion (source records used are printed catalog cards)

taken from the LC general shelflist and other manual LC files, or OCLC records that have been amalgamated with data from LC manual files); descriptive elements have not necessarily been verified or reverified by LC but the authoritativeness of the headings is indicated by the additional presence of code “lcd” or “msc”

xlc not currently treated as a serial by LC; this code will appear only in combination with other codes (e.g., “nsdp,” “nlc”) that indicate serial treatment by another authenticating agency.

[N.B.: An “x” preceding any of the agency-specific codes above indicates that the agency does not currently treat the publication as a serial.]

050 field (Library of Congress Class/Call Number)

This field with second indicator of “0” may contain an LC call number, an LC shelf number, or other indication of LC practice.

IN PROCESS Call number not yet assigned (prior to 1990, PAR or REV PAR used)

CLASSED SEPARATELY Monographic series classified separately in LC. (Prior to 1990, UNC used.)

UNCLASSED Titles in LC which do not receive a call number, i.e. already existing form card cataloging (e.g., for technical reports) or temporary cataloging. (Prior to 1990, UNC was used.)

UNCLASSIFIED Same as “UNCLASSED”

NOT IN LC Cooperatively cataloged records for serials known not to be in LC

WMLC [no.] Shelf number for non-microform materials represented by minimal level cataloging records

MICROFILM [no.] Microfilm shelf number

MICROFICHE [no.] Microfiche shelf number

Newspaper Considered a newspaper within LC; may be followed by a number

DISCARD Retention decision

CURRENT ISSUES ONLY Retention decision

Fields showing variant and changed titles

Information in the following fields is to be used only as an aid in interpreting data on records; it is not to be used to justify 4XX/5XX references or establishment of new series headings when the variant/changed titles are not found on analytic records or on the item in hand.

246 field (Varying form of title)

The indicators in this field are the same as in monograph records.

247 field (Former title or title variations)

Not used for AACR2 (except in records for electronic serials that do not retain their titles); used for title changes on AACR 1 records before June 14, 1971, and for earlier titles in latest entry (ALA) cataloging records.

580 field (Linking entry complexity note)

This field is used to describe the relationship between two entries when it cannot be stated simply with a note generated by the 780/785 field.

780 field (Preceding entry)

The second indicator in this field gives the exact relationship:

- 0 = Continues
- 1 = Continues in part
- 2 = Supersedes (not used for AACR 2)
- 3 = Supersedes in part (not used for AACR 2)
- 4 = Formed by the union of _____ and _____
- 5 = Absorbed
- 6 = Absorbed in part
- 7 = Separated from

785 field (Succeeding entry)

The second indicator in this field gives the exact relationship:

- 0 = Continued by
- 1 = Continued in part by
- 2 = Superseded by (not used for AACR 2)
- 3 = Superseded in part by (not used for AACR 2)
- 4 = Absorbed by
- 5 = Absorbed in part by
- 6 = Split into _____ and _____
- 7 = Merged with _____ to form _____
- 8 = Changed back to

Other fields of interest310 field (Current frequency)

If the frequency indicated is more often than annual, the series may actually be a periodical.

321 field (Former frequency)

This field gives information about earlier/past frequencies of publication.

362 field (Dates of publication and volume designation)

This field gives information about first and/or last issues.

515 field (Numbering peculiarities note)

This field contains information on peculiarities/irregularities in numbering or pattern of publication.

550 field (Issuing body note)

This field shows variations in the issuing body.

008/11 Subject Heading System/Thesaurus*Corporate headings for high government and religious officials*

Assign value “n” (Not applicable) to name authority records for corporate headings representing the office held for Heads of state, etc. (AACR2 rule 24.20B1), Heads of governments and of international intergovernmental bodies (AACR2 rule 24.20C), Religious officials (AACR2 rule 24.27B1), and Popes (AACR2 rule 24.27B2) when the name of the incumbent is included as part of the heading. Also assign value “b” in 008/15 and make a 667 note indicating the form used in subject cataloging.

Examples of corporate headings not appropriate for use as subject headings:

United States. President (1953-1961 : Eisenhower)
Iran. Shah (1941-1979 : Mohammed Reza Pahlavi)
Illinois. Governor (1973-1977 : Walker)
Catholic Church. Pope (1958-1963 : John XXIII)
Church of England. Diocese of London. Bishop (1675-1713 : Compton)

See also DCM Z1 008/15 and DCM Z1 667 section “NARs and subject usage.”

Follow these guidelines for newly-created authority records. Correct existing records when making any other change to the records.

008/15 Heading Use–Subject Added Entry*Corporate headings for high government and religious officials*

Background: For Heads of state, etc., Heads of governments and of international intergovernmental bodies, Religious officials, and Popes, descriptive catalogers may be required to establish a corporate heading for the office as well as a personal name heading for the office holder. It is subject cataloging policy to assign only the personal name heading, not the corporate heading, as a subject access point. This policy was established for collocation purposes (cf. SCM H 430). For example, the heading:

United States. President (1789-1979 : Washington)

may be used in descriptive cataloging as an access point, but in subject cataloging only the personal heading:

Washington, George, 1732-1799

would be used as a subject access point.

Assign value “b” (Not appropriate) to name authority records for corporate headings representing the office held for Heads of state, etc. (AACR2 rule 24.20B1), Heads of governments and of international intergovernmental bodies (AACR2 rule 24.20C), Religious officials (AACR2 rule 24.27B1), and Popes (AACR2 rule 24.27B2) when the name of the incumbent is included as part of the heading. Also assign value “n” in 008/11 and make a 667 note indicating the form used in subject cataloging.

Example:

```
110 2# $a Catholic Church. $b Pope (1958-1963 : John XXIII)
008/11 = n
008/15 = b
667 ## $a SUBJECT USAGE: This heading is not valid for use
as a subject. Works about this person are entered
under John XXIII, Pope, 1881-1963.
```

See also DCM Z1 008/11 and DCM Z1 667 section “NARs and subject usage.”

Follow these guidelines for newly-created authority records. Correct existing records when making any other change to the records.

008/32 Undifferentiated Personal NameGeneral

Assign value "b" if the heading is for a personal name and is to be used for more than one person according to AACR 2 22.20. (See LCRI 22.17-22.20.) Do not change the 1XX field on an undifferentiated name authority record.

From April 1988-mid-June 1990 LC policy for undifferentiated personal name authority records (formerly called non-unique name authority records) was to list up to three persons. If the heading represented four or more persons, the name authority record covered three persons and contained a 667 note "Record covers additional persons." The current LC policy is to list each person the heading represents without regard to the number of people using that name. Although the note "Record covers additional persons" has been discontinued for new records, it should be retained when found on existing records.

When information is found to distinguish a person included on an undifferentiated name record, always create a new name authority record for that person. Delete information pertaining to that person from the undifferentiated name record. Add a 667 note on the new record to identify the LCCN of the authority record on which information about that person had been recorded:

```
667    $a Formerly on undifferentiated name record: [LCCN of
undifferentiated name record]
```

When an undifferentiated personal name authority record is being revised to delete all but one name, change value "b" to "a." Delete all of the other data applying to the name(s) being deleted from the authority record. Also delete the bracketed caption for the one name remaining.

When an authority record for a single person is being revised to include another person, change the value from "a" to "b."

SARs

LC series practice: As of June 1, 2006, LC does not create or update SARs

PCC series practice: The PCC Policy Committee has announced that the PCC series policy remains unchanged.

Prior to March 21, 1991, only value "n" was used in this field. Use value "a" or "b" if a new SAR is entered under a personal name heading. You may change this field if the value is incorrect when you are updating the SAR for another reason.

008/33 Level of EstablishmentNARs

NACO participants and **provisional** (008/33 value “c”) records:

In addition to the basic condition for coding an authority record provisional, i.e., that the heading cannot be formulated satisfactorily because of inadequate information, **NACO** participants may create provisional records in the following exceptional situations:

(1) If the contributing library does not have the language expertise to establish the heading as a fully established authority record; this would include situations where the library lacked adequate reference sources for research or where the cataloger was not confident of the correct grammatical form of heading.

(2) If the contributing library is unable, due to limited resources or other constraints, to complete related authority work or to determine the appropriate reference structure that is required for fully established headings.

In no case will **NACO** participants create provisional authority records for headings that conflict (including normalization) with already established headings. The Cooperative Cataloging Team is prepared to provide language expertise, etc., to **NACO** participants on request, so that such headings and references can be fully established at the time they are contributed.

Questions about provisional authority records contributed by **NACO** participants should be referred to the Cooperative Cataloging Team, which may refer them to the appropriate subject team.

BIBCO participants and **provisional** records:

BIBCO participants may not create **provisional** records in the two exceptional situations noted above for **NACO** participants if the **NARs** being contributed by **BIBCO** libraries are in support of their **BIBCO** bibliographic records, i.e., those records with “pcc” in 042.

LC/NACO participants and **Preliminary** (008/33 value “d”) records:

Preliminary authority records (008/33 value “d”) generally are the result of retrospective projects. **LC** catalogers are expected to upgrade **NARs** coded preliminary when using the heading on a bibliographic record. **PCC** catalogers are expected to routinely upgrade **NARs** coded preliminary when making other modifications to the record. Because of this

maintenance requirement, NACO participants are asked to contact the Cooperative Cataloging Team before embarking on projects that may result in large numbers of NARs coded preliminary being added to the NACO Authority File.

As needed, catalogers may upgrade NARs coded preliminary when working with earlier/later corporate body headings although the heading(s) being upgraded is not used in the local bibliographic database. Occasionally catalogers may need to create a new heading(s) without having an item in hand, e.g., for an earlier or later name heading using information from reference sources, or a heading based on information found in field 245 subfield “c” of bibliographic records when resolving NAR conflicts. Do not code these occasional NARs as “preliminary.”

SARs

LC series practice: As of June 1, 2006, LC does not create or update SARs

PCC series practice: The PCC Policy Committee has announced that the PCC series policy remains unchanged.

Generally, do not use value “d” for series authority records; the series data elements should be viewed on the publication when creating SARs. Upgrade a preliminary record to a full level record when you have examined the publication.

008/39 Cataloging Source

LC series practice: As of June 1, 2006, LC does not create or update SARs |

PCC series practice: The PCC Policy Committee has announced that the PCC series policy remains unchanged. |

Whatever value is originally input into this field remains; do not change this value when updating a record unless the original value was incorrect.

LC catalogers working in the LC Database: Note that an authority record created using the LC ILS authority generation feature will have 008/39 set to value "d." If the NAR macro is not used, this value must be changed manually to value "blank" (the appropriate value for new records created at LC). |

010 Library of Congress Control Number

LC series practice: As of June 1, 2006, LC does not create or update SARs

PCC series practice: The PCC Policy Committee has announced that the PCC series policy remains unchanged.

When one authority record is being deleted in favor of another authority record, give the LCCN of the deleted record in subfield \$z of the 010 field in the retained record. This action may result in a mixture of old and new-structure LCCNs. When inputting the LCCN, follow the conventions appropriate to the structure of that LCCN. Do not convert old-structure LCCNs to new-structure LCCNs, or vice versa. (See DCM C3 for additional information.)

Examples:

[blank space = system-supplied space for clarity in display; “#” = space input by cataloger]

010 \$a n##99001234# \$z no#98222222# \$z n##99500045#
[all LCCNs are old-structure]

010 \$a nr2001040302 \$z n#2001000888
[all LCCNs are new-structure]

010 \$a n##99123456# \$z n#2001123456
[LCCN in subfield \$a is old-structure; LCCN in subfield \$z is new-structure]

010 \$a no2001333333 \$z nb#99000123#
[LCCN in subfield \$a is new-structure; LCCN in subfield \$z is old-structure]

Do not “re-use” an LCCN. Once an authority record for a specific entity is created and an LCCN is assigned to the record, do not change the data in that record to represent a DIFFERENT entity. For example, do not change an NAR for “Smith, John” to “Jones, Mary” (unless the person’s name has changed).

When a duplicate authority record is identified, delete the record. Do NOT “fix up” the record by deleting the 040 \$d in the record and keying in all new fixed and variable fields so that the record “looks” new. This action causes problems for LC, CDS, the bibliographic utilities, and other libraries’ systems.

010 Guidelines for Library of Congress Staff:

Generation of Library of Congress Control Numbers (LCCNs) for name authority records

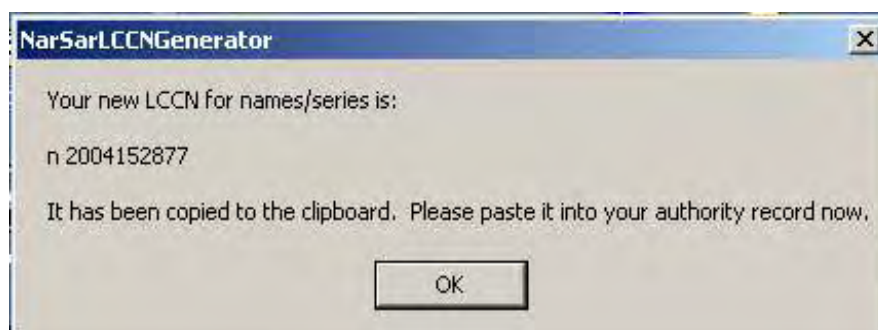
LCCNs for name authority records (“n” numbers) are assigned through software (called “Number Generator” and referred to as the “the application”) developed for this purpose. The application must be installed on a staff member’s PC using the instructions below.

Installing the application: Go to <http://www.loc.gov/staff/catdir/installs/> and click on “Install” next to “LCCN Generator for Name and Series Authorities.” This results in a window labeled “File Download.” Click on “Open followed by clicking the “OK” button. The application is copied to the staff member’s PC and an associated icon is put on the desktop to facilitate use of the application.

Using the application: When a name authority record is needed, before creating it, click on the Generator icon for name and series LCCNs:



The Generator displays a new LCCN for a name authority record:



There is no need to write down the LCCN because it is automatically copied to the clipboard and is ready to paste into an authority record. Initiate creation of the authority record. However this is done, immediately paste the LCCN into field 010 to avoid accidentally erasing the LCCN from the clipboard by using the clipboard for another purpose. Insure that field 010 exists and contains subfield \$a. Paste the LCCN in the 010 \$a subfield; it will be properly structured according to the conventions of MARC 21 for LCCNs in field 010. (Note: pasting must be done

within the Voyager screen; pasting into another application like Notepad may result in the LCCN not being visible.)

CAUTION: It is critical that the “Authority Import/Replace Profile” under the “General” tab of the “Session Defaults and Preferences” window under “Options --> Preferences” is set to “ARLCCNadd” to avoid pasting the same LCCN into another authority record and saving more than one record with the same LCCN.

016 National Bibliographic Agency Control Number

LC series practice: As of June 1, 2006, LC does not create or update SARs |

PCC series practice: The PCC Policy Committee has announced that the PCC series policy remains unchanged. |

This field may appear in authority records emanating from national bibliographic agencies. Do not modify or delete this field.

022 International Standard Serial Number

LC series practice: As of June 1, 2006, LC does not create or update SARs

PCC series practice: The PCC Policy Committee has announced that the PCC series policy remains unchanged.

Do not do any special searching to determine the ISSN; give the ISSN if it is available from the item in hand, from analytic bibliographic records, or from the collected set bibliographic record for the series.

Do not give an ISSN if it has more or less than eight digits or if a letter other than “X” is the eighth digit. Do not give an ISBN or ISSN listed by the publisher for a multipart item set.

When the title of a publication has changed, confirm that an ISSN appearing on the publication belongs to the new title and not to the earlier title.

An incorrect ISSN can be given in a 667 field (e.g., “ISSN 1122-3344 is not a valid ISSN for this publication”).

Do not use this field in an SAR for a series-like phrase. If an ISSN is on an item containing a phrase judged not to be a series, reconsider the decision that the phrase isn't a series.

035 System Control Number

As part of the conversion from MUMS, an 035 field was added to every name/series authority record. An 035 is also added to all new and updated authority records coming into the LC database from the overseas offices or the NACO nodes as part of the load process.

The DLC 035 is deleted programmatically by CDS when the record is distributed.

Do not add, change, or delete 035 fields. Catalogers have no responsibility for the 035 field.

040 Cataloging Source

LC does not use: subfield \$f - Subject heading/thesaurus conventions

When a record is updated, add "\$d [MARC 21 code]" unless your institution is already the last subfield \$d in the 040 field.

042 Authentication Code

This field may appear in authority records emanating from national bibliographic agencies. Do not modify or delete this field.

050 Library of Congress Call Number

LC series practice: As of June 1, 2006, LC does not create or update SARs

PCC series practice: The PCC Policy Committee has announced that the PCC series policy remains unchanged.

Punctuation

Use periods after the terms listed below. Use periods for abbreviations in non-English languages according to the usage in those languages.

fol.
no.
pt.
subser.
Suppl.
vol.

Use of "subser."

If a subseries (numbered or unnumbered, established subordinately or independently) is classified with the main series, the call number of the main series plus "subser." is the call number given in the 050 field on the subseries SAR; the abbreviation "subser." is part of subfield \$b.

main series SAR: 050 \$a AS36.I92 \$b A2 \$5 ___
 646 \$a c \$5 ___

subseries SAR: 050 \$a AS36.I92 \$b A2 subser. \$5 ___
 646 \$a m \$5 ___

The abbreviation "subser." appears in the 050 field of the collected set bibliographic record for a numbered subseries. The call number of the main series appears in the 050 field of a monograph analytic bibliographic record for a volume of the subseries; the volume number of the main series given in the 4XX field of the bibliographic record replaces "subser." in the call number in the bibliographic record.

main series collected set record: 050 \$a AS36.I92 \$b A2 \$5 ___
numbered subseries collected set record: 050 \$a AS36.I92 \$b A2 subser. \$5 ___

monograph analytic record: (if subseries numbered)	050	\$a AS36.I92 \$b A2 no. 63
	490 1	\$a [main series title] ; \$v no. 63. \$a [subseries title] ; \$v no. 5
monograph analytic record: (if subseries unnumbered)	050	\$a AS36.I92 \$b A2 no. 63
	490 1	\$a [main series title] ; \$v no. 63. \$a [subseries title]

"Subser." is also used in 050 fields of nonanalyzable serials in monographic series.

periodical in a collected series:	050	\$a P9 \$b .A24 subser. \$5 ____
	245	\$a Linguistica generalia.
	440	\$a Acta Universitatis Carolinae. \$p Philologica

Numbered multipart items classified with main or another series

When a numbered multipart item is in a monographic series or in a more comprehensive multipart item that is classified as a collection, a collected set bibliographic record is also prepared for the smaller multipart item as a whole. The call number in the 050 field of that bibliographic record consists of the call number of the main/another series plus the volume number of the main/another series (not the volume number of the smaller multipart item) that constitutes the first or earliest known volume of the smaller multipart item, followed by the abbreviation "etc." That call number is the one given in the 050 field of the SAR for the smaller multipart item.

For the volume number of the main/another series, use the numbering designation already established as shown in the 642 of the SAR or in subfield \$v of 4XX/8XX fields in analytic bibliographic records. If that information is not available (e.g., the only existing analytic record is a nonanalyzable series or the series was previously not analyzed), always use the English abbreviations "vol.," "no.," and "pt." for "volume," "number," and "part" or for any equivalents in the vernacular.

<u>item in hand:</u>	"vypusk 5" of the multipart item constitutes "tom 17" of the main series
<u>data base:</u>	pre-AACR 2 analytic record for "vypusk 1" of the multipart item shows that it constitutes "tom 6" of the main series and "t. 6" has been added as an integral part of the call number of the analytic record
<u>add in 050:</u>	t. 6, etc.

item in hand: "1. Teil" of the multipart item constitutes "Band 9" of the main series
data base: no analytic records
add in 050: vol. 9, etc.

