

Update Information
2007 Update Number 1

DCM	Title	Action/Change
TOC	Table of Contents	Revised to reflect this update.
C3	Library of Congress Control Number (LCCN) – Restructuring to Accommodate Century Change	C3.2.2 and C3.3.2 - Revised to change references from Bibliographic Workflow Training Document #33 to DCM M7.
M3	Bibliographic and Authority Database Maintenance in the LC ILS	M3.1 and M3.3 - Revised to add advice to consult CPSO home page for guidance on where to send referrals when ABA reorganization occurs. M3.2.2 - Revised to add reference to DCM M7.
M5 [new]	Library of Congress Series Policy	New DCM M5 states LC’s series policy as of June 1, 2006. Includes instructions for categories of records and the list of exceptions to the new general policy.
M7 [new]	The LC ILS MARC Record Validator	New DCM M7 presents concise instructions for using Validator to check records saved in the LC ILS database, with appendixes for more detailed information on background, scope, LC policies, operation, and some specific validation problems. DCM M7 supersedes former Bibliographic Workflow Training Document #33. Suggestions to CPSO for improving new DCM M7 are invited.
Z1	Name Series Authority Records	Revised yellow pages are listed below with a summary of the changes in content. 008/32 - Revised to add guidance to consult 670 section for addition of paired 670 fields to reflect undifferentiated status.

**Update Information
2006 Update Number 4**

DCM

Title

Action/Change

670 - Revised to provide guidance for creating paired 670 fields to provide eye-readable clues when status of NAR (008/32=b) is coded undifferentiated.

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C3 **Library of Congress Control Number (LCCN)--
Restructuring to Accommodate Century Change**

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C3.1 BACKGROUND

The Library of Congress began to print catalog cards in 1898 and began to distribute them in 1901. The Library of Congress Card Number was the number used to identify and control catalog cards. With the development of the MARC format and the first distribution of machine-readable records for book materials in the late 1960s, the name of the LCCN was changed to Library of Congress Control Number. LCCNs are used both for authority and bibliographic records. The components of LCCNs consist of positions allocated for a prefix, a year, a serial number, and, in the machine-readable form under the old structure, a “trailing blank.”

C3.1.1 MARC 21 Format

In the MARC 21 format structure for LCCNs, positions are allocated to accommodate any prefixes at the beginning of a number, a year, a “serial” number, i.e., any particular unique number within a specified year, and, under the old structure, a position for a “supplement number” (never actively used but always accounted for and sometimes referred to as the “trailing blank”). The overall structure can be represented as follows: pppYYSSSSSS# where

p = a position for possible prefix
 Y = digit for last two digits of a particular year
 (there are exceptions to these digits equating to a year; for bibliographic records created between December 1, 1968, and 1972 the numbers were called “7 series” and incorporated a check digit (cf. Cataloging Service, bulletin 85, p. 3); for name authorities, “n42” and “n50” were used for retrospective projects)
 S = digits of the serial number portion
 # = the “trailing blank”

Twelve character positions are allocated for each instance of an LCCN, whether an active one or a canceled/invalid one. Each instance of an LCCN is represented uniformly by 12 character positions. To obtain this uniformity blanks are used in any position allocated for a prefix when no prefix is used or when a prefix that is used contains fewer than three characters. The serial number must ALWAYS consist of six digits. If the number does not, zeroes (called “leading zeroes”) must be added after the YY portion and preceding the actual digits that constitute the number to make a total of six digits. For example, 98-1 is represented in machine-readable form as ###9800001# (where # = a blank).

Note: Hyphens have commonly been used over the life of the LCCN to distinguish, primarily for display purposes, the year portion from that of the serial number. This character, however, has never been included in the MARC 21 representation of the actual data in the machine-readable record.

Two character positions were reserved to represent the last two digits of the year portion of the LCCN, e.g., 98-1. As the millennium approached, the use of two positions for year made it impossible to distinguish between numbers assigned in different centuries, e.g., 98-1 ipso facto does not indicate whether the year relates to 1898 or 1998. After considerable study of the matter, the decision

was made that the best means of distinguishing the year portion of LCCNs was to restructure the LCCN and allocate four digits for the year portion. It was possible to do this and still retain representation of each instance of an LCCN in 12 character positions by reducing the positions allocated to prefixes from three to two and by redirecting use of the “trailing blank” for the last digit of the serial portion of the number:

old structure: ###00008000#
new structure: ##2001008000

See DCM C3.2 and C3.3 below for a more detailed description of each structure. Note that LCCNs assigned under the old structure will not be changed to the new one. This means that any one instance of field 010 (Library of Congress Control Number) that includes a canceled/invalid LCCN may contain LCCNs in both the old and new structures.