Following are records showing the interrelationship of the fields in an SAR for a series classified as a collection, an SAR for a multipart item in that series, the multipart item collected set bibliographic record, and a multipart item analytic bibliographic record.

series SAR: 050 \$a QE75 \$b .B9 \$5 ___
 130 \$a U.S. Geological Survey bulletin
 642 \$a 1749 \$5 ___
 646 \$a c \$5 ___

multipart SAR: 050 \$a QE75 \$b .B9 no. 1749, etc. \$5 ___
 130 \$a Mineral resources of wilderness study areas--west-central Utah
 430 \$a U.S. Geological Survey bulletin. \$p Mineral resources of wilderness study areas--west-central Utah
 642 \$a ch. A \$5 ___
 646 \$a m \$5 ___

{Note: if a volume number consists of only an arabic numeral (i.e., designation is lacking), "no." is given with the arabic numeral at the end of a call number so that volume number doesn't look like a date.}

multipart collected set record:

050 \$a QE75 \$b .B9 no. 1749, etc.
 245 \$a Mineral resources of wilderness study areas--west-central Utah.
 440 \$a U.S. Geological Survey bulletin ; \$v 1749
 505 \$a ch. A. Mineral resources of the Swasey Mountain and Howell Peak Wilderness study areas, Millard County, Utah / by David A. Lindsay ... [et al.]

analytic record: 050 \$a QE75 \$b .B9 no. 1749-A
 245 \$a Mineral resources of the Swasey Mountain and Howell Peak wilderness study areas, Millard County, Utah / \$c by David A. Lindsey ... [et al.]
 440 \$a Mineral resources of wilderness study areas--west-central Utah ; \$v ch. A

Unnumbered multipart item classified with main or another series

No collected set bibliographic record is prepared for an unnumbered multipart item in a monographic series or in a more comprehensive multipart item classified as a collection.

So, in the 050 field of the SAR give the call number of the main or another series without an addition of the volume designation of the main/other series. The 050 field in each bibliographic record has the specific volume number of the main/other series.

main/other series SAR:	050	\$a Q11 \$b .K84 \$5 ____
	646	\$a c \$5 ____
unnumbered multipart item SAR:	050	\$a Q11 \$b .K84 \$5 ____
	646	\$a m \$5 ____
multipart analytic record:	050	\$a Q11 \$b .K84 no. 47
	4XX	\$a [main/other series title] ; \$v no. 47
	4XX	\$a [multipart item title]

Exceptions to use of call number

If, by exception, a subseries has a classification decision different from that of the main series or a serial analytic has a classification decision different from that of the series, explain the exception in the 050 subfield \$d.

main series SAR:	050	\$a __ \$b __ \$d all vols. except [title of subseries] \$5 ____
	646	\$a c \$d all vols. except [title of subseries] \$5 ____
	646	\$a s \$d [title of subseries] \$5 ____
subseries SAR:	646	\$a s \$5 ____
series SAR:	050	\$a ____ \$b ____ \$d [title of serial] \$5 ____
	646	\$a s \$d all vols. except [title of serial] \$5 ____
	646	\$a c \$d [title of serial] \$5 ____

053 LC Classification Number

NACO practice: NACO participants may use this field only in the following situation: to record LC classification numbers associated with personal name headings for authors who have written works of the imagination, other than works for children. They may input classification numbers found on bibliographic records created and input by LC; they may request verification of other classification numbers.

LC practice: LC music team catalogers and CPSO are adding 053 fields to NARs in the span ML410-429, individual biography covering individuals and performance groups. LC catalogers are strongly encouraged to add 053 fields to NARs for authors who have written works of the imagination, other than works for children. Follow team practice for when the field is added and who adds the field. Add an LC authorized 053 field even if the number is identical to an unverified 053 field already in the NAR.

Verification of LC classification numbers for literary authors

LC's Cooperative Cataloging Team will supply verification of LC classification numbers for literary authors upon request of a NACO participant. A web form for 053 submissions is available at URL: <http://www.loc.gov/catdir/pcc/053/053prop.html>. BIBCO participants are strongly encouraged to use this form to verify LC classification numbers for literary authors to allow for greater consistency and applicability of their PCC cataloging.

Use and order of 053 fields

Do not add an 053 field to a NAR coded as an undifferentiated heading (code "b" in 008/32). When it is necessary to change a differentiated NAR that contains an 053 to undifferentiated, delete the 053.

Indicators:

If the classification number is from a bibliographic record created and input by LC (040 \$a DLC \$c DLC) or has been verified by LC, use a second indicator of "0." For any other 053 input by a NACO participant, use a second indicator of "4" and a subfield \$5 with the participant's MARC 21 identification code. Multiple subfields \$5 are not allowed.

Number and order of fields:

If a verified 053 (i.e., 053 with second indicator of "0") is already in the NAR, don't add an unverified 053 (i.e., 053 with second indicator of "4").

Generally, only one verified 053 and one unverified 053 are permitted in an NAR. Exception: If an author writes in several languages, multiple verified and multiple unverified fields may be given; arrange the fields in class letter/number order and add the name of the language in subfield \$c in each 053 field.

A single or multiple verified 053 field(s) should precede a single or multiple unverified 053 field(s).

X00 Personal Names – First Indicator Value for Surnames

LC series practice: As of June 1, 2006, LC does not create or update SARs

PCC series practice: The PCC Policy Committee has announced that the PCC series policy remains unchanged.

In 1996, the first indicator value 2 (Multiple surname) in X00 fields in MARC 21 was made obsolete. Value 1 (Single surname) was redefined as "surname" to be used for headings with either single or multiple surnames. At the time value 2 was made obsolete, various factors contributed to a delay in implementation, including the installation of the LC ILS. (By exception, the change was implemented by the British Library and three NACO libraries (National Library of Scotland, Cambridge, and Oxford) linked with the BL in a UK cooperative called the Copyright Libraries Shared Cataloguing Programme (CLSC), and the UK's National Art Library. Authority records contributed by the Dance Heritage Coalition also contained the change.) Although LC and the rest of NACO began implementing the change on January 1, 2000, OCLC subsequently converted all name authority records with first indicator value 2 in authority fields 100, 400, and 500 later that year.

LC practice for bibliographic records:

The implementation of the indicator change in corresponding bibliographic records has been treated independently, i.e., there has been no attempt to keep authority and bibliographic records in synchronization. Although value 2 has been removed from all authority records, it remains in many bibliographic records.

The following guidelines apply to the treatment of fields 100, 400, 600, 700, and 800 in bibliographic records:

1. Newly created bibliographic records. Discontinue using value 2 in newly created bibliographic records.

2. Existing bibliographic records. Limit changes to those encountered in regular work, i.e., do not look for changes in the indicator value *per se*; but, if changing the record for another reason, change the value 2 to 1 in all candidate fields as needed.

1XX Headings

General

When modifying an authority record for another reason, delete a final mark of punctuation in the 1XX field unless it is a part of the data (e.g., a period in an abbreviation) or is called for by the cataloging rules (e.g., a parenthetical qualifier).

NARs

For procedures involved with Canadian name headings, see DCM Z1 Appendix 2: Canadian headings.

British Library records. The British Library must be consulted prior to making any change to the 1XX field of a record it has contributed (i.e., any record with the code "Uk" in 040 subfield \$a). Send an email message to nal-queries@bl.uk giving the Library of Congress Control Number (LCCN) of the record and a brief explanation for the proposed change. Fax supporting information for the proposed change if such information would be useful (International: +44 1937 546562).

NLM records. National Library of Medicine (NLM) catalogers take into account headings and usage in the NLM bibliographic and authority files when preparing new AACR2 headings. They also change AACR2 headings already formulated by LC when the NLM files support a different heading. For headings used by NLM, the NLM heading has precedence over the LC heading when:

- (1) the LC heading has not yet been coded for AACR2, and the NLM heading has already been established as AACR2;
- (2) the LC heading has been coded as AACR2-compatible (008/10 = d) and NLM has established the heading as "pure" AACR2 (008/10 = c);
- (3) both libraries have headings already coded as "pure" AACR2 and NLM has a greater number of bibliographic records in support of its heading than LC has in support of its heading. (If the number is equal, the better heading is chosen, basing the decision on judgment.)

SARs

LC series practice: As of June 1, 2006, LC does not create or update SARs

PCC series practice: The PCC Policy Committee has announced that the PCC series policy remains unchanged.

When creating an SAR for an entity already represented by an existing NAR, either cancel the NAR or convert the NAR to an SAR.

When trying to decide if a publication is a series or a multipart item, consult the "Multipart Item vs. Series" guidelines in LCRI 1.6.

For the title proper of a multipart item, consult AACR2 1.0A2b.

Choosing a monographic series title proper:

(1) If the item in hand has more than one form of series title, consult AACR2 1.6B2 and .0B2 in the AACR2 chapter for the material being cataloged (.0B3 in ch. 3 & 12).

(2) If the item in hand has the series title in more than one language or script on the same source, consult AACR2 1.1D2 and its LCRI.

(3) If the item in hand has series title pages in more than one language and or script and the series title appears on each of the sources in the appropriate language or script, consult AACR2 1.0A3a)ii).

(4) Consider spacing and changes in typography when determining where the series title begins and ends. Also consult AACR2 12.1B3 and its LCRI.

Establishing an SAR heading:

(1) Determine choice of entry based on chapter 21 of AACR2.

(2) Exclude from the heading the following information included in the series statement in the analytic bibliographic record:

- (a) initial article in subfields \$a, \$t, \$n, and \$p;
- (b) other title information;
- (c) statement of responsibility;
- (d) parallel title(s);
- (e) ISSN;
- (f) numeric/chronological designations.

- (3) Add a parenthetical qualifier(s) if appropriate according to the guidelines in LCRI 25.5B.
- (4) If you found a CONSER record,
- (a) do not use a heading from a record in the following categories:
- 010 prefix is "cf"
 - 010 prefix is "cn" and 040 \$b is "fre"
- (b) use the choice and form of entry on records with 042 code of **lc** or **lcd** as the heading unless there is a clear-cut error. An error in form of qualifier may be corrected; choice of qualifier is accepted as found. If you are not a CONSER participant, notify the CONSER Coordinator (lhaw@loc.gov) if an error is discovered; use the correct heading on the SAR.

4XX See From Tracings

LC series practice: As of June 1, 2006, LC does not create or update SARs |

PCC series practice: The PCC Policy Committee has announced that the PCC series policy remains unchanged. |

General

NARs: Consult AACR2 Chapters 22-26 and its rule interpretations for guidelines on which 4XX references to make.

SARs: Consult LCRI 26.5A for guidelines on making 4XX references.

When modifying an authority record for another reason, delete any final mark of punctuation in a 4XX field unless it is a part of the data (e.g., a period in an abbreviation) or is called for by the cataloging rules (e.g., a parenthetical qualifier).

Not all 4XX references require justification; see the section "Justifying references" in the 670 yellow pages for those categories.

See the section "NACO normalization" in the yellow Introduction pages.

Subfield \$w (control subfield)

Follow the conventions in the authority format for use of subfield \$w. Do not supply subfield \$w unless a value other than "n" would be appropriate in one of the positions. When supplying subfield \$w, give it as the first subfield in the field. Supply character positions preceding, but not succeeding, the value, e.g.,

\$w nna = to indicate a pre-AACR2 form of heading

\$w nnaa = to indicate a pre-AACR2 form of heading that is not appropriate as a reference in an AACR2 catalog

\$w nne = to indicate a form previously used as an AACR2 heading

\$w nnea = to indicate a form previously used as an AACR2 heading that is not appropriate as a reference in an AACR2 catalog. Used only in records converted from Wade-Giles to pinyin romanization of Chinese.

Linking references for NARs and SARs

If the AACR2 choice or form of entry differs from the pre-AACR2 choice or form, *optionally*, make a linking reference from that form. Note: the addition of a qualifier is considered a change in form. For SARs, give the linking reference regardless of whether the series was previously traced or untraced, analyzed or not analyzed. However, do not give such a linking reference if:

- (1) the reference would normalize to the same form as the heading or another reference on the same record or to the same form as a heading on another record. Instead, give the form in a 667 field: "Old catalog heading: _____;"
- (2) there is no one-to-one correspondence between the pre-AACR2 heading and the AACR 2 heading, i.e., two or more pre-AACR2 headings will be treated as one heading under AACR2, or one pre-AACR2 heading will be split under AACR2. Instead, in a 667 field give the appropriate information. For the former, use "Includes the old catalog headings: _____; and, _____." For the latter, use "Previous to AACR2 covered by the heading: _____;"
- (3) for SARs, the series was previously untraced and it is not clear what form should be considered the old catalog heading.

If the heading on an existing NAR or SAR is changed, give a reference from the replaced AACR2 heading only if that form of reference would otherwise be given.

SARs

Give references on all SARs (even those for series-like phrases). When the classification decision is "as a collection," some references may duplicate added entries on the bibliographic record for the collected set.

If the volumes of a multipart item have different forms of the common title, use a 4XX reference rather than a 5XX reference for the form of the title not chosen as the title proper of the multipart item.

5XX See Also From Tracings

LC series practice: As of June 1, 2006, LC does not create or update SARs

PCC series practice: The PCC Policy Committee has announced that the PCC series policy remains unchanged.

General

When modifying an authority record for another reason, delete any final mark of punctuation in a 5XX field unless it is a part of the data (e.g., a period in an abbreviation) or is called for by the cataloging rules (e.g., a parenthetical qualifier).

Subfield \$w (control subfield)

Follow the conventions in the authority format for use of subfield \$w. Do not supply subfield \$w unless a value other than "n" would be appropriate in one of the positions. When supplying subfield \$w, give it as the first subfield in the field. Supply character positions preceding, but not succeeding, the value, e.g.,

\$w a = to indicate a reference from an earlier heading

\$w b = to indicate a reference from a later heading

\$w nnnc = to indicate a complex see also reference (record also contains a 663 field)

NARs

Consult AACR 2 Chapters 22-26 and rule interpretations for guidelines on which 5XX references to make.

Routinely delete all subject-to-name references (5XX with subfield \$w/1 = b) when changing a record for another reason. (These references are no longer made; since existing references have not been maintained, they may not be in accord with current subject cataloging policy.)

SARs

Do not code the subfield \$w for an earlier/later relationship when the SAR is for (1) an unnumbered series, (2) an unnumbered multipart item, or (3) a series-like phrase.

If the title in the earlier/later relationship is not represented by its own SAR, do not give a 5XX reference from that title. In a 667 field give a "Continues:" or "Continued by:" note, citing the other title; if the form of entry for that title is not known to be the AACR 2 form, add "[unevaluated catalog entry form]" at the end of that field. When an SAR is made for that title, delete the 667 field and add the appropriate 5XX reference. (See also 667 yellow pages.)

If the volumes of a multipart item have different forms of the common title, use a 4XX reference rather than a 5XX reference for the form of the title not chosen as the title proper of the multipart item.

64X Series Treatment - General Information

LC series practice: As of June 1, 2006, LC does not create or update SARs

PCC series practice: The PCC Policy Committee has announced that the PCC series policy remains unchanged.

This 64X section covers the following topics:

- National-level PCC default decisions for newly-established SARs for monographic series and multipart items
 - General policy
 - Recording PCC local treatment decisions in new SARs
 - Recording PCC local treatment decisions in existing SARs
 - Existing SARs and non-LC analytic records
 - SARs for serials other than monographic series
- Republications
- Document series in general
- U.S. federal document series
- United Nations documents
- Treaty series
- BIBCO tracing practice

Also see specific 64X yellow pages.

National-level PCC default decisions for newly-established SARs for monographic series and multipart items

General policy

To encourage the contribution to shared databases of the greatest number of bibliographic records with the most specific classification, the PCC national-level default treatment decisions will be “analyzed in full, traced, classified separately.”

A PCC library can vary from the default analysis or classification practice for reasons of local needs/preferences/resources. If a BIBCO library varies from the national default classification practice, any resulting analytic record may be a BIBCO record without a “class

separately” number also being supplied. If an analytic record is created, the default tracing practice is mandatory.

(Note: BIBCO libraries may opt not to create an SAR for an unestablished series when cataloging a bibliographic record at the core level; see the separate topic “BIBCO tracing practice” at the end of this 64X section for the handling of established/non-established series in BIBCO full and core records.)

The national level tracing decision information is given in two fields in the SAR: field 645 (tracing) and, when appropriate, field 642 (form of number in added entry) to ensure consistent access points. The use of the MARC 21 organization code “DPCC” (for the Program for Cooperative Cataloging) in subfield \$5 of those two fields indicates that the information applies at the national level. See the yellow pages for the 642 and 645 fields for specific information.

The “DPCC” code will not be given in subfield \$5 in either field 644 (analysis) or field 646 (classification).

Recording PCC local treatment decisions in new SARs

A PCC participant has the option to include its local treatment decisions in any SAR it creates.

Recording PCC local treatment decisions in existing SARs

A PCC participant has the option to add its local treatment decisions to any SAR created by another PCC participant if another PCC participant’s treatment decisions are not already in the SAR.

Existing SARs and non-LC analytic records

SARs with an LC decision not to analyze and, therefore, not to trace represent only LC’s pre-June 1, 2006 local decision. Such an LC decision does not prohibit another library from analyzing and tracing. It is not necessary to modify such SARs to add PCC tracing policy if it is not present. Analytic records (either full or core) may be coded as BIBCO records if the series are traced.

SARs created before Sept. 1, 1989, with an LC decision to analyze in full but not to trace should not be modified to add PCC tracing policy. The LC decision not to trace will be followed by BIBCO participants so that analytic records in a shared database will be consistent in the lack of traced series. Analytic records (either full or core) may be coded as BIBCO records even though the series are not traced.

SARs created between September 1989 and mid-November 1998 (when “DPCC” code began to be added to new SARs) should not be modified to add PCC tracing policy. Analytic records (either full or core) may be coded as BIBCO records if the series are traced.

SARs for serials other than monographic series

Note: The national-level default treatment decisions for analysis and classification do not apply to SARs for serials other than monographic series (008/12 = z). The decision to analyze an issue or issues of such a serial is a local decision. The presence of a participant’s code in such an SAR does not mean that another library must follow the analysis or classification decision recorded. However, if an analytic record is created, the default tracing practice is mandatory.

History of LC/PCC treatment decisions recorded in SARs

Before August 1995, PCC participants could omit treatment fields, give treatment only for the PCC library or only for LC, or give treatment for both the PCC library and LC. At point of contribution, SARs created by PCC participants from August 1995-March 1998 lacked LC treatment decisions. From April to mid-November 1998, PCC participants included an LC tracing practice to serve as the national-level tracing decision for the tracing of series in BIBCO records. The use by LC staff and PCC participants of the MARC 21 organization code “DPCC” in subfield \$5 of the 642 and 645 fields to indicate national-level tracing decisions began in mid-November 1998. As of June 1, 2006, LC does not create or update SARs; LC’s treatment decisions are summarized in LCRI 13.3.

Republications

Do not consider a republication to be in the original series if the original series statement has been omitted. The information can be given in a note on the bibliographic record. (See also LCRI 2.7B7.)

Photoreproduction, microform, and other republications are represented on the SAR for the original. If the 642, 644-646 treatment decisions for the republication are the same as for the original, add a second subfield \$5 to each of those fields. If the treatment decision for the republication is not the same as for the original, use separate treatment fields with each having its specific subfield \$5. Use “___ photo-offset reprint” in the subfield \$5 for a photoreproduction. For other republications, use a term appropriate to the republication in hand, preceding the term with the appropriate MARC 21 organization code in subfield \$5. If the treatment fields for the republication are not the same as for the original, give the treatment field for the original before the treatment field for the republication. Always use a separate field for the republication if the same field for the original shows a change of decision.

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646 $a s $5 ___ $5 ___ photo-offset reprint
050 $a ___ $b ___
646 $a c $5 ___
646 $a s $5 ___ microfiche

050 $a ___ $b ___
646 $a s $d no. 78- $5 ___
646 $a c $d no. 1-77 $5 ___
646 $a s $5 ___ large print edition

```

If only a republication is in hand and no SAR exists for the original even though the original is in the collection, either create a SAR for both the original and the republication or create an SAR only for the republication. If the original is not in the collection, create an SAR only for the republication.

The inclusion of 643 and 670 fields for the republication is dependent on whether the SAR is for one or more republications or is for the original and one or more republications. (Until April 1998, 643 and 670 fields were required for each type of republication and for each publisher/manufacturer of republications on all SARs; do not delete any 643 and 670 fields for republications on SARs for the original and republication(s) created before April 1998.)

(1) Creating a new SAR for only a republication:

- (a) In the 643 field, indicate in subfield \$d the type of republication of the item for which the SAR is being made.
- (b) Begin the 670 field with the term for the type of republication and a slash.

```

642 $a no. 1 $5 DPCC photo-offset reprint $5 ___ photo-
offset reprint
643 $a [Place of republication] $b [Publisher/Manufacturer
of republication] $d photo-offset reprint
644 $a f $5 ___ photo-offset reprint
645 $a t $5 DPCC photo-offset reprint $5 ___ photo-offset
reprint
646 $a s $5 ___ photo-offset reprint
670 $a Photo-offset reprint/[Title], [date]: $b [source]
([usage])

```

(2) Creating a new SAR for both the original and a republication:

- (a) Do not include a 643 field for the publisher/manufacturer of the republication.

(b) Do not include a 670 field for the republished item.

```

050   $a _____ $b _____
642   $a no. 23 $5 DPCC $5 _____ $5 DPCC photo-offset reprint
      $5 _____ photo-offset reprint
643   $a [Place of original] $b [Publisher of original]
644   $a f $5 _____ $5 _____ photo-offset reprint
645   $a t $5 DPCC $5 _____ $5 DPCC photo-offset reprint $5
      _____ photo-offset reprint
646   $a c $5 _____
646   $a s $5 _____ photo-offset reprint
670   $a [Title of original], [date]: $b [source] ([usage])

```

(3) Adding a republication to an existing SAR:

- (a) Add treatment decisions for the republication.
- (b) Do not add 643 and 670 fields for the republication.
- (c) Do not delete any existing 643 and 670 fields for any republication(s).

Example showing addition of photoreproduction to existing SAR for original:

```

642   $a no. 1 $5 _____ $5 _____ photo-offset reprint
643   $a [Place of original] $b [Publisher of original]
644   $a f $5 _____ $5 _____ photo-offset reprint
645   $a t $5 _____ $5 _____ photo-offset reprint
646   $a s $5 _____ $5 _____ photo-offset reprint
670   $a [Title of original], [date]: $b [source] ([usage])

```

Example showing addition of large print edition republication to existing SAR for photoreproduction:

```

642   $a no. 1 $5 _____ photo-offset reprint $5 _____ large
      print edition
643   $a [Place of reproduction] $b [Publisher of
      reproduction] $d photo-offset reprint
644   $a f $5 _____ photo-offset reprint $5 _____ large print
      edition
645   $a t $5 _____ photo-offset reprint $5 _____ large print
      edition
646   $a s $5 _____ photo-offset reprint $5 _____ large print
      edition
670   $a Photo-offset reprint/[Title], [date]: $b [source]
      ([usage])

```

Example showing addition of microfilm republication to existing SAR for original and photoreproduction created before April 1998 (when 643 and 670 fields were still required for any

republishment added to SAR for original):

```

642  $a no. 1 $5 ___ $5 ___ photo-offset reprint $5 ___
      microfilm
643  $a [Place of original] $b [Publisher of original]
643  $a [Place of reproduction] $b [Publisher of
      reproduction] $d photo-offset reprint
644  $a f $5 ___ $5 ___ photo-offset reprint $5 ___
      microfilm
645  $a t $5 ___ $5 ___ photo-offset reprint $5 ___
      microfilm
646  $a s $5 ___ $5 ___ photo-offset reprint $5 ___
      microfilm
670  $a [Title of original], [date]: $b [source] ([usage])
670  $a Photo-offset reprint/[Title], [date]: $b [source]
      ([usage])

```

Document series in general

Definition of “document” = “Any publication bearing a government imprint or a statement that it has been published at government expense.” This definition is to be interpreted to include international organizations consisting of national governments, e.g., United Nations, World Health Organization, International Labour Office, etc. Note that publications of institutions created or controlled by a government (universities, colleges, museums, observatories, hospitals, libraries, institutes, etc.) are not to be considered documents. However, publications of agricultural experiment stations are to be considered documents. When in doubt, consider an item to be a document.

The above criteria are applicable only when establishing or reestablishing series headings; they are not to be used in any other context.

U.S. federal document series

PCC participants may create SARs for U.S. federal document series without contacting the Government Printing Office (GPO) Library. GPO will change any heading as needed and will add its symbol in an 040 \$d when it uses an SAR for the first time.

United Nations documents

Establish new UN document series according to normal procedures for document series. Give the UN document number as a quoted note on the analytic record.

Treaty series

If the main entry is the jurisdiction promulgating the treaties, in subfield \$t use “Treaties, etc.” and the title proper of the series as a qualifier.

```
110    $a United States. $t Treaties, etc. (Treaties and other
      international acts series)
```

BIBCO tracing practice**SAR already exists in the national authority file**

- If the SAR was established before September 1989 and LC's 644 has value f" and LC's 645 has value "n," do not trace the series; code the bibliographic record (either full or core) as a BIBCO record. Do not add the "DPCC" 642/645 fields to an existing SAR.
- If the SAR other than one described in the previous category
 - has 645 value "t" with any subfield \$5, trace the series and code the bibliographic record (either full or core) as a BIBCO record. Do not add the "DPCC" 642/645 fields to an existing SAR;
 - has only LC's 644 of "n" and LC's 645 of "n," trace the series and code the bibliographic record (either full or core) as a BIBCO record. Do not add the "DPCC" 642/645 fields to an existing SAR;
 - lacks a 645 field, trace the series and code the bibliographic record (either full or core) as a BIBCO record. Do not add the "DPCC" 642/645 fields to an existing SAR.

SAR doesn't exist in the national authority file

For a full-level bibliographic record:

- contribute an SAR* to the national authority file, and
- trace the series in the analytic record.

For a core-level bibliographic record,

either:

- contribute an SAR* to the national authority file, and
- trace the series in the analytic record;

or:

- don't contribute an SAR to the national authority file, and
- don't trace the series in the analytic record.

* New SAR would have “\$5 DPCC” in 642 and 645 fields.

If a BIBCO participant chooses not to follow the guidelines stated above, do not code the resulting analytic records as BIBCO records.

640 Series Dates of Publication and/or Volume Designation

LC series practice: As of June 1, 2006, LC does not create or update SARs |

PCC series practice: The PCC Policy Committee has announced that the PCC series policy remains unchanged. |

Do not search just to provide information for this field; give the information if it is available from the item in hand or incidentally from the publisher. Do not give information about the first volume if it is the issue given in the 642 field. Search for information if needed to break a conflict. |

642 Series Numbering Example

LC series practice: As of June 1, 2006, LC does not create or update SARs

PCC series practice: The PCC Policy Committee has announced that the PCC series policy remains unchanged.

Consult AACR 2 1.6G and LCRI 1.6G concerning choice of numbering designation.

Determine the form of numbering from the item in hand (not necessarily the first item of the series) and then use that form in tracing all items in the series. When reestablishing a series, change any subfield \$v forms in access points in existing analytic records that don't match the form in the 642 field.

If the only number found on the item is the number in the series statement within the CIP data, ignore that number and consider the series to be unnumbered.

If at the time of reestablishing a series, analytic records in the database show that the series is both numbered and unnumbered but the item in hand is unnumbered, determine the form of number to be used in the tracing from the records in the database and record the earliest number in the 642 field. Also add in a 670 field the citation of the analytic bibliographic record on which the form of number is based; include the number in the parenthetical data in the subfield \$b.

If the analytic being cataloged is a multipart item that represents more than one volume in the series (e.g., the two volumes of the multipart item are numbers 17 and 18 of the series), record only one number in the 642 field; do not use a sequence of numbers.

When an analyzable multipart item is classified with another series (646 \$a = m), the number recorded at the end of the call number in the 050 field will not be the number found in the 642 field. The number found in the 050 field is the number of the "other series" found on the item in hand. (See 050 yellow page.)

When wording such as "new ser." has been supplied in brackets with the numbering in the bibliographic record 4XX subfield \$v (cf. AACR2 1.6G1), include the brackets in the 642 field being added to the SAR:

e.g., 642 \$a [new ser.], no. 1

Serial catalogers: include the 642 field even though subfield \$v usually doesn't appear in 4XX/8XX of serial analytic records.

Recording national-level and PCC local decisions for form of numbering

The national-level decision for form of numbering is to be followed by those libraries creating BIBCO records. The MARC 21 organization code used for this national-level decision in subfield \$5 is “DPCC” (PCC = Program for Cooperative Cataloging). PCC participants should include the national-level and local decisions in SARs according to the following guidelines.

PCC participants: new SAR

(1) Always include the national-level decision for form of numbering for a numbered monographic series, multipart item, or other series (serial) regardless of your local tracing decision. Determine the form of number according to usual rules/policies.

```
642 $a [form of number] $5 DPCC
```

(2) If your local tracing decision is to trace, optionally add your MARC 21 organization code as the last subfield \$5 in the one 642 field.

```
642 $a [form of number] $5 DPCC $5 CoDU
```

PCC participants: existing SAR

(1) If the national-level decision is not in the SAR, do not add it.

(2) If your local tracing decision is to trace, optionally add your MARC 21 organization code as the last subfield \$5 in an already-existing 642 field. Note: only one PCC participant may include a form of numbering decision in an SAR. If a 642 field isn't present, optionally add the field with your MARC 21 organization code in subfield \$5.

```
642 $a [form of number] $5 DPCC $5 CoDU
642 $a [form of number] $5 DPCC $5 DLC $5 IRA
642 $a [form of number] $5 DLC $5 IRA
642 $a [form of number] $5 WaU
```

(examples represent single fields in different SARs; “DPCC” already in the first and second SARs)

643 Series Place and Publisher/Issuing Body

LC series practice: As of June 1, 2006, LC does not create or update SARs

PCC series practice: The PCC Policy Committee has announced that the PCC series policy remains unchanged.

Give the information in the 643 field as found in subfields \$a and \$b of the 260 field of the bibliographic record for the analytic (or, in situations when there will not be an analytic, the way it would be found if an analytic existed). If you are using "cut and paste" or an automated authority generation program, it isn't necessary in the 643 field to delete an address or brackets included from the 260 field. However, do not use the form from 260 \$b if AACR2 1.4D4 was applied to shorten the name given in 260 \$b.

Generally, ignore changes of place if there is no change in publisher.

If the difference in publishers represents alternate rather than successive publishers, give each publisher in its own 643, using "some issues" in subfield \$d in each 643 field.

If there are more than three successive changes of publisher, revert to one 643 field belonging to the volume cited in the first 670 field and give a 667 note. (See 667 yellow page.)

Generally, use "some issues" when a subfield \$d is needed for unnumbered series or multipart items unless a span of dates is readily available.

Give "643 \$a Various places \$b various publishers" as the 643 field for an undifferentiated phrase record. (See Introduction yellow pages for more information about these records.)

When reestablishing a series, generally ignore changes in place or publisher occurring previous to AACR 2. If there is information (e.g., from analytic records or from item in hand) that the place and/or publisher for some or all of the analytics is different from that of item being cited in the 670 field, record in the 643 field only the place and the publisher of that item. Record the designation of that item in the subfield \$d of the 643.

When creating an SAR for a republication only, indicate the type of republication in subfield \$d. Use "photo-offset reprint" for a photoreproduction; for other republications use an appropriate term, e.g., "microfilm," "large-print edition." Do not include a 643 field for the producer of the republication if the SAR covers both the original and one or more republications. Do not add additional 643 fields for other types of republications cataloged later. (See 64X yellow pages for more information about republications.)

644 Series Analysis Practice

LC series practice: As of June 1, 2006, LC does not create or update SARs

PCC series practice: The PCC Policy Committee has announced that the PCC series policy remains unchanged.

National-level PCC default analysis practice = "analyzed in full."

A BIBCO library can vary from the default analysis practice for reasons of local needs, preferences, or resources.

Recording PCC local analysis decisions

A PCC participant has the option to include or omit its analysis practice when creating or modifying an SAR. Only one PCC participant may include its analysis practice in an SAR.

Exception to analysis practice

Sometimes the exception to the analysis practice will apply to all the volumes of a serial analytic or to all the volumes of a subseries. In such cases, in subfield \$b give the title of the serial analytic or of the subseries instead of the series numbers of those items.

```
644 $a n $b [Title of serial] $5 ___
646 $a c $5 ____
```

Change of decision

When there is a change in analysis practice **and** the classification practice already is classified as a **collection** (646 \$a = c), use a processing date as the cut-off. For subfield \$d in the two 644 fields use the phrases "items processed after [date]" and "items processed before [date one day later than date in the previous subfield \$d]." For example, if the analysis decision change was made on Feb. 3, 1993, give these 644 fields:

```
644 $a n $d items processed after Feb. 2, 1993 $5 ___
644 $a f $d items processed before Feb. 3, 1993 $5 ___
646 $a c $5 ____
```

When there is a change in analysis practice **and** the classification practice has been classified **separately** (646 \$a = s), use a numbering/chronological designation as the cut-off; use the term(s) from the item itself. For subfield \$d in the two 644 fields use the designation of the latest analyzed volume in the database as the ending volume in the second (earlier practice) 644 field and the next number as the beginning volume in the first (current practice) 644 field. Generally, the same cut-offs are used in the 646 fields. Even if some volumes are not in the library, give the cut-off information using definite beginning and ending numbers. Do not show gaps in the subfield \$d information; the person handling one of those "missing" volumes later needs to know what treatment to use.

items in hand: no. 18-20
analyzed vols. in database: no. 1-16

existing SAR:

```
644 $a f $5 ____
646 $a s $5 ____
```

revised SAR:

```
644 $a n $d no. 17- $5 ____
644 $a f $d no. 1-16 $5 ____
646 $a c $d no. 17- $5 ____
646 $a s $d no. 1-16 $5 ____
```

If volumes were cataloged out of order and now the analysis practice is being changed to "not analyzed" with a change in classification practice to "classed as a collection," consider recording the specific volumes for each analysis practice instead of reclassifying already-cataloged volumes. Give the new analysis practice in the first 644 field; use a hyphen with the last number to indicate that all volumes after that number should have the same treatment.

already analyzed: no. 1-4, 6-7
being processed now with "not analyzed" decision: no. 5, 8-10

existing SAR:

```
644 $a f $5 ____
646 $a s $5 ____
```

revised SAR:

```
644 $a n $d no. 5, 8- $5 ____
644 $a f $d no. 1-4, 6-7 $5 ____
646 $a c $d no. 5, 8- $5 ____
646 $a s $d no. 1-4, 6-7 $5 ____
```

already analyzed: v. 1-23, 25, 27-32
being processed now with "not analyzed" decision: v. 24, 26

existing SAR:

644 \$a f \$5 ____
 646 \$a s \$5 ____

revised SAR:

644 \$a n \$d v. 24, 26, 33- \$5 ____
 644 \$a f \$d v. 1-23, 25, 27-32 \$5 ____
 646 \$a c \$d v. 24, 26, 33- \$5 ____
 646 \$a s \$d v. 1-23, 25, 27-32 \$5 ____

Non-analyzable volumes

If the publication began as a not-analyzable serial and then became a monographic series without changing its title, create one SAR. Give two 644 fields and a 667 notes that explains the change in the publication.

644 \$a f \$d v. 9- \$5 ____
 644 \$a n \$d v. 1-8 \$5 ____
 645 \$a t \$5 DPCC \$5 ____
 646 \$a c \$5 ____
 667 \$a Lacked analyzable titles until v. 9.

If a later volume of an existing analyzed-in-full series is not analyzable, consider creating an analytic record for the volume according to the guidelines in LCRI 13.3. instead of modifying the 644 field to indicate this fact.

645 Series Tracing Practice

LC series practice: As of June 1, 2006, LC does not create or update SARs

PCC series practice: The PCC Policy Committee has announced that the PCC series policy remains unchanged.

National-level PCC tracing decision for all newly-established SARs for series, multipart items, and other series (serial) = “trace.”

See the section “BIBCO tracing practice” in the 64X yellow pages for guidelines about tracing when the SAR is already in the national authority file.

General policy for tracing practice

When reestablishing a series that was untraced prior to AACR 2, always give two 645 fields, using the AACR 2 implementation date (regardless of the date of creating the SAR):

```
645 $a t $d items cataloged after Dec. 31, 1980 $5 [code]
645 $a n $d items cataloged before Jan. 1, 1981 $5 [code]
```

Even if only one/few volume(s) of a series or a serial other than a monographic series is analyzed, the 645 \$a = t.

Recording national-level and PCC local tracing decisions

The national-level tracing practice, to be followed by those libraries creating BIBCO records, is separate from the local tracing practice at any PCC institution. The national-level tracing decision always will be to trace. The MARC 21 organization code used for this national-level decision in subfield \$5 is “DPCC.” PCC participants should include the national-level and local decisions in SARs according to the following guidelines.

PCC participants: new SAR

(1) Always include the national-level decision to trace in any new SAR created for a monographic series, multipart item, or other series (serial) regardless of your local tracing decision.

```
645 $a t $5 DPCC
```

(2) Optionally, add your own local decision.

(a) If your decision is to trace, add your MARC 21 organization code as the last subfield \$5 in the one 645 field.

645 \$a t \$5 DPCC \$5 IRA

(b) If your decision is not to trace, give two 645 fields with your decision in a second 645 field.

two fields in one SAR:

645 \$a t \$5 DPCC

645 \$a n \$5 WaU

PCC participants: existing SAR

(1) If the national-level decision is not in the SAR, do not add it.

(2) Optionally, add your local tracing decision. Note: only one PCC participant may include a local tracing practice in an SAR.

(a) If your decision is to trace, add your MARC 21 organization code to an already-existing 645 field with decision to trace; if a 645 field isn't present, add the field with your MARC 21 organization code in subfield \$5.

645 \$a t \$5 DPCC \$5 WaU

645 \$a t \$5 DPCC \$5 DLC \$5 CoDU

645 \$a t \$5 DLC \$5 CoDU

645 \$a t \$5 IRA

(examples represent single fields in different SARs; "DPCC" already in the first and second SARs)

(b) If your decision is not to trace, give your decision in a second 645 field if a 645 for a "traced" decision is present. If a 645 field isn't present, add the field with your MARC 21 identification code in subfield \$5.

two fields in one SAR:

645 \$a t \$5 DPCC

645 \$a n \$5 IRA

single field in one SAR:

645 \$a n \$5 WaU

646 Series Classification Practice

LC series practice: As of June 1, 2006, LC does not create or update SARs

PCC series practice: The PCC Policy Committee has announced that the PCC series policy remains unchanged.

National-level PCC default classification practice = classified separately.

A BIBCO library can vary from the default classification practice for reasons of local needs, preferences, or resources. If the BIBCO library's practice varies from the national default classification practice, any resulting analytic record may be a BIBCO record, without a "class separately" number also being supplied.

General guidance

If a main series is classified separately, a numbered subseries is normally classified separately (the default decision). If a main series is classified separately, an unnumbered subseries can only be classified separately. If a main series is classified as a collection, a subseries (numbered or unnumbered) is normally classified with the main series.

If, by exception, a subseries has a classification decision different from that of the main series, give a second 646 field on the main series SAR identifying the subseries exception. If, by exception, a serial analytic has a classification decision different from that of the series, give a second 646 field on the series SAR identifying the serial analytic exception.

main series SAR:

```
050 $a __ $b __ $d all vols. except [title of subseries]
646 $a c $d all vols. except [title of subseries] $5 ___
646 $a s $d [title of subseries] $5 ___
```

subseries SAR:

```
646 $a s $5 ___
```

series SAR:

```
050 $a ___ $b ___ $d [title of serial]
646 $a s $d all vols. except [title of serial] $5 ___
646 $a c $d [title of serial] $5 ___
```

"Classified with main or other series"

This classification decision (646 \$a = m) applies to two situations:

- (1) a subseries (numbered or unnumbered, entered subordinately or independently) whose main series is classified as a collection (i.e., the SAR for the main series has 646 \$a = c);

If the subseries is numbered, there will be serial collected set bibliographic records for both the main series and the subseries; if the subseries is unnumbered, there will be a serial collected set record for only the main series.

- (2) a multipart item, numbered or unnumbered, in a series or other multipart item that is classified as a collection (i.e., the SAR for the series or multipart item has 646 \$a = c).

If the smaller multipart item is numbered, there will be collected set bibliographic records for both the series/larger multipart item and the smaller multipart item; if the smaller multipart item is unnumbered, there will be a collected set record only for the series/larger multipart item. The collected set record for the series will be a serial record; the collected set record(s) for the multipart item(s) will be monograph record(s).

Recording PCC local classification decisions

A PCC participant has the option to include or omit its classification practice when creating or modifying an SAR. Only one PCC participant may include its classification practice in an SAR.

Unnumbered volumes in a collected set series

If a numbered series that is classified as a collection has some volumes that are unnumbered, use two 646 fields:

```
646 $a c $d numbered items $5 DLC
646 $a s $d unnumbered items $5 DLC
```

Change of decision -- numbered monographic series

When the classification decision for a numbered monographic series has changed, generally use numeric/chronological designations in subfield \$d of both 646 fields. Use the term(s) from the item itself.

Even if some volumes are not in the library, give the cut-off information for the earlier

classification decision using definite beginning and ending numbers. For example, v. 1-35 are represented by classified separately analytic bibliographic records. The classification decision has changed with the processing of v. 38. Do not show gaps in the subfield \$d; the person handling one of those "missing" volumes later needs to know what treatment to use.