C3.1.2 LCCNs For 1998, 1999, 2000

Because it was not possible to begin using the restructured LCCN until 2001, there is some ambiguity between LCCNs assigned to bibliographic records in 1898, 1899, 1900 and 1998, 1999, and 2000 respectively. To ensure that LCCNs assigned in 1998, 1999, and 2000 did not overlap with those assigned in 1898, 1899, and 1900, the beginning numbers assigned in 1998, 1999, and 2000 were numbers that had not been assigned in 1898, 1898, 1900:

Year	First LCCN Assigned
1998	98003000
1999	99006000
2000	00008000

C3.2 OLD STRUCTURE

C3.2.1 Description

The following shows in detail the allocation of positions in old-structure LCCNs:

Element	Length	Positions
Alphabetic Prefix	3	00-02
Year	2	03-04
Serial Number	6	05-10
Supplement Number	1	11

The uniqueness of the LCCN is determined by the first 11 positions (positions 00-10). This means that use of a prefix makes a number unique, i.e., n##99000001# and no#99000001# are conceptually unique numbers and are so treated in the LC ILS (but not in some other systems). The Supplement Number (“trailing blank”) has never been used by the Library of Congress and this position is always blank. Prior to 1999 the Supplement Number could have been followed by two kinds of variable length data known as

Suffix/Alphabetic Identifier and Revision Date. Each Suffix/Alphabetic Identifier was preceded by a slash as was Revision Date. If there was no Suffix/Alphabetic Identifier, the Revision Date was preceded by two slashes. Use of Suffix/Alphabetic Identifier and Revision Date was discontinued beginning in January 1999. These data were not migrated when the LC ILS was implemented in August 1999.

Examples: ###95156543#
 ###94014580#/AC/r95
 ###79310919#//r86
 gm#71005810#

 n##00123456#
 nb#00123456#
 no#00123456#
 nr#00123456#

 sh#00123456#
 sp#00123456#

C3.2.2 Input of Old-Structure Numbers In The ILS

ALL old-structure LCCNs input into the LC ILS must fit the pattern described above in DCM C3.2.1 wherever an LCCN is used (010 subfield \$a; 010 subfield \$z; subfield \$w in linking fields). For example, the form for a canceled number is the same as that for an active number (but the SUBFIELD is different): 010##\$an##99000010#\$zn##99000001#.

Note particularly that the appropriate number of blanks in the prefix positions and the TRAILING BLANK must ALWAYS be input. Too few or too many can cause problems. If the structure of the LCCN is not precisely that described above, it can interfere with retrieval of the record by LCCN and will also prevent distribution of the record from CDS. The surest means of ensuring the integrity of any LCCN input in field 010 is to use the Validator program (cf. DCM M7).

C3.3 NEW STRUCTURE

C.3.3.1 Description

Under the new structure of the LCCN, implemented January 2, 2001, the prefix portion is reduced to two positions, and the year portion is expanded to four positions (e.g., ##2001000001). There is no longer a position defined for "Supplement Number." The following shows in detail the allocation of positions in new-structure LCCNs:

Element	Length	Positions
Alphabetic Prefix	2	00-01
Year	4	02-05
Serial Number	6	06-11

The uniqueness of the LCCN is determined by all 12 positions (positions 00-11). This means that use of a prefix makes a number unique, i.e., n#2001000001 and no2001000001 are conceptually unique numbers and are so treated in the LC ILS (but not in some other systems).

Examples: ##2005256543
 ##2003004580
 mm2001084800

 n#2001123456
 nb2001123456
 no2001123456
 nr2001123456

 sh2001123456
 sp2001123456

C3.3.2 **Input of New-Structure Numbers In The ILS**

ALL new-structure LCCNs input into the LC ILS must fit the pattern described above in DCM C3.3.1 wherever an LCCN is used (010 subfield \$a; 010 subfield \$z; subfield \$w in linking fields). For example, the form for a canceled number is the same as that for an active number (but the SUBFIELD is different): 010##\$an#2001000155\$zn#2001000001.

Note particularly that the appropriate number of blanks in the prefix positions must ALWAYS be input. Too few or too many can cause problems. If the structure of the LCCN is not precisely that described above, it can interfere with retrieval of the record by LCCN and will also prevent distribution of the record from CDS. The surest means of ensuring the integrity of any LCCN input in field 010 is to use the Validator program (cf. DCM M7).