```
646 $a c $d v. 36- $5 ____
646 $a s $d v. 1-35 $5 ____
not:
646 $a c $d <v. 38 > $5 ____
646 $a s $d v. 1-<35 > $5 ____
```

At times, if volumes were cataloged out of order (any of the uncataloged issues is earlier than the latest analyzed volume in the database), some volumes would have to be reclassified into the collected set in order to give a "clean" cut-off as shown above. Instead, generally record the specific volumes for each classification practice. Give the new classification practice in the first 646 field; use a hyphen with the last number to indicate that all volumes after that number should have the same treatment. In the second 646 field, show only the specific volumes not having the new classification practice.

volumes already classified separately: no. 1-13, 15-18
 being cataloged now with classification decision changed to classification as a
 collection: no. 14, 19-20

existing SAR:

```
646 $a s $5 ____
```

revised SAR:

```
646 $a c $d no. 14, 19- $5 ____
646 $a s $d no. 1-13, 15-18 $5 ____
```

volumes already classified separately: t. 1-5, 7-11, 13
 being cataloged now with classification decision changed to classification as a
 collection: t. 6, 12

existing SAR:

```
646 $a s $5 ____
```

revised SAR:

```
646 $a c $d t. 6, 12, 14- $5 ____
646 $a s $d t. 1-5, 7-11, 13 $5 ____
```


663/664 Complex See Also and See ReferencesGeneral

At LC these fields are commonly known as *cataloger generated references*.

The **663 field** contains the *explanatory text* and the *headings referred to* that are required when relationships exist between an established name and other established names that cannot be adequately conveyed by one or more simple cross references generated from 5XX See Also From Tracing Fields. (See also LCRI 22.2B and LCRI 26.2D.)

The **664 field** contains the *explanatory text* and the *headings referred to* that are required when relationships exist between an unestablished name and one or more established names that cannot be adequately conveyed by simple cross references generated from 4XX See From Tracing fields in the established heading records.

Complex See Also References and Complex See References may refer to a single heading or to multiple headings.

Conversion from Complex Reference to Regular Reference. Change the record on which the complex reference is traced by changing the \$w control subfield and correcting the tag, if necessary. During routine reference evaluation, correct the reference tracing only on the record in hand; it is not necessary to revise all the records on which the complex reference is traced.

For a see reference, delete the record with the 664 field; if the record is not in the authority file, assume that the complex reference has already been deleted. For see also references recorded in 663 fields, also delete the 663 field from the record for the heading referred from.

Conversion from Regular Reference to Complex See or See Also Reference. Change the \$w control subfield for the reference by adding a value "b" or "c" in the fourth position. Correct the tag if necessary. For see also references, also change the record for the heading referred from, and add the 663 field to it.

Change to an Existing Complex Reference. If the reference is, and will remain, a **see** (664) reference, and if the change is to the refer-to or refer-from lines, change the name authority record(s) on which the complex reference is traced.

If the reference is, and will remain a **see also** (663) reference, adjust the text of the reference as necessary. If the change is to the refer-to or refer-from lines, also change the name authority records on which the reference is traced.

667 Nonpublic General Note

LC series practice: As of June 1, 2006, LC does not create or update SARs

PCC series practice: The PCC Policy Committee has announced that the PCC series policy remains unchanged.

Give information of permanent value and general interest that would be useful also to institutions outside of LC and to LC staff not working in the LC Database. A listing (not exhaustive) of types of notes is given below; with the exception of notes about old catalog headings, series-like phrase core records, and technical reports as well as the first part of the MESSAGE notes, the wording is recommended but not prescriptive. The separate 667 fields may be given in any order.

```
667 $a Not same as: [name or title, LCCN]
667 $a Cannot identify with: [name or title, LCCN]
667 $a Reinvestigate before using again
667 $a Formerly on undifferentiated name record: [LCCN of
undifferentiated name record]
667 $a Coded provisional because [reason for coding]
667 $a Change heading if name _____ continues to be
used
667 $a For works issued before/after [date]
(to be used for official language changes)
```

NARs and subject usage

(1) Notes indicating subject cataloging usage when an authority record heading is not appropriate for use as a subject entry

(a) *Heads of state, etc.*

Add a 667 note to name authority records indicating subject cataloging usage for corporate headings representing the office held for Heads of state, etc., (AACR2 rule 24.20B1), Heads of governmental and of international intergovernmental bodies (AACR2 rule 24.20C), Religious officials (AACR2 rule 24.27B1), and Popes (AACR2 rule 24.27B2) when the name of the incumbent is included as part of the heading. Also assign value “n” in 008/11 and value “b” in 008/15.

```
667 $a SUBJECT USAGE: This heading is not valid for use as
a subject. Works about this person are entered under
[personal name heading].
```

Example:

```

110 1# $a United States. $b President (1953-1961 :
      Eisenhower)
008/11 = n
008/15 = b
667    $a SUBJECT USAGE: This heading is not valid for use
      as a subject. Works about this person are entered
      under Eisenhower, Dwight D. (Dwight David), 1890-
      1969.

```

See also DCM Z1 008/11 and DCM Z1 008/15.

Follow these guidelines for newly-created authority records. Revise existing records when making any other change to the records.

(b) Earlier/later linear jurisdictional name changes

It is LC subject cataloging policy to assign only the latest name of a political jurisdiction that has had one or more earlier names as a subject heading or as a geographic subdivision, as long as the territorial identity remains essentially unchanged (cf. SCM H 708). Upon creating an earlier/later heading for a geographic name, catalogers must notify CPSO to add a 667 subject usage note to the earlier name and adjust the appropriate 008 fields.

Example:

```

151    $a Ceylon
667    $a SUBJECT USAGE: This heading is not valid for use
      as a subject. Works about this place are entered
      under Sri Lanka.

```

A web form to facilitate PCC catalogers' notifications to CPSO is available at: <http://www.loc.gov/catdir/pcc/naco/nar667form.html> LC catalogers should continue to follow the guidelines provided in SCM H 708.

(2) Notes indicating that a geographic name heading is not appropriate for use as a geographic subdivision

PCC optional practice:

Add a 667 note to name authority records for geographic headings that are not appropriate for use as geographic subdivisions in subject cataloging usage (Per SCM H 835) when the name represents an entity within a city and is qualified by the city name. Such notes will most frequently be needed for names of city sections, districts, neighborhoods, etc. Make no changes to values in bytes of the 008.

667 \$a SUBJECT USAGE: This heading is not valid for use as a geographic subdivision.

Example:

151 \$a Hollywood (Los Angeles, Calif.)
667 \$a SUBJECT USAGE: This heading is not valid for use as a geographic subdivision.

Follow these guidelines for newly-created authority records. Add the note to an existing record when making any other change to the record.

See DCM Z1 781 for guidelines on adding 781 fields to name authority records for geographic headings that may also be used as geographic subdivisions.

MESSAGE notes (LC practice)

Use notes in the 667 field to indicate that an authority record is not yet finished or that it needs further investigation. Use the notes only when the work cannot be completed promptly.

If a new authority record cannot be completed immediately, adjust the code in LDR/17 from “n” to “o” and add a 667 note: “MESSAGE: Early notice.” When the record has been completed, change the code back to “n” and delete the 667 MESSAGE note.

If an existing authority record needs investigation that cannot be completed immediately, adjust the code in 008/31 from “a” to “b” and add a 667 note: “MESSAGE: Being updated. [code and date]” (Additional information explaining the problem may be added, if considered useful.) When the record has been revised as necessary, change the value back to “a” and delete the 667 MESSAGE note.

667 \$a MESSAGE Being updated. [code and date]

SARs

(1) Notes re title proper:

There may be a clear pattern of fluctuation between two or more forms of title proper of a numbered series (based on information in the database or from items in hand). There may be a change in the form of the title proper that isn't considered a title change (AACR 2 21.2A/LCRI 21.2A). You can use a 667 field in lieu of a 670 field to indicate the different title proper that is not generating its own SAR. Give that form of the title proper in a 4XX field.

```

667 $a Some issues have title: [title proper]
667 $a Vol. 8 has title: [title proper]
      [for fluctuating titles]

667 $a Vols. 9- have title: [title proper]
      [for change not generating separate record]

```

If the subtitle could be interpreted as the title proper of the series or as a subseries, note the subtitle in a 667 field and give it as a 4XX reference.

```

667 $a Subtitle: [title of subtitle]

```

Do not use the 667 field to indicate variant titles of the series title proper found on the same item (e.g., form of series title on cover is different from form of series on series title page); note the variant titles in 670 field(s) and give them as 4XX references.

(2) Notes re relationship to other series/records:

If a series authority record represents a publication that is a successive entry that has occurred after a series was last handled under pre-AACR 2 rules but for which no SAR yet exists, give the information only in a 667 field rather than in 675/5XX fields. Label it, in square brackets, as an unevaluated catalog entry form. When the pre-AACR 2 catalog entry form is being evaluated in terms of AACR 2 choice and form of entry, delete this 667 and replace it with appropriate 675/5XX fields on both SARs.

```

667 $a Continues: [pre-AACR 2 catalog entry form]
      [unevaluated catalog entry form]
667 $a Continued by: [pre-AACR 2 catalog entry form]
      [unevaluated catalog entry form]

```

If the earlier publication was not analyzable, give the information only in a 667 field rather than in 675/5XX fields.

```

667 $a Continues the not-analyzable serial: Directory of
      computer assisted research in musicology.

```

When the optional linking reference cannot be given between the AACR 2 form and the pre-AACR 2 form due to NACO normalization, if desired give the pre-AACR 2 information in a 667 field. Use one of the notes given below. (See "NACO normalization" section in Introduction yellow pages.)

```

667 $a Old catalog heading: _____

```

[Use if the reference would normalize to the same form as the heading or another reference on the same record or to the same form as a heading on another record.]

667 \$a Includes old catalog headings: Great Britain. Foreign Office. Treaty series; and, Great Britain. Foreign and Commonwealth Office. Treaty series"
[Use if two or more pre-AACR 2 headings will be treated as one heading under AACR 2.]

667 \$a Previous to AACR 2 covered by the heading:

[Use if one pre-AACR 2 heading will be split under AACR 2.]

(3) Notes re publisher/issuing body:

When there are more than two changes of publisher or when there have been more than two different consecutive bodies both issuing and publishing the publication, use only one 643 field and give an explanation in a 667 field. The explanation should be as specific as is appropriate for the situation.

667 \$a Imprint varies
667 \$a Publisher varies
667 \$a Published by various offices of the Division of Education
667 \$a Issued by various agencies of the West German government, e.g., Presse- und Informationsamt, Bundesministerium der Justiz, Bundesministerium für Forschung und Technologie

(4) Notes re type of publication:

If the series is a document series, give a 667 note.

667 \$a Document

If the publication has changed its identity (e.g., from a monographic series to a periodical), give a 667 note that indicates what happened which will explain why a full set of analytic records is not available.

667 \$a Telephone call to publisher, 11-2-88: Change in pattern of publication; v. 1-17 monographic works, v. 18- collections of articles
667 \$a Publication was periodical for v. 1-3; monographic series beginning with v. 4

(5) Notes re handling of series-like phrase:

- 667 \$a Do not give as a quoted note
- 667 \$a Give as a quoted note
- 667 \$a Give as a quoted note if [name of publisher] is not recorded in the publication, distribution, etc. area of the bibliographic record
[for phrase that combines name of publisher and a generic term]
- 667 \$a Is an imprint, not a series. Record in publication, distribution, etc. area of the bibliographic record
[for imprint that could be construed to be title, e.g., Metropolitan Books]
- 667 \$a Give as a quoted note, including the number, e.g., AAI no. 85-41
- 667 \$a Give as other title information in the title and statement of responsibility area of the bibliographic record

(6) Notes re undifferentiated phrase record

When converting a series-like phrase for a single phrase to an undifferentiated phrase record to cover the same phrase used by more than one publisher, give a 667 note using the wording given below. (See the Introduction yellow pages for more information about these records.)

- 667 \$a Undifferentiated phrase record: Covers all instances when this character string used by any publisher is considered to be a series-like phrase; if character string is to be a series, separate SAR has been made.

Give a second 667 note: "Give as a quoted note." If a different handling is desired for one instance of the phrase, either (a) make a separate phrase SAR and add a qualifier to its heading, or (b) add another 667 note in the undifferentiated phrase SAR: "For resources published by [_____], give the phrase as [_____]."

(7) Miscellaneous notes for whatever information needs to be conveyed:

- 667 \$a Previous to AACR 2 subsumed under made-up set for UN documents
[See 64X yellow pages for more information about UN documents]
- 667 \$a First printing of vol. 8 of the Princeton theological monograph series erroneously carried the series statement: Pittsburgh theological monographs
- 667 \$a Phone call to Borgo Press 1-20-84: Starmont Press series; Borgo reprints all titles generally 6 months to a year later in cloth
- 667 \$a Lacked analyzable titles until v. 9
- 667 \$a Indexed in: Social sciences index
[for series not being analyzed]

667 \$a Establish separate records for English and Spanish titles if Spanish edition of v. 3 is received

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

LC series practice: As of June 1, 2006, LC does not create or update SARs

PCC series practice: The PCC Policy Committee has announced that the PCC series policy remains unchanged.

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 cites 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) or (title not given) in the subfield \$b if/when the name or title 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 that for 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-leaves).

```

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. If the heading is being established from a CIP or ECIP at the galley stage, precede the first location with the “CIP” or “ECIP” as appropriate (e.g., CIP t.p., ECIP 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.

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

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

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 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])

selected as the form used for the heading.


```
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 3930'E)
or 670 $a BGN $b (Coast [short form] Province; ADMD, 300'S
3930'E)
```

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/>))

- 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)
- 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 (_____)

675 Source Data Not Found

LC series practice: As of June 1, 2006, LC does not create or update SARs |

PCC series practice: The PCC Policy Committee has announced that the PCC series policy remains unchanged. |

It is not always necessary to include in the 675 field every reference source consulted; use judgment in deciding what sources are important enough to retain in the permanent record.

Include in the 675 field a source(s) giving information about the earlier and/or later name(s) or title(s) recorded in the 5XX field(s).

7XX Heading Linking Entries

LC series practice: As of June 1, 2006, LC does not create or update SARs |

PCC series practice: The PCC Policy Committee has announced that the PCC series policy remains unchanged. |

General

The use of this field in NARs or SARs is limited to recording the authorized form of name from a national bibliography. The purpose of including a 7XX in a NAR or SAR is usually to allow a National Bibliography Agency (NBA) to retain its preferred form of name in its own bibliographic database, while still contributing name authority records to the national authority file (NAF) under NACO standards.

Indicators

Use the appropriate first indicator. Use second indicator value 7 (the value most appropriate for this application of the 7XX field).

Subfield \$2

A 7XX field using second indicator value 7 must contain a subfield \$2 and a code to identify the source of the heading.

A NBA, such as a national library or other agency responsible for maintaining a national bibliography, must apply to the LC Network Development and MARC Standards Office (NDMSO) to obtain a code which will become part of the *MARC Code List for Relators, Sources, Description Conventions*. Information on the process of applying for codes is available from the NDMSO ndmso@loc.gov, or at: <http://lcweb.loc.gov/marc/relators/>

MARC 21 model: 7XX for alternate authorized form of name

Consult the LC Cooperative Cataloging Team before including 7XX fields in NARs or SARs.

Initially, the 7XX model will be limited to records created by NBAs and under certain conditions by designated NACO contributors authorized by the NBA from within the same geographic jurisdiction, for the sole purpose of recording the form of heading used in its national bibliography.

NACO contributors from within the same geographic jurisdiction as the NBA that wish to create or modify 7XX headings should request permission directly from the NBA that controls the national bibliography. These arrangements are to be made between the NBA and the individual institution and will not be administered by the PCC or the Library of Congress; nonetheless, the NBA is expected to notify the Cooperative Cataloging Team when making these agreements and provide a list of libraries authorized to create or modify 7XX fields. The responsibility for applying for a subfield \$2 code resides with the NBA; once the proper code is identified, it should be used as needed in 7XX fields input by any library.

This policy will be evaluated after a sufficient period of using the 7XX approach, but not sooner than a year.

Guidelines for including 7XX and subfield \$2 in an authority record

A NBA or NBA-designated NACO library may include an alternate authorized form in a new or extant NACO record in the 7XX field as defined by the *MARC 21 Authority Format* and NACO guidelines:

- The NBA should consult with the Cooperative Cataloging Team before using 7XX fields in name or series authority records.
- The 7XX must include a subfield \$2 code to identify the NBA's authority file as the source of the 7XX. The source code should be requested from the LC NDMSO by the appropriate national library or NBA.
- A 7XX heading in a NACO record may be modified only by the NBA and/or a NBA-designated NACO library.
- The NBA and/or NBA-designated NACO library contributing the 7XX form is responsible for any maintenance to the NAR if the form of name authorized by the NBA changes.
- The NBA is advised to consider the impact of 7XX fields on its internally-used system (e.g., indexing, record maintenance) and consult with its system vendor prior to using 7XX fields.

Sample record

1XX __ \$a [Authorized NACO AACR2 form]
 4XX __ \$a [Variant form]
 670 ## \$a [Citation] \$b t.p. ([Usage or 1XX]) p. 5 ([Usage for
 4XX])
 7XX 17 \$a [Alternate authorized form] \$2 [source code]

Current status of the 7XX in the NAF

NACO records containing 7XX fields are distributed by the LC Cataloging Distribution Service as part of the LC/NAF. The 7XX fields have been implemented in the LC ILS, but LC

does not yet use the 7XX fields in its own cataloging.

LC/NACO practice: Allow the 7XX fields to remain in records unchanged.

781 Subdivision Heading Linking Entry–Geographic Subdivision

PCC optional practice (LC does not use this field):

For a geographic name heading that may also be used as a geographic subdivision, determine the form in which the heading is to be used as a geographic subdivision following the guidelines in instruction sheet H 830 of the *Subject Cataloging Manual: Subject Headings*. Enter the text of the geographic subdivision form in a 781 field with second indicator 0. For a geographic heading that is used directly, such as a country, enter the data in a single \$z subfield. For a geographic heading that is used indirectly through a larger geographic entity, such as a city, enter the data in two successive \$z subfields. Use no other subfields. Make no changes to values in bytes of the 008.

Examples:

```
151 ## $a France
781 #0 $z France

151 ## $a Paris (France)
781 #0 $z France $z Paris

151 ## $a Lycia
781 #0 $z Turkey $z Lycia

151 ## $a Sydney (N.S.W.)
781 #0 $z Australia $z Sydney (N.S.W.)

151 ## $a Valencia (Spain : Region)
781 #0 $z Spain $z Valencia (Region)
```

Do not add a 781 field to a record for a geographic name heading that is not appropriate for use as a subject added entry (008/15 value “b”), such as the earlier name of a jurisdiction that has undergone a linear name change, for example, **Ceylon**.

See also DCM Z1 667 for guidelines on adding 667 fields with notes indicating subject cataloging usage to name authority records for geographic headings that may not be used as geographic subdivisions, such as entities within cities that are qualified by the city name.

Follow these guidelines for newly-created authority records. Add a 781 field to an existing record when making any other change to it. If revising an existing record that contains a 667 field subject cataloging usage note indicating the proper geographic subdivision form, delete the 667 field and replace it with a 781 field.

952 Cataloger's Permanent Note

LC series practice: As of June 1, 2006, LC does not create or update SARs

Content Designation

Indicators: Both indicators are undefined.
 Subfield codes: \$a Cataloger's permanent note

General

This is a local LC field.

This field is repeatable.

Use this field to record information about special local decisions made regarding the record.

```
151 ## $a 6e Arrondissement (Paris, France)
952 $a Arabic ordinal number form per Desc Pol, July
      12, 1983

952 $a eb02 consulted
```

A note "Online," used for a period of time to identify newly created records that were candidates for unobtrusive quality review, was deleted programmatically during the conversion from MUMS.

During the conversion from MUMS, a 952 note "RETRO" was added to records that had value "b" in MUMS fixed field box 43. This identifies records originally created as part of the retrospective project to convert manual LC authority cards to machine-readable form. The records may not contain all notes and references found on the original 3x5 cards.

LC's Rare Book Team uses this field in some records to specify the subcollection name in the Rare Book and Special Collections Division.

```
110 2# American Imprint Collection (Library of Congress)
952 RBSCD subcollection name = 852 $m: Am Imp
```


953 Local Staff Codes

LC series practice: As of June 1, 2006, LC does not create or update SARs

Content Designation

Indicators:	Both indicators are undefined.
Subfield codes:	\$a Code of staff creating record
	\$b Code of staff modifying record

General

This field is a local LC field.

This field is not repeatable.

This field contains the cataloger codes of LC staff creating or modifying the record in the LC Database. This field is added or updated only by catalogers working in the LC Database.

When creating a new record, input your cataloger's code in 953 \$a. When revising a record that has a 953 field, add or adjust the code in 953 \$b; if there is an existing code in 953 \$b, replace it with your own code. When revising a record that does not already have a 953 field, add only a 953 \$b; do not “make up” a 953 \$a.

Input codes as four characters: two lowercase letters and two numerals, e.g., ta18.

During the conversion from MUMS, data in MUMS fixed field box 25 was transferred to 953 \$a and data in MUMS fixed field box 26 was transferred to 953 \$b. If there was no data in MUMS fixed field box 25, a “dummy” code of xx00 was generated in 953 \$a.

958 Note -- Confidential InformationContent Designation

Indicators		Both indicators are undefined
Subfield codes:	\$a	Confidential information

General

This is a local LC field.

This field is not repeatable.

Use this field for confidential information that should be preserved in the record but should not be distributed outside LC, e.g.

958 \$a d. of b., 1902, not to be used until after death of author, per author's request, Jan. 23, 1957--LC manual auth. cd.

985 Record HistoryContent Designation

Indicators:		Both indicators are undefined.
Subfield codes:	\$a	Agency that keyed record/Record history
	\$b	Network used for first level of keying
	\$c	Network transmitting record to LC
	\$d	Date record entered in original or transmitting network
	\$e	Responsible LC application

General

This field is a local LC field.

This field is repeatable.

This field is generated for *new* records contributed from the NACO nodes or LC's overseas offices or loaded as a special project.

985 fields containing outdated information about the contractor that originally keyed the record were deleted programmatically during the conversion from MUMS.

Do not change or delete this field.

APPENDIX 1: HEADINGS FOR AMBIGUOUS ENTITIES

Headings for Ambiguous Entities

1 INTRODUCTION

1.1 Background

Most headings fall into clearly defined categories and are established either as personal names, corporate bodies, jurisdictions, uniform titles, named meetings, etc., in the name authority file or as topical subject headings, named objects such as names of automobiles, geographical features, etc., in the subject authority file. There are, however, certain named entities that have been problematic as to

- a) whether the heading should go into the name authority file (descriptive cataloging) or the subject authority file (subject cataloging); and
- b) how the headings should be tagged in both authority and bibliographic records.

To eliminate this confusion and to standardize the formulation and tagging of headings for such entities, the former Office for Descriptive Cataloging Policy (Desc Pol) and the Office for Subject Cataloging Policy (Subj Pol), working under the aegis of the Director for Cataloging, developed guidelines with respect to

- a) the responsibility for establishing the headings;
- b) the conventions to be used in formulating the headings;
- c) the tags to be used for content designation; and
- d) the file (name and subject authority) in which the authority records for them should reside.

In 1994, the Cooperative Cataloging Council (CCC) established the CPSO/CCC Task Group on Issues Surrounding Maintenance of Separate Name and Subject Authority Files. This task group agreed to reduce the “logical” inconsistencies between the two files so that they could be more easily used together. To this end the task group recommended and the CCC approved the deletion from the subject authority file of duplicate name headings that had been needed in the subject authority file to produce various products, such as *Library of Congress Subject Headings*.

In 1995 the Program for Cooperative Cataloging (PCC) (successor to the CCC) created a follow-on task group. PCC Task Group on Name Versus Subject Authorities, that considered and made recommendations on the remaining categories of headings that could be established by either descriptive or subject catalogers (cemeteries, city sections, concentration camps, and country clubs), events, and tagging conventions for certain “geographic” entities. The PCC approved the task group's recommendations, and the results are reflected below.

1.2. General guidelines

a) These guidelines relate primarily to the family of problem cases, not to the ones that are clear-cut. For example, the tagging decisions appended include some entities that are within the concept “corporate body” but are also judged to exemplify the concept “geographic” and, therefore, are tagged 151. (Note that when entities tagged 151 in the authority file are used as main or added entries in bibliographic records (110, 710, 810), the first indicator is set to the value 1.) Care should be taken, however, that a name containing one of the terms noted in one of the lists is indeed a member of that category, e.g., Xavier Ranch Corporation is not a ranch in the sense of the Group 2 list.

b) The provisions herein refer to “need” or “use” in descriptive or subject cataloging. As far as descriptive cataloging is concerned, such statements are to be understood as referring to main or added entry headings required by LC’s policies on main and added entries and to cross references traced on name and series authority records. “Need” and “use” do not refer to subject entries even if a descriptive heading is involved.

c) When using an existing heading in an access point on a new record, adjust the tagging on existing authority and bibliographic records to reflect current policy.

d) When changing the form of an existing heading, adjust the tagging on existing authority and bibliographic records to reflect current policy. (Note that a qualifier may need to be added, or the type of qualifier may need to be changed.)

e) *NACO libraries*. If a Group 2—Subject Authority Group heading is being used as a main or added entry, the NACO library should notify the Cooperative Cataloging Team (Coop), RCCD and provide a brief explanation. Coop will then consult with Cataloging Policy and Support Office (CPSO) and report back to the NACO library. If the heading is being used as a subject entry only or if the main or added entry is not in accord with LC’s policies on main and added entries, the NACO library will be notified *not* to submit a name authority record.

f) *Canada*. Follow normal routines for verification with the Library and Archives, Canada (LAC) (cf. DCM C2) and then with the LAC response, apply also the directions in Appendix 2 of this DCM. (Note that this applies to main and added entries used in descriptive cataloging only.)

1.3 Specific procedures

Headings have been divided into two groups, and special instructions for both these groups follow. Lists of the two groups of headings are given at the end of this DCM. The lists are updated as the need arises; refer potential additions to CPSO.

2 **GROUP 1—NAME AUTHORITY GROUP:** Headings always established according to descriptive cataloging guidelines (AACR2 and LCRI); authority record always resides in the name authority file.

2.1 **Implementation**

Establish the headings according to the usual descriptive cataloging rules and procedures. If a heading in this category is needed in subject cataloging, those involved in descriptive cataloging establish it, and the authority record is added to the name authority file.

2.2 *Airports*

Establish the heading for an airport according to the provisions for any other corporate body (see *Library of Congress Rule Interpretations* (LCRI) 24.1).

110 2# \$a San Francisco International Airport¹
 110 2# \$a Logan International Airport (Boston, Mass.)
 110 2# \$a Jan Smuts Airport (Johannesburg, South Africa)
 110 2# \$a Greater Cincinnati International Airport
 110 2# \$a Davis Airport (Montgomery County, Md.)
 110 2# \$a Davis Airport (Luzerne County, Pa.)

2.3 *Arboretums, botanical gardens, herbariums, zoological gardens, etc.*

These Group 1 entities are tagged as corporate names (110) and established according to chapter 24 of AACR2. For other gardens, parks, etc., see Group 2.

110 2# \$a State Arboretum of Utah
 110 2# \$a Missouri Botanical Garden
 110 2# \$a National Zoological Park (U.S.)
 110 2# \$a Hayden Planetarium
 110 2# \$a Miami Seaquarium

2.4 *Cemeteries, concentration camps, country clubs*

After July 1996, Cemeteries, concentration camps, and country clubs are treated only as Group 1 headings. Establish them in accordance with the general principles for corporate name headings (chapter 24, AACR2) (see LCRI 24.1).

¹MARC coding in the examples reflects the provisions of *MARC 21 Format for Authority Data* (except spaces added before and after subfield codes) and not any individual system.

110 2# \$a Arlington National Cemetery (Arlington, Va.)
 110 2# \$a Riverside Cemetery (Jackson, Tenn.)
 110 2# \$a Cmentarz Ewangelicko-Augsburski w Warszawie
 (Warsaw, Poland)

110 2# \$a Auschwitz (Concentration camp)
 110 2# \$a Nēsos Gyaros

110 2# \$a Riomar Country Club
 110 2# \$a Manteno Young Women's Country Club

2.5 *City sections*

City sections, including city districts and neighborhoods, are treated only as Group 1 headings. Establish them in accordance with the general principles for geographic names (chapter 23, AACR2, especially 23.4F2) (see LCRI 23.4F2).

151 ## \$a Georgetown (Washington, D.C.)
 151 ## \$a Greenwich Village (New York, N.Y.)
 151 ## \$a Loop (Chicago, Ill.)
 151 ## \$a Rive gauche (Paris, France)

2.6 *Collective settlements, conservation districts, communes, sanitation districts, etc.*

Collective settlements, conservation districts, communes, sanitation districts, etc., are treated only as Group 1 headings. Establish them in accordance with the general principles for geographic names (chapter 23, AACR2).

151 ## \$a Amana Society (Iowa)
 151 ## \$a Santa Cruz County Sanitation District (Calif.)
 151 ## \$a Englewood Water District (Fla.)
 151 ## \$a Chicago Park District (Ill.)

2.7 *Events*

If a name is for an event that is formally convened, directed toward a common goal, capable of being reconvened, and has a formal name, location, date, and duration that can be determined in advance of the date, establish the name according to the provisions of chapter 24, AACR2 (see LCRI 24.7 and 24.8).

111 2# \$a Rose Bowl (Football game)
 111 2# \$a Tournament of Roses
 111 2# \$a Miss America Pageant
 111 2# \$a World Cup (Soccer game)

- 111 2# \$a Tour de France (Race)
- 111 2# \$a International Henryk Wieniawski Violin Competition
- 111 2# \$a World Jamboree of Boy Scouts
- 111 2# \$a Athens Black-eyed Pea Jamboree
- 111 2# \$a National Folk Media Festival \$d (1988 : \$c Nairobi, Kenya)
- 111 2# \$a Fiesta San Antonio

2.8 *Forests, parks, preserves, etc.*

When a forest, park, preserve, etc. (commonly a unit of the United States National Park Service or the United States Forest Service), is needed as a main or added entry on a bibliographic record because the forest, park, preserve, etc., has some responsibility for the intellectual content of the item, establish them in accordance with the general principles for corporate name headings and qualify the name with “(Agency).” When this is not the case, continue to treat these entities as Group 2 headings and establish as a subject authority records as directed in: *Subject Cataloging Manual: Subject Headings, H 1925, Parks, Reserves, National Monuments, Etc.*

110 2# \$a Chugach National Forest (Agency: U.S.)
(*Needed as added entry—Group 1*)

151 ## \$a Chugach National Forest (Alaska)
(*No intellectual content responsibility—Group 2*)

2.9 *Named buildings/museums*

If a heading is needed for an entity in the category of a named building/museum, judge whether or not the entity is a museum or not. If it is a museum, treat it as a Group 1 heading and establish it accordingly; if not, treat it as a Group 2 heading and have it established as a subject authority record as directed in the guidelines for Group 2 headings in 1.3 below.

110 2# \$a Albrecht-Dürer Haus
(*museum—Group 1*)

110 2# \$a Simson African Hall (California Academy of Sciences)
(*building—Group 2*)

2.10 *Plans, programs, and projects*

Treat plans, programs, and projects as corporate bodies whether or not they have a staff. Do not consider that headings for entities with these words in their names need the addition of a qualifier that conveys the idea of a corporate body (cf. 24.4B).

2.11 Railroads

Establish railroads in accord with the general principles for corporate name headings (AACR2, chapter 24). During the period 1984-1985, railroad headings were established according to the conventions of the former Subject Cataloging Division. Generally, a railroad heading represented by an AACR2 name authority record should be accepted unless the item being cataloged shows another form, *and* the item is the railroad's own publication. In such cases re-evaluate the existing heading. At one time, railroads were represented by two separate headings, one for the company, which was tagged as a corporate heading, and another for the line, which was tagged as a topical subject heading. To locate all existing bibliographic records for a railroad when a name authority record for it needs to be created or coded for AACR2, search for the name both as a corporate body and as a topical subject heading.

- 3 GROUP 2—SUBJECT AUTHORITY GROUP: Headings always established according to subject cataloging guidelines (*Subject Cataloging Manual: Subject Headings* (SCM:SH)); the authority record resides either in the subject or name authority file

N.B. This section of the DCM is given primarily for information: the responsibility for the establishment and maintenance of Group 2 headings rests entirely with those performing subject cataloging. See *Subject Cataloging Manual: Subject Headings*, H405.

3.1 Characteristics

The headings in this group reside in the subject authority file whenever they are established and used only for subject purposes. Those that are tagged 110 and some tagged 151 are also candidates for descriptive cataloging use as the need arises. These headings then reside in the name authority file whenever they are established according to subject cataloging guidelines for the name authority file because of a need for one as a descriptive cataloging access point, or whenever they are needed for such a purpose after having been established only for subject purposes. When these headings are established, they are established according to AACR2, but also reflect subject cataloging policy, the most noteworthy aspects being the following:

- a) The 4XX reference structure reflects subject cataloging practice. Linking references to old catalog headings are not used except for records residing in the name authority file and if supplied for subject cataloging purposes at the time the heading is requested to be established for descriptive cataloging use. (At the point Group 2 headings go into the name authority file, they must also carry the descriptive cataloging reference structure.)
- b) Most headings will contain local place-name qualifiers.

- c) Records residing in the name authority file will also contain a 667 field with the notation: Subj Cat Manual/AACR2. This notation is intended to characterize the record and to provide a quick and easy means of indicating that maintenance of the record is the responsibility of CPSO. Catalogers should then refer changes to CPSO, rather than initiating the changes themselves.

3.2 Use of these headings in descriptive cataloging

Note the following:

- a) If the heading is in the subject authority file but not represented in the name authority file, request CPSO to move the heading. Send the item to CPSO with the regular orange referral slip (form 6-127) showing the request.
- b) If the heading is represented in the name authority file and is coded AACR2, use that form whether or not it conforms to the characteristics described above in 3.1 but barring any change *to the heading* that might be stimulated by the item being cataloged; if the item stimulates a need to change the heading, refer the matter to CPSO for evaluation and related actions (as in a) above).
- c) If the heading is represented in the name authority file but not coded for AACR2, refer the matter to CPSO for evaluation and possible change and related actions (as in a) above).
- d) If the heading is not represented in an authority file, establish it according to the guidelines in SCM:SH.

GROUP 1—NAME AUTHORITY GROUP HEADINGS

(Named entities always established according to descriptive cataloging guidelines and always residing in the name authority file)

Category	MARC 21 tag
Abbeys	110
Academies	110
Airplanes, Named	110
Airports ²	110
Almshouses	110
Aquariums, Public ³	110
Arboretums ³	110
Art works, Individual	100, 110, 130
Artificial satellites	110
Asylums (Charitable institutions)	110
Athletic contests	111
Banks	110
Bars	110
Biblical characters	100
Biological stations	110
Boards of trade (Chambers of commerce)	110
Botanical gardens ³	110
Broadcasting stations	110
Cathedrals	110
Cemeteries ⁴	110
Chambers of Commerce	110
Chapels	110
Churches (In use or ruins)	110
Circuses	110
City sections ⁵	151
Collective settlements ⁶	151

²See 2.2

³See 2.3

⁴See 2.4

⁵See 2.5

⁶See 2.6

Colleges	110
Comic strips ⁷	130
Communes ⁶	151
Competitions ⁸	111
Computer programs and software ⁷	130
Concentration camps ⁴	110
Concert halls	110
Conservation districts ⁶	151
Contests ⁸	111
Convents	110
Correctional institutions	110
Country clubs ⁴	110
Crematories	110
Dance halls	110
Denominations, Religious (Individual)	110
Dispensaries	110
Ecclesiastical entities that are also names of places, e.g., Basel (Switzerland : Ecclesiastical principality)	110
Ecological stations	110
Educational institutions	110
Electronic discussion groups	130
Embassies	110
Events ⁸	111
Exhibitions ⁸	111
Expeditions, Military	111
Expeditions, Scientific	111
Experiment stations	110
Expositions ⁸	111
Factories	110
Fairs ⁸	111
Festivals and celebrations ⁸	111
Fish hatcheries	110
Folk festivals and celebrations ⁸	111
Forests (as agencies)	110
Forests districts	110
Funds	110
Funeral homes, mortuaries	110
Galleries	110

⁷Although headings in this category are generally established under title and tagged 130, those that are established under personal or corporate names are tagged 100 or 110.

⁸See 2.7

Games (Events) ⁸	111
Halfway houses	110
Helplines, hotlines	110
Herbariums ³	110
Hospitals	110
Hotels	110
Individual works of art	100, 110, 130
Jurisdictions, Ancient (other than cities)	151
Laboratories	110
Libraries	110
Library districts	110
Markets	110
Military installations	151
(Active; also all after 1899)	
Mining districts	151
Monasteries	110
Morgues	110
Mosques	110
Motels	110
Motion pictures	130
Museums ⁹	110
Night clubs	110
Nursing homes	110
Observatories	110
Old age homes	110
Opera houses	110
Orphanages	110
Parades ⁸	111
Park districts ⁶	151
Parks (as agencies) ¹⁰	110
Planetariums ³	110
Plans (Programs) ¹¹	110
Poorhouses	110
Port authorities	110
Prisons	110
Projects, plans, etc. ¹⁰	110
Public celebrations, pageants, anniversaries ⁸	111
Publishers' imprints	110

⁹See 2.9

¹⁰See 2.8

¹¹See 2.10

Pueblos	151
Races (Contests) ⁸	111
Radio programs	130
Railroads	110
Recreation districts ¹⁰	151
Religious denominations	110
Research stations	110
Reserves (as agencies)	110
Restaurants	110
Sanitoriums	110
Sanitation districts ⁶	151
Satellites, Artificial	110
School districts	110
Schools	110
Service stations	110
Ships	110
Shipyards	110
Shows (Exhibitions) ⁸	111
Software, Computer ⁷	130
Sound recording labels	110
Space vehicles	110
Sporting events ⁸	111
Stock exchanges	110
Stores, Retail	110
Studies (Research projects)	110
Synagogues	110
Television programs	130
Temples (in use; excludes temples in ruins)	110
Theater companies	110
Tournaments ⁸	111
Tribes (as legal entities only, U.S. only)	151
Truck stops	110
Undertakers	110
Universities	110
Utility districts ⁶	151
Water districts ⁶	151
Works of art, Individual	100, 110, 130
Zoological gardens ³	110

GROUP 2—SUBJECT AUTHORITY GROUP HEADINGS

(Named entities always established according to subject cataloging guidelines and residing in either the name or subject authority file)

Category	MARC 21 tag
Amusement parks	151
Apartment houses	110
Arenas	110
Armories	110
Artists' groups	150
Asian conglomerate corporations	110
Astronomical features (asteroids, comets, galaxies, planets, etc.)	151
Auditoriums	110
Awards	150
Bathhouses	110
Baths, Ancient	110
Bridges	151
Building details	150
Buildings, Private	110
Buildings occupied by corporate bodies ⁹	110
Bus terminals	110
Camps	151
Canals	151
Capitols	110
Castles ⁸	110
Celestial bodies	151
Cities, Extinct (Pre-1500) ¹²	151
City halls	110
Civic centers	110
Clans	100
Club houses	110
Coliseums	110
Collections, Public or Private	110
Collective farms	151
Community centers	110
Computer languages	150
Computer networks	150
Computer systems	150
Convention centers	110

¹²For instructions on establishing and applying headings for extinct cities, see SCM:SH H715.