The barcodes provided staff for scanning the LCCN are intended for use in the 010 \$a subfield and take into account the conventions described above. Staff are STRONGLY urged to use the LCCN barcode and scan it in with the barcode scanners provided. The LCCN barcodes take into account prefixes when they are used, e.g., in authority records: n#2001000001 or sp2001000001; in bibliographic records: mm2001084800 (a number for a bibliographic record for manuscript material). They take into account the requisite number of blanks preceding the number when a prefix is not present or is present but is a single alphabetic character, and they supply "leading zeroes" in the serial portion of the number.

C4 MIXTURE OF OLD AND NEW STRUCTURE LCCNs

C.4.1 **General**

As indicated in DCM C.3.1.1 above, old-structure LCCNs are not being changed to the new structure. Therefore, it will be possible to have a mixture of old- and new-structure LCCNs in the same field, particularly field 010. When this occurs, the conventions of both structures must be observed, i.e., when inputting an LCCN, follow the conventions appropriate to the structure of that LCCN. Perhaps the trickiest ones relate to the positions for prefixes in both structures and the position

for the “trailing blank” in the old structure. Do NOT convert old-structure LCCNs to new-structure LCCNs or vice versa. The following examples illustrate some of these mixtures:

```
Bib. records:    010 ## $a ##2001000010 $z ###99000045#
                 010 ## $a ###99000045# $z ##2001000010
                 010 ## $a ##2001000010 $z sa#89000045# $z a##45123456#

Name auth.:     010 ## $a n#2001000010 $z n##99000001#
                 010 ## $a no#99000234# $z nr2001000555 $z n##99001234#

Subj. auth.:    010 ## $a sp#99000001# $z sp2001000012
```

C.4.2 Validator Program

The Validator Program accommodates the four-digit year LCCN. Note, however, that when the program is run against a record that contains a malformed LCCN in field 010, the program may over-report the error, i.e., there may be multiple messages applicable to the same malformed LCCN, and some of those message may apply to a structure different from that of the intended structure. This occurs because there are circumstances under which the program identifies a malformed LCCN but it cannot determine which structure was intended. In such cases, closely examine (or re-scan) the LCCN to determine the error messages that are appropriate and ignore the others.

C.5 SEARCHING

Searching LCCNs *per se* is not changed as the result of implementing the four-digit year LCCN. There are just two more digits that need to be input at the time of the search.

C.6 SUMMARY OF CHANGES IN NEW STRUCTURE

Under the four-digit year LCCN, the data constituting the LCCN have been shifted such that

- 1) the positions allocated to prefixes have been reduced from three to two;
- 2) the positions allocated to year have been expanded from two to four;
- 3) there is no longer a “trailing blank” at the end of the number.

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Bibliographic and Authority Database Maintenance in the LC ILS February 2007

M3.1 SUMMARY

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

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

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

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

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

M3.2 GENERAL GUIDELINES ON MODIFYING RECORDS

M3.2.1 Basic Policy

Do maintenance as necessary in bibliographic and authority records in the LC ILS database in accordance with cataloging instructions and procedures used in LC (such as LCRIs), workflows and operational decisions of LC divisions and units, and cataloger's judgment about the necessity and priority of maintenance for serving user's needs and LC's mission goals.

Apply guidelines in M3.3.1 and M3.4.1 to determine whether to perform record maintenance yourself or refer it to another unit/individual with appropriate expertise and/or resources to do it. Use the procedure in M3.2.2 when modifying any records within the LC ILS. Restrict modifications of certain record elements as instructed in M3.3.2, M3.3.5-M3.3.6, M3.4.2, and M3.4.4.

M3.2.2 Basic Procedure

Follow these steps when modifying any bibliographic or authority record in the LC ILS:

- 1) Change (add, delete, replace, or move) data in the record as necessary by any of the appropriate available mechanisms (manual keying, cut and paste, record import and merge, macros, etc.).
- 2) Input "\$d DLC" at the end of field 040 if that is not already the last subfield there.
- 3) Save the modified record in the LC ILS database (that is, "boat" it).
- 4) **Apply Validator** to the saved record in order to identify certain basic errors or confirm their absence (see DCM M7).
- 5) Correct any errors discovered in step 4, then repeat steps 3-4.

Exceptions: Some LC staff do bibliographic and authority record maintenance in the OCLC or RLIN 21 systems as part of special workflows. Those staff follow the procedures for bibliographic and authority record maintenance in those systems and have training and authorizations to do so.

Bibliographic and Authority Database Maintenance in the LC ILS February 2007

M3.3 BIBLIOGRAPHIC RECORD MAINTENANCE

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

M3.3.1 Distribution Of Responsibility For Maintenance

Background: Your individual LC ILS authorization profile determines what kinds of records you *can* modify in the LC ILS system: bibliographic records, authority records, holdings records, etc. Authorization to modify *any* records of a given type in the LC ILS gives you the ability to modify *all* records of that type there. Therefore, exercise judgment and respect stakeholders' interests when using this ability.

Address the following decision points in the following order when determining whether *you* should carry out modifications in a particular record yourself or refer it elsewhere for maintenance:

- 1) **Eligibility** Is this record eligible for modification *within the LC ILS system*?

- 2) **Responsibility** Is doing maintenance in this record *in scope for your work expertise and responsibilities*? Or should you *refer this record to another area with the necessary expertise* to do maintenance in it?

- 3) **Workload** Do you *absorb maintenance into your (individual/unit) workload*? Or do you *refer records to CPSO* for maintenance?

***Default:* If in doubt concerning who should do maintenance on a record or group of records, refer the record(s) to CPSO Database Improvement, as instructed in M3.3.1.3.** CPSO staff will do the maintenance or refer it to a unit with the necessary expertise.

M3.3.1.1 Determining eligibility

Determine first whether a bibliographic record that requires maintenance is a candidate for modification *within the LC ILS system*. Consult the 906 \$g maintenance/stakeholder code and apply the instructions in the following table:

<i>906 \$g Maintenance Prefix</i>	<i>Instruction to catalogers:</i>		
n-	The record is <i>not</i> eligible for maintenance modifications within the LC ILS. <i>Background:</i> The “master” record is in OCLC or RLIN 21. Staff in stakeholder units maintain the record there. CDS gets the changed record for distribution from OCLC or RLIN 21, not from the LC ILS database.		
	<i>906 \$g code</i>	<i>Refer for maintenance to:</i>	<i>Identifies:</i>
	n-oclserc	Serial Record Division, Serials Cataloging (mail stop 4160)	LC CONSER serial bibliographic record created and maintained in OCLC
	n-rlinjack	Regional and Cooperative Cataloging Division, appropriate JACKPHY language cataloging unit (mail stop 4380)	JACKPHY bibliographic record created and maintained in RLIN 21
z-	Do not do maintenance in the record. <i>Background:</i> The record supports a function other than cataloging (for example, acquisitions) and staff serving that function do maintenance as necessary.		
y-	The record <i>is</i> eligible for maintenance modifications within the LC ILS. Determine next whether maintaining the record fits <i>your</i> expertise or requires referral (see M3.3.1.2).		
<ul style="list-style-type: none"> • <i>Note:</i> If a <i>serial</i> record lacks 906 \$g, assume the code is “n-oclserc”. • <i>Note:</i> If a <i>serial</i> record has only “ilsserca” in 906 \$g, assume the code is “y-ilsserca”. • <i>Note:</i> If any other bibliographic record lacks 906 \$g and needs maintenance, refer it to CPSO. 			

M3.3.1.2

Determining responsibility

If a bibliographic record is eligible for modification within the LC ILS (see M3.3.1.1), determine next whether doing maintenance in *that* record fits *your* expertise and responsibilities. Address the following decision points in the following order and apply the instructions in the tables following each:

1) Heading versus non-heading maintenance?

Does the record maintenance require modifications only in headings (heading maintenance)? Or does it involve changes in other record elements (non-heading maintenance)?

<i>Then:</i>	<i>Instructions:</i>
If record requires:	
Only Heading Maintenance	<i>All records eligible for modification in the LC ILS are in scope for you (individual/unit) to do heading maintenance (see also M3.3.2.1).</i>
Any Non-heading Maintenance	Determine whether each record is <i>in process</i> or <i>previously completed</i> and take actions as instructed in 2) below.

2) In-process versus previously completed status?

If the record requires non-heading maintenance, is its status in-process or previously completed?