Courthouses	110
Customhouses	110
Details, Building	150
Docks	151
Doors	150
Dwellings ⁹	110
Estates	151
Events ¹³	150
Exhibition buildings	110
Fairgrounds	151
Families	100
Farms	151
Feasts	150
Ferry buildings	110
Fire stations	110
Forests (Geographic entities)	151
Fortresses (Structures)	151
Fountains	150
Gangs	150
Gardens	151
Gates	150
Golf courses	151
Grain elevators	110
Gymnasiums	110
Hazardous waste sites	151
Highways	151
Historic sites (Including historic districts not in cities)	151
Immigration stations	110
Islands, Non-jurisdictional	151
Land grants	151
Lighthouses	110
Manors	110
Mansions	110
Market buildings	110
Military installations (Before 1900 <i>and</i> inactive)	151
Mine buildings	110
Mines	151
Mints	110
Monuments (Structures, statues, etc.)	150

¹³Events that generally cannot be repeated and have no formal name but are commonly referred to by generic terms only.

Music halls	110
Office buildings	110
Official residences	110
Palaces ⁹	110
Parks (Geographic entities)	151
Pavilions	110
Playgrounds	151
Plazas (Open spaces, squares. etc.)	151
Police stations	110
Pools, Public	151
Ports (Physical facilities)	151
Post offices	110
Posthouses	110
Power plants	110
Presidential mansions	110
Public comfort stations	110
Racetracks	110
Railway stations	110
Ranches	151
Recreation areas	151
Refugee camps	151
Reservations, Indian	151
Reserves (Parks, forests, etc.)	151
Resorts	110
Roads	151
Rooms	150
Sanitary landfills	151
Satellites (i.e., moons)	151
Schools of artists	150
Shopping centers	110
Shrines (<i>not</i> churches)	150
Spas	110
Sport arenas	110
Sports facilities	110
Stadiums	110
Stagecoach stations	110
Streets	151
Structures (Non-geographic, e.g., towers)	150
Temples (In ruins)	110
Terminal buildings	110
Theater buildings	110
Theme parks	151
Tombs	150
Towers	150

Trails	151
Tribes (Ethnic groups)	150
Tunnels	151
Villas	110
Walls	150
Waterways	151

APPENDIX 2: CANADIAN HEADINGS

Canadian Headings

LC/LAC Cooperative Agreement

Through a cooperative agreement between the Library of Congress and the Library and Archives, Canada (LAC), all headings for Canadian corporate bodies used in current cataloging must be in the LAC authorized form. The LAC form for personal names will be accepted for some personal names used in cataloging materials with Canadian imprints. In the interest of efficiency, both corporate and personal names may be accepted from information found in Canadian CIP data or access points on current LAC bibliographic records without further searching.

LAC Authority File (AMICUS)

Access to the AMICUS database authority file is provided to LC catalogers through Z39.50 access as a remote database feature in the LC ILS. PCC catalogers may access the LAC authority file via AMICUS web through their local internet browser. Both LC and PCC catalogers must search the AMICUS authority file to find the LAC approved form of the heading when this form is needed in cataloging of Canadian imprints and it is not available elsewhere, e.g., Canadian CIP data or access points on current LAC bibliographic records. When the AMICUS file is searched and a needed heading found, LC catalogers will import the LAC authority record according to the appended "LAC Name Authority Record Adapt Procedures for LC catalogers." PCC catalogers will use the information found as instructed in the following guidelines incorporating the information in the appropriate MARC data fields for authority records as usual.

When there is no need to search the AMICUS file, such as when Canadian CIP data is available, both LC and PCC catalogers will create an authority record as usual taking into consideration the guidelines outlined in the following sections.

PCC catalogers must contact the Cooperative Cataloging Team (Coop) in the Regional and Cooperative Cataloging Division (RCCD) to have Canadian corporate headings verified by LAC only when these headings are not found in Canadian CIP data, access points on current LAC bibliographic records or in the AMICUS authority file or bibliographic database. LC catalogers may contact LAC for verification of corporate name headings when these are not found via their LAC Liaison in their Division (cf. List). Both LC and PCC catalogers will create an authority record for LAC corporate headings based on the information supplied directly by LAC or by the Coop Team according to the guidelines outlined in the following sections.

1. General Overview.

1.1. Personal Name Headings:

LC catalogers: Headings for personal names are taken preferably from Canadian CIP data printed in the book. Personal names may also be taken from access points found on current LAC issued bibliographic records, including those found in the AMICUS database at url: <http://www.collectionscanada.ca/amicus/> If the access point on the LAC bibliographic record or the Canadian CIP data is not clear, appears to need updating, or there is no CIP data available, search the AMICUS authority file. If the name is not found it is not necessary to ask LAC to establish a personal name heading; establish the personal name based on the information in the item, etc. as per usual.

PCC catalogers: Follow the guidelines above, if the personal name heading is not found no further LAC verification will be sought; establish the personal name based on the information in the item and the guidelines provided in Section 2 of this document.

1.2. Corporate Name Headings:

LC catalogers: New Canadian corporate names may be established from Canadian CIP data or from headings found on access points on current bibliographic records issued by LAC. New Canadian corporate names not found in these two sources and corporate names not yet coded for AACR2 or coded AACR2 but lacking LAC verification or which are in conflict, must be verified by searching the AMICUS database. If the corporate name is not found in the AMICUS database, it will be necessary to ask LAC to supply the form of the heading and any attendant cross references.

PCC catalogers: New Canadian corporate names may be established from Canadian CIP data or from headings found on access points on current bibliographic records issued by LAC (as found in the bibliographic utilities or by searching the AMICUS database). New Canadian corporate names not found in these sources and corporate names not yet coded for AACR2 or coded AACR2 but lacking LAC verification, or which are in conflict must be verified by searching the AMICUS database. If the corporate name is not found in the AMICUS database, the Coop liaison will ask LAC to supply the form of the heading and any attendant cross references. The PCC participant will create a NAR based on this information following the usual NACO procedures.

Alternatively, PCC participants may create the corporate name heading (keeping in mind the procedures outlined in Section 3 of this document) and contribute it to the national authority file and afterward notify their Coop liaison of the need for LAC verification. The PCC participants follow this course of action with the understanding that they may need to make modifications to the heading, etc. after their Coop liaison consults LAC.

1.3. Conference Name Headings:

Use judgment in considering meetings held in Canada as “Canadian.” For example, if an international conference happens to meet in Canada, it is not necessary to verify its heading according to these instructions.

1.4. Geographic headings:

The LAC form of the geographic headings will be used without modification (cf. LCRI 23.2) When a geographic heading is not found in Canadian CIP data, access points on current LAC bibliographic records, or by searching the AMICUS authority file LAC must be contacted in order to verify the form of the name.

LAC has notified CPSO that names of Canadian First Nations should continue to be established as 110 headings until such time as LAC notifies LC of a change. |

1.5. CIP Cataloging:

When a Canadian corporate heading is needed for a CIP item and the heading is not found in the AMICUS database, LC cataloger’s will create a NAR based on the information in the item, etc. save it to the database and then send a message to LAC for verification of the name.

1.6. Contacting LAC:

LC catalogers: LAC may be contacted through the LAC Division Liaison (cf., Section 9) or through the LAC Liaison in the Coop Team in RCCD. Catalogers should send an e-mail with the name in the exact form in which it appears on the publication(s), including any hierarchical information which may be available, give the date of the publication and, whenever possible, the source of the name, e.g., “t.p.,” “incl. in title,” “preface.”

PCC catalogers: Participants will continue to request verification of LAC corporate names as needed. Participants may send an e-mail with the name in the exact form in which it appears on the publication(s), including any hierarchical information which may be available, give the date of the publication and, whenever possible, the source of the name, e.g., “t.p.,” “incl. in title,” “preface,” or the information may be faxed, etc.

The Coop liaison will contact LAC for verification of corporate name headings and subsequently return the information to the PCC participant for further processing. The Coop liaison will not adapt the LAC heading for inclusion into the LC Database on behalf

of the external user nor should the LAC MARC identification code be used in the 040 of the name authority record created by the PCC participant.

2. Guidelines for Establishing Canadian Personal Names.

The LAC form is used for personal name headings on bibliographic records for items with Canadian imprints (i.e., the name of a Canadian city appears as the primary (first) place of publication) in the following cases:

- A. The heading is being newly established;
- or,
- B. The heading has been established but the AACR2 form has not yet been assigned, and the current form is not the AACR2 form that would be assigned based on information in the database being cataloged against (i.e., accept the LAC form instead of formulating an LC/PCC form)

2.1. Sources for personal name headings:

Canadian CIP data:

General: Look for the LAC form of heading in the Canadian CIP entry in the book. If found, create an NAR as usual, giving as the first 670 the title of the item being cataloged and cite the Canadian CIP entry in the 670 “Sources found” field. Cite also the Canadian CIP entry as part of the same 670, even if the information is exactly the same:

e.g.: Social inequality, c1984: t.p. (Edward G. Grabb) Can CIP (Grabb, Edward G.)

LC catalogers: If there is no Canadian CIP, search the AMICUS authority file. If the heading is found in the AMICUS authority file, import the record, editing it according to the “LAC Name Authority Record Adapt Procedures for LC Catalogers.”

PCC catalogers: If there is no Canadian CIP, send a message to the Coop liaison to execute an AMICUS search for the name in question. If information is found the liaison will return the information to the participant who will create the authority record as usual, based on the information supplied by the Coop Team. Cite the AMICUS database search according to the guidelines in DCM Z1, 670 field (e.g., LAC database, date \$b hdg.: _____)

General: If the LAC form is not found in these sources, establish the name according to

usual procedures. Do not refer the name to LAC for special verification. Cite LAC and the date of the search in the 675 “sources not found” field.

Note: CIP data may be found to be incorrect. Catalogers should use judgement in determining if additional searching is needed and/or if the heading should be accepted “as is.” In the interest of efficiency a quick decision is encouraged; however, do not query LAC on the form of the heading. If necessary establish the name according to usual LC practice and record the LAC form in a 670 citation.

Access points on current LAC bibliographic records:

General: If the heading being formulated is found as an access point on a current LAC bibliographic record, catalogers may create an NAR based on that information. If the LAC bibliographic record is the same item being cataloged give as the first 670 the title of the item with subfield \$b information as per usual. If the heading on the same titled LAC bibliographic record contains a date, fuller form of name, etc. not found in the item-in-hand use judgement in formulating a cogent citation.

670 \$a When the fat man sings, 2002: \$b t.p. (Liz McKeen) LAC hdg. (McKeen, Liz, 1952-)

If it is not the same, cite the LAC heading in a second 670 citing the form of the heading and the usage found in the 245 subfield \$c of the bibliographic record, as per usual.

670 \$a OCLC database, date \$b (LAC hdg: Grabb, Edward G.; usage: Edward G. Grabb)
or
 670 \$a AMICUS database, date \$b (LAC hdg: Grabb, Edward G.; usage: Edward G. Grabb)

2.2. Conflict with another personal name:

If the form found in the AMICUS authority file or in the Canadian CIP would conflict with another heading, do not use it. Instead, establish the name according to usual LC practice and record the LAC form in a 670 citation.

2.3. LC heading in LC database for Canadian personal name:

If the existing LC heading matches the LAC heading except that the LAC heading includes a date, accept the existing LC heading as the AACR2 form, i.e., do not change

the heading to add the date, and vice versa. (Dates added to personal name heading are additions to the heading and are not considered when comparing forms)

Note: When establishing a new heading and the LC or PCC cataloger has date information but there is no conflict, do not include the date whenever the LAC form does not show this addition.

2.4. Personal Name References:

For personal names, accept LAC references without justification; however, assure that these are formulated according to current LC conventions and practices (cf. DCM Z1, LCRIs Chapter 22 and 26, etc.). Justify any references generated by new cataloging as per usual.

3. Guidelines for Establishing LAC Corporate Names.

3.1. Capitalization/Punctuation:

If the LAC form differs from the LC/PCC AACR2 practice for capitalization or punctuation, accept the LAC form.

3.2. Conferences:

LAC establishes ongoing conferences with qualifiers for each individual conference. Delete these qualifiers and establish one authority record for the series of conferences (cf. LCRI 24.7B).

3.3. Corporate names exceptions:

If LAC indicates that the name is not a corporate body (e.g., a plan, a project) establish the heading according to the usual LC/PCC practice. Record the LAC decision in the 670 field.

LAC treats the Religious Society of Friends as a corporate body but LC treats it as a subject heading. LC/NACO practice is to establish Society of Friends "meetings," etc., directly under their own names whereas LAC establishes these entities subordinate to "Society of Friends." LAC has agreed that LC/NACO libraries do not have to contact LAC for Canadian corporate bodies associated with the Society of Friends.

LAC has notified CPSO that all headings for Canadian parks and forests will continue to

be established as subject headings (cf. *Subject Cataloging Manual: Subject Headings, H1925, Parks, Reserves, National Monuments*) and therefore, do not fall under the guidelines provided in LCRI 24.1 for U.S. parks and forests.

LAC has also notified CPSO that Canadian First Nations will continue to be established as 110 corporate name headings until further notice.

Catalogers should contact CPSO if there are any questions on these points.

3.4. French vs. English:

LC/PCC practice is to establish Canadian corporate names in English whenever possible, the exception being headings for Québec corporate names which LC establishes in French. LAC practice is to establish all corporate headings in both English and French whenever possible—meaning that the two forms appear on works they have in hand. This means for many headings, there are separate and complete authority records in the English form and in the French form. There may also be some headings with a combination of the French and English. It is always necessary to search for the English form in the AMICUS database for use in establishing the heading.

3.5. Canadian Corporate Headings for Québec:

In 1974 the government of Québec established French as the sole official language of the province. As a result, for LC/PCC, English headings for Québec government bodies are obsolete for the period that begins with the change of official language. For publication issued through the end of 1974, an English heading is proper. For publications issued 1975- , use a French heading.

LAC verifies two heading for bodies that existed before and after the 1974/75 dividing line: an English one (through 1974) and a French one (1975-)

In the case of headings for non-government bodies in Québec, also accept LAC's verification in French (even, for example, if the work being cataloged is in English). There are some purely English-language private bodies in Québec, and LAC verifies these in English. For those verified in French that cross the language policy divide, apply the provisions given above for government bodies.

If the French form is chosen as the appropriate heading and it includes a qualifying term that has been given in French, change the qualifying term to the English term given in the LAC English equivalent heading. (In such cases the heading will be a “combination” of

the French and English LAC headings.)

If a corporate name in French contains the diphthong “oe” which appears in the LAC form as separate letters rather than as a ligature, use the LAC form in the heading.

N.B. The system of counties no longer exists in Québec; the term Comté has been replaced by the new division Municipalité régionale de comté.

3.6. Source for corporate name headings:

The AMICUS authority file is the source for establishing name headings for Canadian corporate bodies not found in Canadian CIP data or on access points on current bibliographic records (see Section 2.1 “Sources for Personal Name headings” for examples of 670 citations for headings created based on these sources)

LC catalogers: If a corporate name heading is not found in the two sources above, or if the heading found appears to need updating or presents some other complication, search the AMICUS authority file through the Z39.50 access in the LC ILS. If a record for the heading is found, import the record, editing it according to the “LAC Name Authority Record Adapt Procedures for LC Catalogers.” If a record is not found, send a request to LAC to establish the heading for LC use (cf. 1.5).

PCC catalogers: If a corporate name heading is not found in the two sources above, or if the heading found appears to need updating or presents some other complication, search the AMICUS authority file, if the name is not found in the AMICUS authority file contact the Coop liaison for verification of the heading by LAC (cf. 1.5). Create the authority record as usual, based on the information supplied by the Coop Team. Cite either the AMICUS database or LAC according to the guidelines in DCM Z1, 670 field (e.g., LAC database, date \$b (hdg.: _____) or LAC, date \$b (hdg.: _____))

3.7. Corporate Name References:

Trace “see” references found on LAC NARs or as provided by LAC unless incompatible with other existing entries; trace “see also” references given by LAC according to normal guidelines (cf. LCRI 26.3B-C). **Justification of these references is not necessary** (cf. DCM Z1). If a subfield \$w is found on a LAC NAR; analyze the reference to determine if this subfield is needed. Delete or adjust the subfield (or the reference) if it does not

follow the current conventions in the *MARC 21 Authority Format* blue pages or the current cataloging policies.

Earlier/Later: When making connections between earlier and later corporate names, LAC formerly used simple “see also’s,” (no subfield \$w coding used). If using an older LAC record, and if information is available, code the references earlier/later per LC practice.

Additional references may be given if required, justified according to normal practice.

4.1 Other general considerations:

Uniform titles (including series) are exempt from the LC/LAC agreement.

When modifying an existing LAC name authority record (i.e., 040 = \$a CaOONL \$b eng \$c CaOONL \$d DLC) which may contain MARC fields not generally created by LC/PCC catalogers (e.g., 016, 042, 7xXs) **do not delete** any of these fields unless these are found to contain errors.

LAC name authority record adapt procedures for LC catalogers

Section 1: Assumptions

Section 2: LAC name authority record “adapt” procedures for LC catalogers

Section 3: MARC 21 008 (fixed field) values for use with LAC Authority Records (NARs)

Section 4: Accessing the AMICUS authority file via Z39.50

Section 5: Searching Hints For The Amicus Authority File

Section 6: ILS Database Searching Parameters

Section 7: Sample Searches

Section 8: Comparison Between the Builder Search Codes and the Keyword Search Codes

Section 9: Procedures for LAC Verification for PCC Participants

Section 10: List of LAC Liaisons in the Cataloging Directorate

Section 1: Assumptions:

1. The Library and Archives, Canada’s (LAC) authority file module of the AMICUS database will be made available as a remote database site in the System Administration module of the LC ILS so that it is available for catalogers to search via Z39.50 while in the cataloging module.
2. Catalogers will search Canadian corporate and personal name headings in the AMICUS authority file for verification of the heading form and to resolve complex authority record problems, conflicts, etc. involving Canadian name headings, when these fall into the parameters stated in this document. (Uniform titles (including series) are exempt from the LC/LAC agreement)
3. When a corporate name heading is **not** found in the AMICUS authority file, catalogers will continue to request verification from LAC, via the established procedures (e.g., forward heading requests to a LAC Division Liaison or directly to the Coop Team in RCCD who will in turn contact LAC and request that the heading be established (cf. DCM Z1 Appendix for Canadian headings, Section 1.6 for more information.)
4. It is not necessary to request LAC verification for personal name headings if these are not found in the AMICUS authority file.
5. When the appropriate name authority record (NAR) is found in the AMICUS authority file, the LC cataloger will “adapt” the NAR (cf. attached guidelines) and add the NAR by clicking on the sailboat icon to save it to the LC database.
6. Statistics will be kept to allow the inclusion of the LAC “adapted” NARs in the Coop Team’s statistical reports. (See Section 2, K)

7. Procedures will be developed to assure that the AMICUS password is changed every six months (as per current procedures) without loss of access to the LAC database.
8. PCC participants will continue to request LAC verification for corporate name headings through the Coop Team. (See Section 9)
9. Notification that LAC adapted name authority records will be added to the NAF and distributed to the copy holding partners (OCLC, RLG, and BL), PCC participants, CDS customers, etc. through the appropriate channels. This notification will include guidance on any interaction to be taken by users of the file (e.g., not removing fields unless these are erroneous)

Section 2: LAC name authority record “adapt” procedures for LC catalogers

Once the desired name authority record is found for an LAC corporate or a personal name it is incumbent upon the cataloger to examine the record carefully and assure that all fields comply with the current conventions and cataloging practices for creation of a new name authority records **before saving it** to the LC Database (Cf.: *Anglo American Cataloging Rules* 2ed. rev., Chapters 22-26, *Library of Congress Rule Interpretations* (LCRIs) Chapters 22-26, *MARC 21 Authority Format, LC ILS Bibliographic Workflow Training Document* no. 6, *Descriptive Cataloging Manual* (DCM) Z1, Appendix for Canadian headings).

- A. **008:** Examine carefully and assure that the coding follows the MARC 21 conventions (see the attached guide). **Note** the bytes for “Romanization Scheme” (008/07) and assure that it is set to the fill character*; “Language of cataloging” (008/08) is set to blank or underscore; “Subject heading” (008/11) is set to a; and that “Govt. Agency” (008/28) is set to the fill character. (These values are known to differ from current LC practice; * refer to Sec. 3 footnote for this byte).
- B. **Do not routinely delete any fields** (MARC tags) from the NAR unless these are found to erroneous or can be identified as non-MARC 21 tags.
- C. **010:** Add an LCCN using the generator icon for name and series LCCNs as described in the “010 Guidelines for Library of Congress Staff” in DCM Z1 010 section, pages 2-3.
- D. **040:** Add a subfield \$d DLC and assure that the subfield \$b is set to “eng.”
- E. **053:** If found, adjust to conform with the LC shelflist and change indicator to 0.
- F. **1XX:** Accept the heading “as is” unless modifications are necessary to conform with the principles set out in DCM Z1, Appendix for Canadian headings.