<i>Then:</i>	<i>Instructions</i>	<i>Identification</i>
If the record is:		
In Process	<p>In order of preference:</p> <p>1) Complete the record (including any maintenance), based on item(s) in hand, if doing so is <i>within your normal expertise and responsibilities</i>.</p> <p>2) Refer the record for maintenance to the individual/team working on it, based on information in field 955, if you do not have item(s) in hand and/or expertise necessary to complete the record (or refer it to CPSO Database Improvement if in doubt about where to send it).</p>	<p>906 \$b = ibc (cataloging in process), <i>or</i></p> <p>906 \$b = vip (CIP verification in process)</p>
Previously Completed	Determine whether non-heading maintenance in the record is <i>within your normal expertise and responsibilities</i> or requires referral, as instructed in 3) below.	906 \$b = any other value

3) Coverage in your expertise/responsibilities versus referral?

If the record (a) requires non-heading maintenance and (b) is previously completed, do *your* normal individual/unit expertise

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and responsibilities include cataloging the type of resource that the record represents? If *yes*, determine next whether to absorb the maintenance workload or refer it to CPSO (see M3.3.1.3). If *no*, refer the record to another area that has the necessary expertise for doing maintenance in that case. Make referrals according to 906 \$g stakeholder codes as instructed in the following table (or refer them to CPSO Database Improvement if in doubt about where to send them).

Code in 906 \$g:	<i>Refer non-heading maintenance to:</i>
y-geogmaps	Geography and Map Division, Technical Services Section (mail stop 4652)
y-folklife	American Folklife Center (mail stop 4610)
y-gencompf	Special Materials Cataloging Division, Computer Files and Microforms Team (mail stop 4371)
y-gencatlg	CPSO Database Improvement [<i>if referral is necessary</i>] (mail stop 4305)
y-genmicro	Special Materials Cataloging Division, Computer Files and Microforms Team (mail stop 4371)
y-genmusic	Special Materials Cataloging Division, Music and Sound Recordings teams (mail stop 4373)
y-genrareb	Special Materials Cataloging Division, Rare Books Team (mail stop 4376)
y-ilsjacph	Regional and Cooperative Cataloging Division, JACKPHY teams (mail stop 4380)
y-manuscri	Manuscript Division (mail stop 4682)
y-movingim	Motion Picture, Broadcasting, Recorded Sound Division, Moving Images (mail stop 4692)
y-printpho	Prints and Photographs Division, Technical Services Section (mail stop 4732)
y-soundrec	Motion Picture, Broadcasting, Recorded Sound Division, Recorded Sound (mail stop 4699)
y-ilsserca ilsserca	Serial Record Division, Serials Cataloging (mail stop 4160)
y-undeterm n-undeterm	CPSO Database Improvement (mail stop 4305)

*M3.3.1.3**Distributing workload*

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

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

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

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

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

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

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

*M3.3.2.1**Heading maintenance guidelines*

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

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

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

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

In all other cases apply regular maintenance procedures.

M3.3.2.2.1**General procedures**

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

M3.3.2.2.2

Notification of CIP pre-publication changes

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

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

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

M3.3.2.3

Specific elements

Bibliographic record element	<i>Instructions</i>
Leader/06 (Record type)	See M3.3.5.
Leader/07 (Bibliographic level)	See M3.3.6.
010 \$a (LCCN)	<p>Do not change the LCCN in 010 \$a of a bibliographic record.</p> <p><i>Exception:</i> LC/CONSER serials catalogers, working in OCLC, can delete a bibliographic record from the CONSER distribution database, change the LCCN in 010 \$a, and re-add the record with the new LCCN to the CONSER database, following procedures in <i>CONSER Editing Guide C2.2.2</i>.</p> <p>Do not re-use LCCNs from canceled bibliographic records in new records.</p> <p><i>Exception:</i> Designated CIP Division staff are authorized and trained to determine individual cases when CIP- or PCN-assigned LCCNs should be re-used in new records—generally to preserve LCCNs printed in resources at LC’s instruction—and apply special procedures for doing so without disrupting record distribution.</p>
050/051 (LC call numbers)	See M3.3.2.4.
991 (Local location information)	<p>Do not modify 991 fields found in existing records.</p> <p><i>Exceptions:</i> Staff in some areas, such as Geography and Map Division and certain LC reference staff, add, delete, and change 991 field data and are trained to do so.</p>

*M3.3.2.4**Call numbers*

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

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

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

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

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

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

M3.3.4 Canceling Records

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

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

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

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

*M3.3.4.1**Inputting cancellation message*

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

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

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

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

*M3.3.4.2**Retrieving items in LC collections*

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

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

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

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

M3.3.4.3 Tracking canceled LCCN

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

M3.3.4.4 Transferring holdings data and item records

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

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

M3.3.4.5 Preparation for re-labeling

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

M3.3.4.6 Deleting record or requesting deletion

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

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

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

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

M3.3.4.7

Referrals for record cancellation

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

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

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

M3.3.5.1

General

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

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

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

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

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

M3.3.5.2

Exceptional changes permitted in bibliographic Leader/06

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

Change Leader/06 in the existing bibliographic record <i>only if</i> :	<i>Identification:</i>	
1) CDS has not received or queued the record yet.	a) Field 005 in the LC ILS database record has all zeros . <i>or</i> b) The record was first saved in the LC ILS on the same day when you are changing Leader/06 (determine this from “History” in the LC ILS bibliographic display).	
2) The record is in the CDS “manuscripts” distribution set, which includes all Leader/06 types.	906 \$g = y-manuscri	
3) The change is from one code to another <i>within</i> certain groups, which have 008 elements in common and correspond to CDS distribution sets:	<i>Group:</i>	<i>includes Leader/06 types:</i>
	a) Books 008	“a” (language material) “t” (manuscript language material)
	b) Maps 008	“e” (printed cartographic material) “f” (manuscript cartographic material)
	c) Music 008	“c” (notated music) “d” (manuscript notated music) “i” (nonmusical sound recording) “j” (musical sound recording)
	d) Visual Materials 008	“g” (projected medium) “k” (two-dimensional nonprojectable graphic) “o” (kit) “r” (three-dimensional artifact/naturally occurring object)

In all cases other than these specific exceptions or when in doubt, do not change Leader/06 in the existing bibliographic record. Instead, cancel the incorrect record and process a new one, as instructed in M3.3.5.1.

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

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

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

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

M3.4 AUTHORITY RECORD MAINTENANCE

M3.4.1 Distribution Of Responsibility For Maintenance

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

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

M3.4.1.1 Determining eligibility

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

M3.4.1.2 Determining responsibility

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

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

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

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

M3.4.1.3

Distributing workload

Apply the same guidelines as in M3.3.1.3 when:

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

M3.4.2

Guidelines For Doing Record Maintenance

M3.4.2.1

Coding records as “Being updated”

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

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

M3.4.2.2

Specific elements

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

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

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

M3.4.3

Canceling Records

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

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

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

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

M3.4.3.1

Inputting cancellation message

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

Example

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

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

M3.4.3.2

Tracking canceled LCCN

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

M3.4.3.3

Deleting record or requesting deletion

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

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

M3.4.3.4

Determining and expediting needed database maintenance

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

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

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

M3.4.4 Changing Kind Of Authority Record

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

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

M3.5 APPENDIX 1: UPGRADING BRIEF JACKPHY RECORDS

M3.5.1 General

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

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

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

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

M3.5.2 Procedure

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

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

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

M3.6 APPENDIX 2: FORMER UPGRADING PROCEDURES

M3.6.1 Upgraded Less Than Full Records

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

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

M3.6.2 Inactive CIP Records

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

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

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M5. 1. GENERAL POLICY
Abbreviations used:

BR = bibliographic record
SAR = series authority record

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. The pertinent LCRIs and DCM Z1 (*Name and Series Authority Records*) have been updated to reflect this policy.

M5.1.1 *Series Authority Records*

Do not consult, modify, or create any SARs when preparing or updating BRs for LC.

Exception: Consult series authority records when searching to determine if there is a conflict in the database (see LCRI 25.5B) to ensure controlled access to related entries.

M5.1.2 *New Cataloging*

M5.1.2.1 BR is original LC cataloging

Give the series data elements (title proper, parallel titles, other title information, statement of responsibility, ISSN, numbering) in a 490 0# field. Do not provide a controlled series access point.

M5.1.2.2 BR is not original LC cataloging
Accept the series fields as given.

M5.1.2.3 File maintenance and other matters

Correct errors in a 490 field but do not add or update controlled series access points (440/8XX). See DCM M5.2 and M5.3 for details about different categories of BRs. See the following for file maintenance and other matters:

- 1) M5.4 for details about bibliographic maintenance;
- 2) M5.5 for information about name authority maintenance affecting series;
- 3) M5.6 for additional information about JACKPHY records;
- 4) M5.7 for LC's responsibilities related to series and other libraries;
- 5) M5.8 for exceptions to LC's series policy.

[During the transition period after June 1, 2006: Resources referred to another division, team, etc., in accordance with series decisions prior to June 1, 2006 and not yet cataloged: If a volume

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in a multipart monograph, monographic series, etc., was forwarded according to an earlier series decision not applicable now, refer the volume to the appropriate division, team, etc., for processing under the current guidelines.]