Note: LAC uses tags 110 for geographic headings instead of 151, adjust the tag to 151 before saving the record to the ILS database.

G. 4XX-5XX:

Normally do not delete any 4xxs or 5xxs; however, adjustments may be made as necessary to conform to the current cataloging practices (e.g., add dates and/or qualifiers to references if these are included in the heading) and the conventions stated in DCM Z1, Appendix for Canadian headings.

Check the subfield \$w (if one is present) and assure that all the values assigned follow the current conventions for that subfield stated in the *MARC 21 Authority Format*. Do not attempt to convert the extant \$w data; analyze the reference and determine what coding is needed. If necessary delete the subfield \$w or the entire field.

Add other 4XX or 5XX when necessary to reflect information found on the item-in-hand, any research performed, etc. (cf., DCM Z1, Appendix for Canadian headings for complete instructions).

H. 6XX: Adjust 670s to reflect the current conventions set out in DCM Z1 for creation of NARs (e.g., add subfield b information when cataloging the same title, etc.) Add a 670 for the book in hand if it is a **different title and it provides more** or variant information. Add other 670s and/or 675s as needed. **Delete 665 notes;** these may be converted to 670s.

I. 7XX: Do not **delete or adjust any 7XXs**. Analyze the information and if appropriate add a 4XX reference to the NAR based on the 7XX data in accord with current LC cataloging policies and the principles set out in DCM Z1 Appendix for Canadian Headings, p. 7-8.

J. 9XX: Add a 953 with your cataloger's code.

K. Save the record to the LC Database, by clicking on the sailboat icon.

L. Keep a tally of all LAC headings added to the LC Database and send these to the Cooperative Cataloging Team on a weekly basis.

Section 3: MARC 21 008 (fixed field) values for use with LAC Authority Records (NARs)

LC-ILS	MARC21	Value in bold-type is the valid value when adapting LAC NARs. When in doubt check the <i>MARC 21 Authority Format</i>
Leader:		
Status (Record status)	05	n =(new)
Enc/1 (Encoding level)	17	n =(verified record) o =early notice record; if used-- add 667 field
008:	008:	
Subdivision	008/06	n =(not applicable)
Language of cataloging	008/08	underscore or blank is valid value
Cataloging rules	008/10	c =(AACR2)
Type of series	008/12	n =(not a series)
Heading use boxes:		
Main or added entry Subject added entry Series added entry	008/16	Check all boxes except for Series added entry
Personal name	008/32	May be set to any of these; adjust if necessary a=unique personal name b=nonunique name n=not a personal name
Modified record	008/38	underscore or blank is valid value
Romanization scheme	008/07	fill character is ONLY valid value; unless hdg. is Chinese*
Kind of record	008/09	a =(established)
Subject heading	008/11	a =(LCSH)
Numbered series	008/13	n =(not applicable)
Subject subdivision	008/17	n =(not applicable)
Govt. agency	008/28	fill character is ONLY valid value
Reference evaluation	008/29	May be adjusted if references added or deleted; a =references evaluated b =refs. not evaluated (not valid value for LAC) n =no references
Record update	008/31	a =is default b =rec. being updated; if used add 667 note
Level of establishment	008/33	a =is default; may be adjusted if necessary b =memo c =provisional d =preliminary n =not applicable
Cataloging source	008/39	underscore or blank is only valid value for LAC records

*for a Chinese language hdg. romanized according to LC's rules for Pinyin or Wade-Giles use

Section 4: Accessing the AMICUS authority file via Z39.50

- 1) Click on the Voyager 2000 icon and then follow the usual procedures to access LC/ILS cataloging session.
- 2) After opening a session of the Voyager 2000 cataloging module click on the Search icon. A search box will appear (**figure 1**). Select remote.



Figure 1

- 3) An available Locations box will appear (**figure 2**). Scroll down until you find NLC Authority File. Highlight and left double click in the box at NLC Authority File, a check mark will appear in the box by the name and NLC Authority File will appear in the selected locations box then press the Connect button.

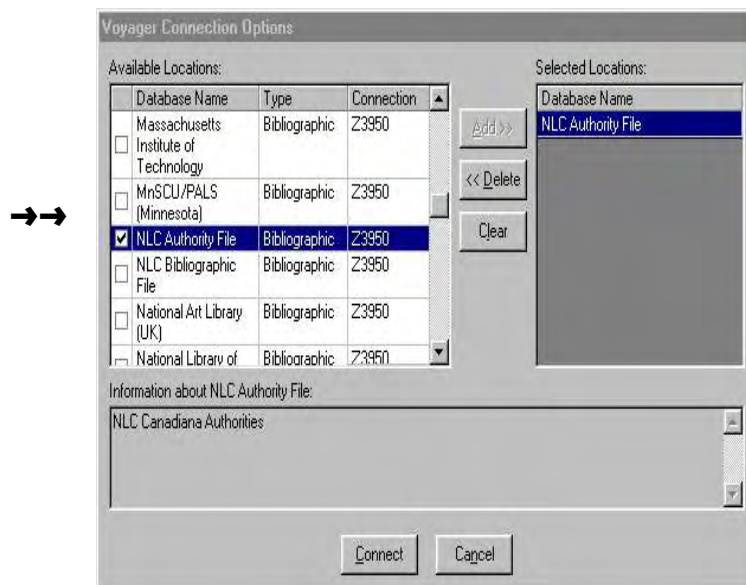


Figure 2

4) A search box labeled Remote Search: NLC Authority File will appear (**figure 3**). Select the Non-keyword or Keyword tab to begin your search for LAC authority records. If an LAC authority record is found adapt the record to LC procedures and then boat the record. (See: LAC adapt procedures: Section 2)



Figure 3

Follow the instructions for Non-keyword or Keyword tab searches in Section 5 below.

Section 5: Searching Hints for the Amicus Authority File

Searches from either the Non-keyword tab or the Keyword tab will retrieve Library and Archives, Canada (LAC) authority records. Depending on the search used hit counts may vary. A list of searching parameters appear in Section 6.

A) Non-Keyword Tab Search:

1) Click on the down arrow at the search by box to retrieve a list of options such as:

Author [left anchored]
Conference name [left-anchored]
Corporate name [left-anchored]
Personal name [left-anchored]

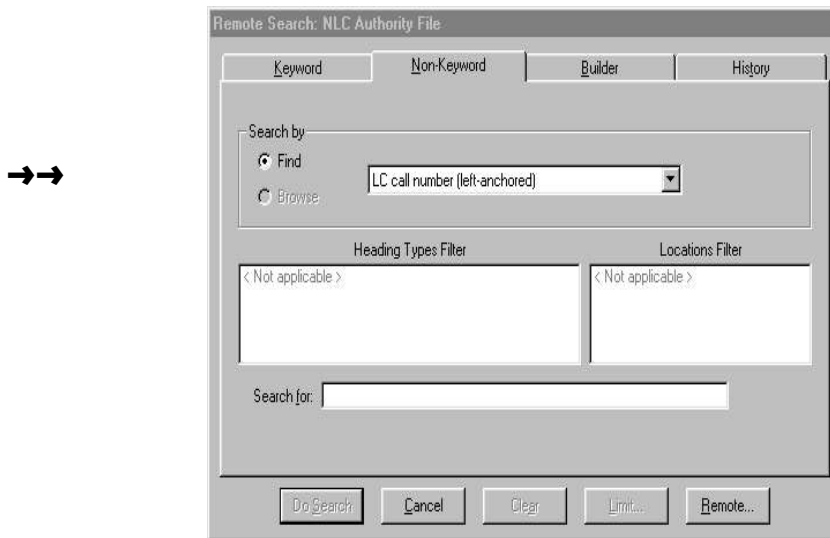


Figure 4

2) Choose the option that fits the type of search. For instance if searching for a personal name you can click on: Author [left-anchored] OR Personal name [left-anchored].

3) Next, in the search for box type the name of the author beginning with last name (e.g., wesche, rolf). Press the enter key to retrieve records. If an authority record is found adapt the record according to LC procedures and then boat the record.

B) KEYWORD TAB SEARCH:

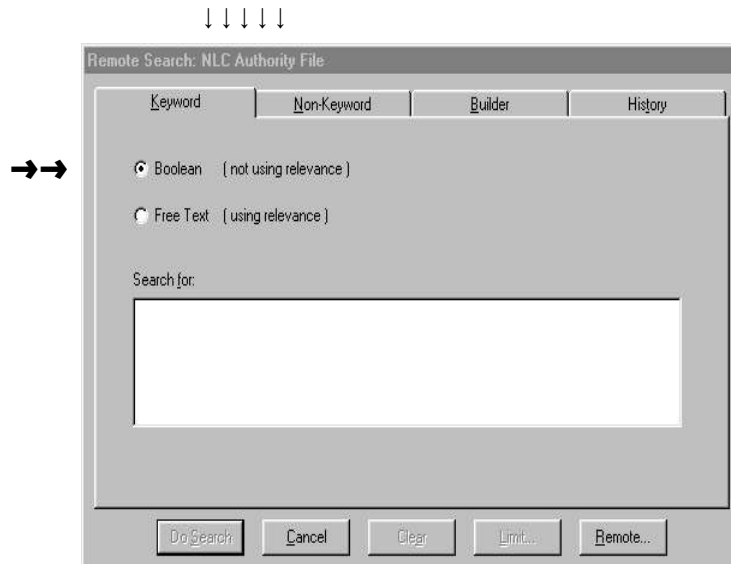


Figure 5

1) One can retrieve an authority record via the following commands listed below. Choose the appropriate command for the type of search. The commands are not case sensitive therefore letters may or may not be capitalized. Make sure that “Boolean” is highlighted (see **figure 5**). NALL can be used to search a personal or corporate heading.

NALL	Author (left-anchored)
100H	Personal name (left-anchored)
110H	Corporate name (left-anchored)
111H	Conference name (left-anchored)
ISSL	ISSN (left-anchored)

2) Searches should be right truncated by use of the question mark. Use quotation marks if the search term contains more than one word. Example of an Author (left-anchored) search from the keyword tab is shown in **figure 6**.

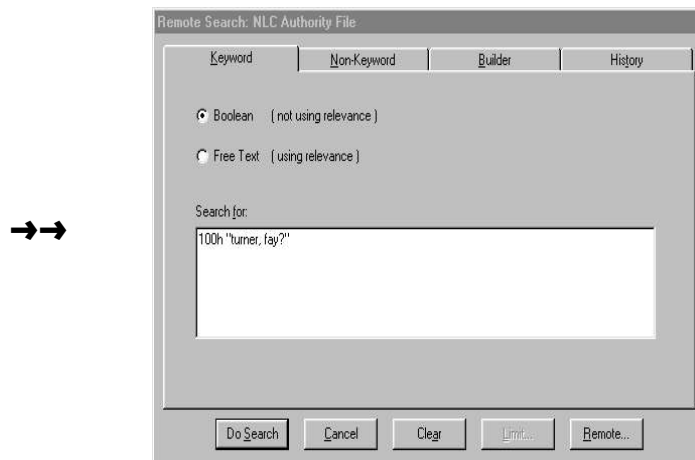


Figure 6

Another keyword LAC Authority File suggested search (**figure 7**): a single surname which would be a one word search. The quotation marks are not necessary around the search string when constructing a one word search.

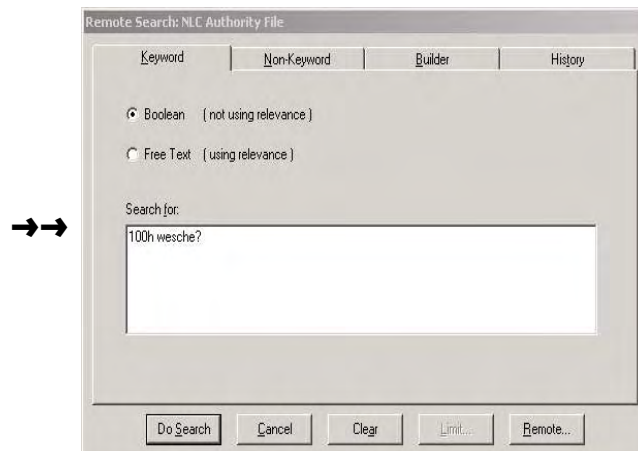


Figure 7

Section 6: ILS Database Searching Parameters

1) When using the Keyword tab, quotation marks should precede and follow the search term if it contains more than one word. If right truncation is desired, the “?” should be placed at the end of the search term before the closing quotation mark.

2) When using the Non-keyword tab, quotation marks and the question mark are not necessary. The search is automatically sent inter-site as a phrase search with right truncation.

Section 7: Sample Searches

In the examples below, identical searches are indicated– first using a NON-KEYWORD search selection and second using a KEYWORD search. The “Author” search can be used to search any of the three combinations: Personal names, corporate names, and conference names.

Author (left-anchored) NALL	banff centre “banff centre?”
Author (left-anchored) NALL	wesche wesche
Personal name (left-anchored) 100H	turner, fay “turner, fay?”
Conference (left-anchored) 111H	banff summer “banff summer?”
Corporate (left-anchored) 110H	banff centre library “banff centre library?”
Title (left-anchored) TALS	canadian literature “canadian literature?”
ISSN (left-anchored) ISSL	1206-4912 “1206-4912”
LC call number left-anchored) 05XX	qa76.w4 “qa76.w4?”
Subject (left-anchored) SALL	glacier glacier?

Section 8: Comparison Between Non-Keyword and Keyword searches

Codes:

The search codes in a non-keyword search has the same meaning as those

in the keyword search. The only difference is that with the keyword search one must type in a search command whereas in non-keyword one can choose from a list provided in a drop down menu.

KEYWORD SEARCH CODES

NALL
111H
110H
ISSL
05XX
100H
SALL
TALS

NON-KEYWORD SEARCH CODES

Author (left-anchored)
Conference name (left-anchored)
Corporate name (left-anchored)
ISSN (left-anchored)
LC call number (left-anchored)
Personal name (left-anchored)
Subject (left-anchored)
Title (left-anchored)

Please contact Larry Dixon (ldix@loc.gov) if you have questions about Z39.50 searching in Voyager.

Section 9: Procedures for LAC Verification for PCC Participants

PCC Participants will continue to request verification of LAC corporate name headings via e-mail or through the OCLC National Review file as is currently the practice for individual libraries. The Coop Team's liaison for the institution will search the heading via the Z39.50 procedures or via the Web according to individual preferences. If the heading is found, the information is returned to the PCC Participant for further processing as per current procedures. The COOP liaison will not adapt the LAC heading for inclusion into the LC Database on behalf of the external user. If the heading is not found the COOP liaison will contact LAC for verification of the heading as per the current procedures.

Section 10: List of LAC Liaisons in the Cataloging Directorate

<u>NAME</u>	<u>DIVISION</u>	<u>TELEPHONE</u>	
1) Brown-Allen, Diana	ASCD	7-3013	
2) Doughty, Beth	SRD	7-2648	
3) Gilliam, Gracie	RCCD	7-2250	
4) Habib, Mary Ann	SMCD	7-2428	
5) Coggeshall, Caroline	SSCD	7-3317	
6) Richey, Alex	G&M	7-8508	
7) Thompson, Kimberly	HLCD	7-3465	

APPENDIX FOR LC STAFF

This appendix to the Z1 section of the Descriptive Cataloging Manual is issued only to LC cataloging staff. This appendix deals with the local aspects of the topics listed below.

- Authority generation/templates
- Subfield \$z when classifying “as a collection”
- “acq” records for collected sets
- Returning multipart items to Acquisitions for analytic records
- Number and relationship of bibliographic, holdings, and item records for multipart items and monographic series
- Technical report monographic series
- Multiple 050 fields in bibliographic records

Authority Generation/Templates/Macros

Reminder: the Voyager authority generation feature cannot be used to create NARs for headings that are not headings in bibliographic records (e.g., parent bodies in headings or references, qualifiers for bodies or serial/series titles). There are LC-created macros for NARs in the “Names” folder in the Voyager templates folder.

Use the appropriate macro if you create an NAR using the authority generation feature. Invoke the macro after issuing the “Create auth” command and then proceed to add cross references, update 670, etc. Note that the cataloger must both enter data and press the “Enter” key at certain stages for the macro to complete the steps.

NAR macro (“Ctrl+F7”)

Macro updates 008/39; adds tag 953 and waits for cataloger to add code and press “Enter” key; macro adds \$b in 040; adds tag 010 and waits for cataloger to add LCCN.

Some divisions may have made adjustments to retain an earlier invoking key for the macro.

Subfield \$z When Classifying “As a Collection”

When creating the collected set record for a new analyzed multipart item or a new analyzed monographic series, add a subfield \$z note to the holdings record for the collected set record. When cataloging an analytic in a multipart item/monographic series classified as a collection, ensure that the appropriate note is present in subfield \$z. The note supplies information to people searching in the OPAC.

- If the analysis decision is “analyzed in full” (644 \$a = f), add the note given below in the 852 \$z. Use macro “Alt+Shift+F2;” position the cursor at the end of the 852 field before invoking the macro.

“See separate records for volumes in this publication to identify LC’s holdings and to request individual volumes.”

- If the analysis decision is other than “analyzed in full” or if the analysis decision has changed, add the note given below in the 852 \$z. Use macro “Alt+Shift+F3” to add the note; position the cursor at the end of the 852 field before invoking the macro.

“Also see separate records for volumes in this publication to identify LC’s complete holdings and to request individual volumes represented by those separate records.”

Teams will decide if team members other than shelflisters will add these notes to the holdings records. The ILS supplement to the SCM: SL instructs shelflisters to add the notes if they do not exist at the time of shelflisting.

“acq” Records for Collected Sets

Acquisitions staff will acquire some monographic series/multipart items, both numbered and unnumbered, as a whole via purchase/exchange/gift. They will create collected set bibliographic records for these monographic series/multipart items as a whole so they can communicate with suppliers at the level of the monographic series or multipart item title.

These collected set bibliographic records will have a minimal set of data elements if existing records are not found/used. The 906 \$b value will be “acq” because the records are created for acquisitions purposes. These bibliographic records will be suppressed from the OPAC. These bibliographic records will have holdings records and may or may not have item records. These “acq” records are not part of the “catalog for cataloging purposes.” Because the

906 \$g value will be “z-acqworks,” these records are not maintained by cataloging staff.

The presence of an “acq” collected set record does not affect the cataloging decision on classification of the monographic series or multipart item. Classify separately unless the resource is covered by one of the exception categories in LCRI 13.3. However, if the cataloging decision is to classify as a collection, use that “acq” record for the collected set record instead of creating another record.

- (1) Add/modify fields in the record.
- (2) Change “acq” in 906 \$b to “ibc.”
- (3) Change “acqwork” in 906 \$c to the appropriate value.
- (4) Change “z-acqworks” in 906 \$g to “y-gencatlg” or other appropriate value.
- (5) “Unsuppress” the record so that it is searchable in the OPAC.

Also, if the monographic series is selected for “technical report” treatment, use an existing “acq” record for the series for the local serial record for the series (see the technical report section below).

Returning Multipart Items to Acquisitions for Analytic Records

If parts of a new multipart item were sent for cataloging without analytic bibliographic records for the parts and you decide the parts should be analyzed, return the material to Acquisitions for creation of “ibc” analytic bibliographic records. Send material to the acquisitions unit of the person's code given at the beginning of the 955 field in the “ibc” collected set bibliographic record.

Acquisitions staff need the materials to be returned to them so they can change the manner in which they acquire/receive the material (as individual parts instead of the multipart item as a whole).

Number and Relationship of Bibliographic, Holdings, and Item Records For Multipart Items and Monographic Series

The LC policy on series, implemented on June 1, 2006, is to analyze in full, classify separately, and not provide a controlled series access point. There are some exceptions to the analysis and classification decisions; those exceptions are listed in LCRI 13.3. The information in this section on non-analysis and classifying as a collection applies to the exceptions to the series policy.

Holdings records (HR):

There should be holdings records for all bibliographic records (analytic records and collected set records) regardless of analysis decision.