M5. 2 MONOGRAPHS AND INTEGRATING RESOURCES

If the resource being cataloged is covered by a category in the exceptions identified in DCM M5.6, follow the instructions there. Otherwise, follow the instructions as given in the following table.

Category		Series Fields	042	050
Desc. cat. completed but subj. cat. not completed		Do not change.	Do not change.	Assign “classified separately” number.
LC original cataloging: desc. cat. not completed (including origres and vendor records)	040 \$a is a single DLC code (DLC, DLC-R, etc.)	Give as 490 0#. CIP/ECIP title: If series information is present only on data sheet/data view, do not give in BR. Do not contact CIP or the publisher.	Delete “pcc” code if it is present.	Assign “classified separately” number.
Imported record (excluding origres & vendor records): cat. not completed.	040 \$a is a single code other than a DLC code	Accept as given in record (correct any typos and add any missing data elements). If entire series statement is missing, add as 490 0#.	If a pcc adapt record, retain “pcc” code; otherwise, give “lccopycat” code. In either case, add in repeated \$a if another code present (e.g. “ukblsr”).	Assign “classified separately” number. If other library gave a “collected set” call number (series number at end of \$b), retain but change to 050 14.
CIP partner supplying pre-publication 050	040 \$a is XXX/DLC (XXX = CIP partner library)	Accept as given in record.	Accept as given in record.	Assure 050 \$b against LCDB, including “collected set” call number (series number at end of \$b) assigned by partner library.
New LC original cataloging record		Give as 490 0#.	Do not include “pcc” code in record.	Assign “classified separately” number.
CIP verification	Record being upgraded in LCDB	Accept as given in record (correct any typos and add any missing data elements).	Do not change or add “pcc” code.	Do not change a “collected set” call number to a “classified separately” call number.
	Record upgraded in OCLC; imported to LCDB	Accept as given in record (correct any typos and add any missing data elements).	Do not change or add “pcc” code.	Do not change a “collected set” call number to a “classified separately” call number.
	CIP partner record	Accept as given in record (correct any typos and add any missing data elements). If entire series statement missing, refer to CIP Div. to contact partner library.	Accept as given in record.	Accept as given in record, including a “collected set” call number (series no. at end of \$b) assigned by partner library.

M5.3 SERIALS

If the resource being cataloged is covered by a category in the exceptions identified in M5.6, follow the instructions there. Otherwise, follow the instructions as given in the following table.

Category	Series fields	042	050
Record being created by LC (040 \$a is a single DLC code: DLC-S, etc.)	Give as 490 0#.	Give "lc" code.	Give a "classified separately" number.
Serial record being used has been authenticated by a CONSER participant	Accept as given in record (correct any typos and add any missing data elements). If entire series statement is missing, add as 490 0#.	Accept as given; if "lcd" or "msc" is not already present, add the appropriate code.	Give a "classified separately" number.
Serial record being used was created by a non-CONSER OCLC member	Accept as given in record (correct any typos and add any missing data elements). If entire series statement is missing, add as 490 0#.	Give "lccopycat" code.	Give a "classified separately" number.

M5.4 BIBLIOGRAPHIC FILE MAINTENANCE: MONOGRAPHS, INTEGRATING RESOURCES, AND SERIALS

Category	042	050	Other fields
CIP publisher change request for BR created by LC after June 1, 2006 (send requests for earlier records to CPSO) Note: Change requests for CIP partner records will be handled in CIP Division.	Delete "pcc" code if present.	Do not change a "classified separately" call number to a "collected set" call number unless the resource is covered by a category in list of exceptions in M5.8.	Update 490 0# statement as needed. Do not change a 490 0# to a 440 or add an 8XX field. Change other fields as needed.
Other analytic records	Do not change.	Do not change.	Do not add or change a 440 or 8XX field. Add a missing series statement as a 490 0#. Change other fields as needed.
Collected set bibliographic records if covered by an exception in M5.8.	Follow instructions in M5.8.	Follow instructions in M5.8.	Follow instructions in M5.8.
Collected set bibliographic records not covered by an exception in M5.8.	Do not change.	Do not change.	Do not add or change any fields.

M5.5 CHANGE IN HEADINGS FOR PERSONS OR BODIES

If the heading in a name authority record is changed and the database maintenance is being performed in the team, ensure that any SAR with the same name heading in a 1XX/4XX/5XX field is also updated. If the database maintenance is being done in CPSO, any appropriate SAR will also be updated in CPSO.