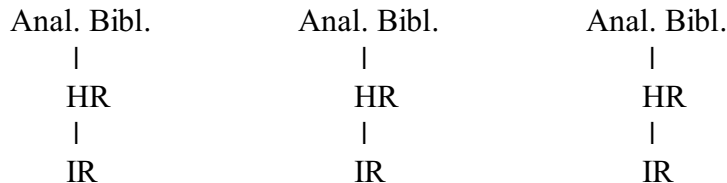
Item records (IR):

There should be an item record for every part of a multipart item and for every monograph volume of a monographic series, regardless of analysis decision or classification decision.

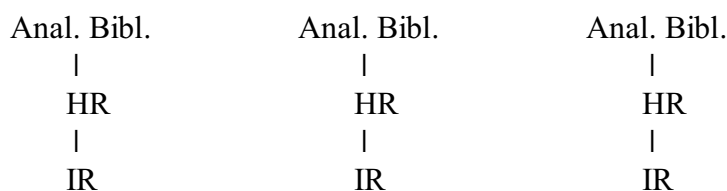
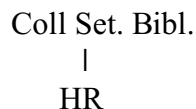
At time of shelflisting, there should be an item record for every volume of a serial published annually or less often in a monographic series. At time of shelflisting, there will probably not be an item record for any volume of a serial published more often than annually in a monographic series.

Classification decision = classified separately

Each item record will be linked to the holdings record which is attached to the specific analytic bibliographic record.

***Classification decision = classified as a collection and analysis decision = analyzed in full***

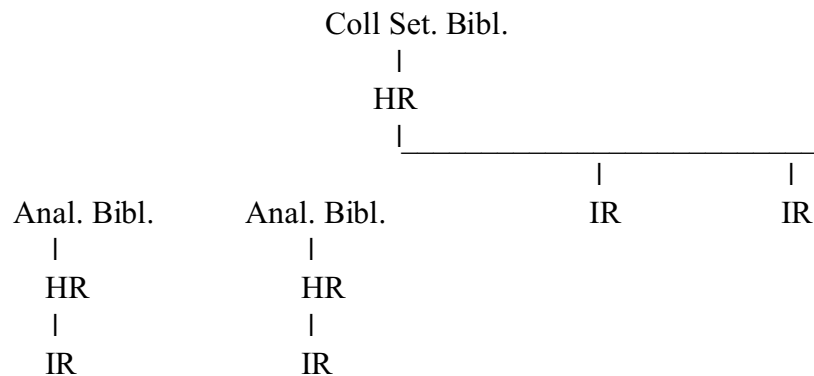
The holdings record for the collected set bibliographic record for the multipart item/monographic series will have no item records linked to it. Each item record will be linked to the holdings record which is attached to the specific analytic bibliographic record.



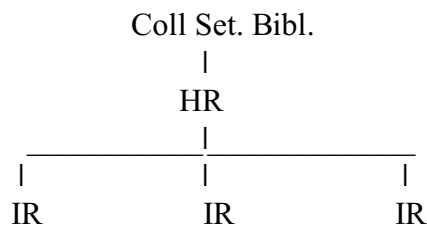
Classification decision = classified as a collection and analysis decision = analyzed in part

The holdings record for the collected set bibliographic record for the multipart item/monographic series will have linked to it the item records for the parts/volumes that are not analyzed.

For the parts/volumes that are analyzed, each item record will be linked to the holdings record which is attached to the specific analytic bibliographic record.

Classification decision = classified as a collection and analysis decision = not analyzed

The holdings record for the collected set bibliographic record for the multipart item/monographic series will have linked to it the item records for all the parts/volumes because there will be no analytic records.

Analytic is a multipart item

The same guidelines stated above for classification/analysis decisions for single monograph analytics in a multipart item apply to the holdings and items records for analytics that are multipart items in either a larger multipart item or in a monographic series.

one example: Larger MPI Coll Set. Bibl.
|
HR

Anal. MPI Coll. Set Bibl.		Anal. Bibl.		Anal. Bibl.
HR		HR		HR
Anal. Bibl.	Anal. Bibl.	IR		IR
HR	HR			
IR	IR			

Technical Report Monographic Series

Decisions and series authority record

The “technical report” workflow at LC handles a brief, unbound item in a numbered series published outside the United States in a roman alphabet language or in Japanese, which comprises an interim report of ongoing research in the general areas of science and technology. (Works in the “soft” sciences and social sciences are generally excluded.) The report is usually of immediate research value only and is often superseded by a journal article or other more formal publication. Items not treated as technical reports include periodicals, unnumbered series, monographs issued in parts, reprints on clinical medicine and agriculture. (Print copies of technical reports published in the U.S. are cataloged and housed in the general collection; the Science, Technology, and Business Division’s collection of U.S. technical reports is on microfiche.)

Technical reports are kept as a special collection in the Science, Technology, and Business Division (or in the Asian Division when they are in Japanese). Most technical reports are not analyzed, but are kept in numerical order and are accessible to the user through listings in abstracting and indexing services. The Technical Reports Section of the Science, Technology, and Business Division (ST&B) is responsible for determining which series are treated as technical reports and deciding which items in technical report series are to be analyzed. Items selected for analysis by the Technical Reports Section will contain a technical report slip with the box checked “This technical report is selected for analysis.” (This applies to items in Japanese also, even though the items will be in the custody of the Asian Division.)

Put material that needs a decision (Is this item a technical report? Should this technical report be analyzed?) from ST&B on the “technical report decision” shelf in the Arts and Sciences Cataloging Division (ASCD); a staff member from ST&B will come to ASCD to make the decisions and leave the material on the shelf. But, mail to ST&B or to Asian Division a technical report that is rejected for analysis (after deleting the “ibc” record).

Generally, new technical report treatment can only be assigned to series new to the Library or to series which have been classified separately.

Local serial bibliographic record made by monograph cataloger

To speed the processing of these publications, monograph catalogers will process new technical report series by creating brief local serial records by using (a) acquisitions records if they are available, or (b) a technical report local serial record template. Macros will be available for some fields in the bibliographic records.

RCCD catalogers will create/modify the local serial records in the LC Database using romanized data. ASCD and SSCD catalogers will modify/create the local serial records in the LC Database.

The location code in the holdings record 852 \$b generates a display in the LC OPAC indicating that the publications are in the Asian Division or in the Science, Technology, and Business Division, as appropriate.

The local serial records will not be distributed. By exception, the local serial records will be maintained as part of regular maintenance in the LC Database (906 \$g = y-gencatlg).

Workflow for creation of a local serial bibliographic record

Determine if there is an “acquisition-use” serial collected set bibliographic record (906 \$b = acq) for the technical report series in the LC Database (note: title of technical report series is 245 title in the serial bibliographic record.)

Search first for the corporate body because the title is often not distinctive; if that search isn't successful (a 710 may not be in the “acq” record), use a title search to look for the record.

A. “Acquisition-use” serial bibliographic record is in the LC Database (906 \$b = acq):

1. Because these “acq” records are not necessarily AACR2 records, delete/modify existing data elements if they represent egregious violations of AACR2 conventions. Do not, however, spend much time/energy on such modifications because these records will not be distributed.

- a. Ensure that the Leader has the following values
 - (1) Status = n
 - (2) Type = a
 - (3) Bib/l = s
 - (4) Arch = blank
 - (5) Enc/l = 3
 - (6) Form = a
- b. Accept 008 as coded.
- c. Add LCCN in 010 if it is lacking.
- d. Add a missing 130 field if series title needs a qualifier to break a conflict.
- e. Add/adjust 260 \$ab; delete 260 \$c if it is present even if first issue is in hand.
- f. Add 500 "Technical report" note via macro "Alt+Shift+F5."
- g. As the last note, add 500 "Description based on:" via macro "Alt+Shift+F4." Use information from the issue to complete the numbering in the 500 note.
- h. Add 710(s) for body(ies).
- i. Delete data in existing 906 field and replace it via macro "Alt+Shift+F1" with the following information:
 - (1) \$a = 0
 - (2) \$b = bbc
 - (3) \$c = serials
 - (4) \$d = u
 - (5) \$e = ncip
 - (6) \$f = 19
 - (7) \$g = y-gencatlg
- j. Add/adjust 92X field to read:
 - (1) \$a = acquire
 - (2) \$b = 1 shelf copy
 - (3) \$x = policy default
- k. Add 955 field or modify existing 955 field to show "To Asian" or "To ST&B" with cataloger's code and date.
 1. Ensure that the bibliographic record is not suppressed from display in the OPAC.
 2. Modify the holdings record for that bibliographic record.
 - a. If the location in 852 \$b is not the appropriate location (either "c-Asian" or "c-TRS/ST&B"), delete the inappropriate location. Input the correct location or select it by keying "Ctrl-I" (cursor must be in the data column) and then clicking on the appropriate line.
 - b. Add "UNCLASSIFIED" in 852 \$h; there will be no 852 \$i.

3. Do not create any item records; if item records linked to the collected set serial record holdings record already exist, do not modify them except to ensure that the “Perm. Loc.” location given in the item records matches the location in the holdings record.

4. If Acquisitions created individual volume “acq” bibliographic records for volumes in the series, ignore those bibliographic records except to ensure that the appropriate location is given in the holdings records’ 852 \$b and in the “Perm. Loc.” box in the item records for those bibliographic records.

5. Send publication(s) to custodial location.

B. Other LC serial bibliographic record (906 \$b = ibc, bbc, cbc, or par) already in the LC Database: send printouts of that bibliographic record with issue(s) to CPSO.

C. No serial bibliographic record in the LC Database:

1. Create serial bibliographic record by using bibliographic template “Techreport.tem.”

a. Code following 008 information (ignore others):

(1) Place of publication

(2) Language

b. Supply LCCN in 010 field.

c. Give the series title in the 245 field. If a qualifier is needed to break a conflict, add a 130 field with the series title plus a qualifier.

d. Input 260 \$ab; there will be no 260 \$c even if first issue is in hand.

e. Supply height in 300 \$c. Do not supply number of volumes in \$a and do not supply \$b.

Example:

300 \$a v. \$c 28 cm.

f. In 500 “Description based on” note, add information from the issue to give the numbering to complete the note.

g. Add 710(s) for body(ies).

h. Complete 955 field by adding appropriate location with cataloger's code and date.

2. Create holdings record for the bibliographic record.

a. If you did not change the default location in your session defaults and preferences, delete the default location in 852 \$b. Input the correct location (either “c-Asian” or “c-TRS/ST&B”) or select it by keying “Ctrl-I” (cursor must be in the data column) and then clicking on the appropriate line.

b. Add “UNCLASSIFIED” in 852 \$h; there will be no 852 \$i.

3. Do not create item record(s).

4. If Acquisitions created individual volume “acq” bibliographic records for volumes in the series, ignore those bibliographic records except to ensure that any holdings and items records for those individual bibliographic records show the appropriate location.

5. Send publication(s) to custodial division.

Contents of template for technical report local serial bibliographic record:

Leader:

Status =n
 Type = a
 Bib/l = s
 Arch = blank
 Enc/l = 3
 Form = a

008:

Publication status = u
 Date 1 = uuuu
 Date 2 = uuuu
 Place of publication = ||| [to be filled in by cataloger]
 Frequency = blank
 Regularity = u
 ISSN Center = |
 Type of serial = m
 Original item = blank
 Form of item = blank
 Nature of entire work = blank
 Nature of contents = blank for all three boxes
 Govt. publication = |
 Conf. publication = |
 Alphabet = |
 Type of entry = 0
 Language = ||| [to be filled in by cataloger]
 Modified record = blank
 Cataloging source = blank

906 \$a 0 \$b bbc \$c serials \$d u \$e ncip \$f 19 \$g y-gencatlg
 92_ \$a acquire \$b 1 shelf copy \$x policy default
 955 \$a To
 010 \$a

130 0	\$a
245	\$a
260	\$a \$b
300	\$a v. \$c
500	\$a Technical report
500	\$a Description based on:
710	\$a

Multiple 050 Fields in Bibliographic Records

In order to have all the assigned call numbers in the shelflist browse index and to have a consistent policy for all multipart item records, multiple 050 fields will be used in all multipart item collected set records when the parts have different call numbers. Serial records already use multiple 050 fields in such situations. The following information, from the SCM: SL, explains the procedures for multiple 050 fields.

From SCM: SL Workflow #4 for a new multipart item classified as a collection:

"1.c. If some volumes in the multipart item are in a larger multipart item/monographic series with a classification decision of "classified as a collection" and the other volumes in the multipart item either are not in a larger multipart item/monographic series or are in a larger multipart item/monographic series with a classification decision of "classified separately,"

(a) Formulate the call number for the volumes in the "classified as a collection" larger multipart item/monographic series based on that collected set call number.

(b) Formulate the call number for the volumes not in a larger multipart item/monographic series or for the volumes in the "classified separately" larger multipart item/monographic series based on those volumes.

(c) In the multipart item record:

(i) Give multiple 050 fields containing the different call numbers for the volumes, with the 050 fields in call number order.

(ii) Ensure that the call number for each collected larger multipart item/monographic series is also given in \$1 of the 490 for each larger multipart item/monographic series."

From SCM: SL Workflow #8 for an analytic of a multipart item or monographic series:

"2.c. Analytics in more than one multipart item/monographic series

...

(5) If different volumes of a classed-together multipart item analytic or serial analytic are in different larger multipart item/monographic series and the classification decision for one is “classified as a collection” and the classification decision for the other is “classified separately,”

(a) Formulate the call number for the volumes in the “classified as a collection” larger multipart item/monographic series based on that collected set call number.

(b) Formulate the call number for the volumes in the “classified separately” larger multipart item/monographic series based on the analytic.

(c) In the multipart item analytic record:

(i) Give multiple 050 fields containing the different call numbers for the volumes of the multipart item analytic, with the 050 fields in call number order.

(ii) Ensure that the call number for each collected larger multipart item/monographic series is also given in \$1 of the 490 for each larger multipart item/monographic series.

(d) In the serial analytic record:

(i) Give multiple 050 fields containing the different call numbers for the volumes of the serial analytic, with the call number for the most current volume as the first 050 field.

(ii) Ensure that the call number for each collected monographic series is also given in \$1 of the 490 for each series.”

Introduction

The Library of Congress (LC) Guidelines for MARC 21 authority records are intended to be used in conjunction with the *MARC 21 Format for Authority Data* (Washington, D.C.: Library of Congress, Cataloging Distribution Service, 1999-). They were prepared by the Cataloging Policy and Support Office and the Cooperative Cataloging Team in the Regional and Cooperative Cataloging Division and are based on previous editions compiled by the Network Development and MARC Standards Office.

Scope of LC Guidelines

The LC Guidelines present information relating to two areas of usage in authority records: 1) usage pertaining to records contributed to the Library of Congress authority files by participants in the Name Authority Cooperative (NACO) or Subject Authority Cooperative (SACO) programs; and 2) usage pertaining to authority records created by the Library of Congress including those contributed by LC catalogers. Records include name, series, and subject authority records. As of June 1, 2006, LC does not create or update SARs. The PCC Policy Committee has announced that the PCC series policy remains unchanged.

The guidelines were developed from various internal and published documents, including the *MARC 21 Format for Authority Data* 1999 base text with updates, the the most recent editions of the *NACO Participants' Manual* (Washington, D.C., Library of Congress, Cataloging Distribution Service), and the *SACO Participants' Manual* (Washington, D.C., Library of Congress, Cataloging Distribution Service).

Direction for use of LC Guidelines

The LC Guidelines for authority records should be used by LC catalogers and institutions participating in NACO or SACO and creating authority records to be added to the Library of Congress authority files. The guidelines may also be used by institutions that need or want to know special LC practice in authority records. As already mentioned, these guidelines are intended to be used in conjunction with the *MARC 21 Format for Authority Data*. Data requirements that are not specific to NACO or SACO and/or LC are presented only in the main text of the authorities format.

NACO/SACO participants and Library of Congress staff creating authority records must also apply the appropriate procedures presented in various LC cataloging documents (e.g., the *LC Descriptive Cataloging Manual (DCM)*, and the *Subject Cataloging Manual: Subject Headings (SCM)*). Cooperating institutions may also refer to the *NACO Participants' Manual* and the *SACO Participants' Manual*.

Organization of LC Guidelines

The guidelines pages may be filed at the end of the main text of the field to which they apply in the authorities format or in a separate binder. Each guidelines page is marked at the top with the title of the MARC 21 format section (usually a three-digit field tag) to which it applies.

NACO usage and **SACO** usage sections are given first, with a list of data elements receiving special treatment and explanatory text where appropriate. When there is no special NACO and/or SACO usage, any data requirements detailed in the main text of the Authority format are still applicable.

LC usage follows **NACO/SACO** usage sections. The LC Usage section is also divided into subsections on Name/Series usage, and Subject usage, as appropriate. Not all the pages have been updated to add the June 1, 2006 LC series policy change. Some LC usage may be more restrictive than that prescribed for NACO and SACO participants. NACO and SACO participants may not be restricted necessarily from using specific data elements even though LC does not use them. These differences are noted when they occur.

008/12 Type of series

NACO:

Do not use codes:
fill character

SACO:

Always use code n.

LC:

NAMES/SERIES:

As of June 1, 2006, LC does not create or update SARs.

SUBJECTS:

Always use code n.

008/13 Numbered or unnumbered series

NACO:

Do not use codes:
fill character

SACO:

Always use code n.

LC:

NAMES/SERIES:

As of June 1, 2006, LC does not create or update SARs.

SUBJECTS:

Always use code n.

022 International Standard Serial Number

NACO:

Use this field in series authority records only.

Do not use subfields:

\$y, \$z, \$6, \$8

SACO:

Do not use this field.

LC:

NAMES/SERIES:

As of June 1, 2006, LC does not create or update SARs.

SUBJECTS:

Do not use this field.

050 Library of Congress Call Number

NACO:

Use this field in Series authority records only.

Always use Second indicator value 4.

Do not use subfields:

\$6, \$8

SACO:

Do not use this field.

LC:

NAMES/SERIES:

As of June 1, 2006, LC does not create or update SARs. |

Historical note: Field 050 may contain call numbers that do not follow the Library of Congress classification schedules, for example: |

050 #0 \$a LAW
050 #0 \$a Microfilm 85/20,233
050 #0 \$a WMLC L 82/1234

SUBJECTS:

Do not use this field.

640 Series Dates of Publication and/or Sequential Designation

NACO:

Use this field in Series authority records only.

Always use First indicator value 1.

Do not use subfields:

\$6, \$8

SACO:

Do not use this field.

LC:

NAMES/SERIES

As of June 1, 2006, LC does not create or update SARs.

SUBJECTS:

Do not use this field.

641 Series Numbering Peculiarities

NACO:

Use this field in Series authority records only.

Do not use subfields:

\$6, \$8

SACO:

Do not use this field.

LC:

NAMES/SERIES:

As of June 1, 2006, LC does not create or update SARs.

SUBJECTS:

Do not use this field.

642 Series Numbering Example

NACO:

Use this field in Series authority records only.

Do not use subfields:

\$6, \$8

SACO:

Do not use this field.

LC:

NAMES/SERIES:

As of June 1, 2006, LC does not create or update SARs.

SUBJECTS:

Do not use this field.

643 Series Place and Publisher/Issuing Body

NACO:

Use this field in Series authority records only.

Do not use subfields:

\$6, \$8

SACO:

Do not use this field.

LC:

NAMES/SERIES

As of June 1, 2006, LC does not create or update SARs.

SUBJECTS:

Do not use this field.

644 Series Analysis Practice

NACO:

Use this field in Series authority records only.

Do not use subfields:

\$6, \$8

SACO:

Do not use this field.

LC :

NAMES/SERIES:

As of June 1, 2006, LC does not create or update SARs.

SUBJECTS:

Do not use this field.

645 Series Tracing Practice

NACO:

Use this field in Series authority records only.

Do not use subfields:

\$6, \$8

SACO:

Do not use this field.

LC:

NAMES/SERIES:

As of June 1, 2006, LC does not create or update SARs.

SUBJECTS:

Do not use this field.

646 Series Classification Practice

NACO:

Use this field in Series authority records only.

Do not use subfields:

\$6, \$8

SACO:

Do not use this field.

LC:

NAMES/SERIES:

As of June 1, 2006, LC does not create or update SARs.

SUBJECTS:

Do not use this field.