M5.6 JACKPHY RECORDS

The general policy for nonroman series fields in JACKPHY records is given in the document "Supplying Nonroman Data in RLIN JACKPHY Books Records" (dated 12/1/87):

The 4XX series statements are considered "core fields." Input of a nonroman parallel field is required if there is nonroman series data present on the item. Catalogers should follow language-specific guidelines for the content designation of series statements (4XX fields) and for supplying additional nonroman series access points in the 8XX fields.

Follow the guidelines below to apply that policy in the context of LC's current series policy.

(1) Original cataloging: full; core; MLC

490 0# roman
880 0# nonroman

(2) Copy cataloging

490 0# roman
880 0# nonroman [add 880 if not present]

440 roman
880 nonroman [retain if present; add as 880 in form on item if not present]

490 1# roman
880 1# nonroman [retain]
8XX roman
8XX nonroman [retain]

490 1# roman
880 1# nonroman [retain if present; add as 880 in form on item if not present]
8XX roman
8XX nonroman [retain if present; add as 880 in form of 8XX roman if not present; some languages limit 8XX nonroman form to 800]

M5.7 SERIES AND LC AND OTHER LIBRARIES

LC catalogers serving as NACO liaisons, the Cooperative Cataloging Team, and CPSO will answer questions from PCC participants about creating and updating series authority records. The PCC participants, rather than LC staff, should create and update the authority records.

The Cooperative Cataloging Team and CPSO will delete duplicate SARs reported by PCC participants. CPSO will delete duplicate SARs reported by non-PCC libraries; CPSO will process error reports and answer questions from these libraries if doing so doesn't involve research or retrieval of volumes, etc.

M5.8 EXCEPTIONS TO THE GENERAL LC SERIES POLICY

M5.8.1 Not Analyzed/Classified As A Collection

The following categories will not be analyzed and will be classified as a collection; SARs will not be consulted, created, or updated:

M5.8.1.1 Numbered multipart monographs with all parts lacking analyzable titles

- 1) create and update a collected set record for the multipart monograph as a whole;
- 2) classify together.

M5.8.1.2 2A cataloging
Unnumbered multipart monographs cataloged per "2A cataloging" guidelines ("2A cataloging" is a local LC practice to create a made-up collected set record for an unnumbered multipart monograph, assigning numbers to parts as received):

- 1) create and update a collected set record for the multipart monograph as a whole;
- 2) classify together.

M5.8.1.3 Auction and sales catalogs

- 1) create or update the serial collected set record for the catalogs using a made-up title;
- 2) analyze and classify separately an individual catalog only if identified by a selection officer as of particular interest;
- 3) classify together.

M5.8.1.4 Legal multipart monographs identified by LC's Law Library

- 1) create and update collected set record for the multipart

- monograph as a whole;
- 2) give author-title added entries;
- 3) classify together.

M5.8.2 Not Analyzed/Not Classified

Technical report series identified by LC's Science, Technology, and Business Division or LC's Asian Division and shelved in those divisions will not be analyzed and will not be classified; series authority records will not be consulted, created, or updated:

- 1) create and update a local serial record;
- 2) do not assign a call number (shelved in ST&B and in Asian).

M5.8.3 Analyzed In Full/Classified As A Collection

The following categories will be analyzed in full but will be classified as a collection; series authority records will not be consulted, created, or updated:

M5.8.3.1 Scholarly collections of music historical sources eligible to be classified together in M2

- 1) create and update collected set record for the multipart monograph or monographic series as a whole;
- 2) analyze in full and give series statement in a 490 0# field or pass through series information in cataloging copy;
- 3) classify together in M2.

M5.8.3.2 "Web access to monographic series" project in LC's Social Sciences Cataloging Division

- 1) create and update serial collected set record for the monographic series as a whole;
- 2) analyze each volume via program; give series statement in 490 0# field or pass through series information in cataloging copy;
- 3) classify together.

M5.8.3.3 Microform sets

- 1) create and update collected set record for the multipart monograph or monographic series as a whole;
- 2) analyze in full and give series statement in a 490 0# field or pass through series information in cataloging copy;
- 3) classify together (one shelf number for the set as a whole).

M5.8.3.4 Proceedings of a single conference published in more than one volume with analyzable volume titles

- 1) create and update collected set record for the multipart monograph as a whole;
- 2) analyze each volume; give series statement in 490 0# field or pass through series information in cataloging copy;
- 3) classify together.

M5.8.3.5

Legal monographic series and multipart monographs identified by LC's Law Library

- 1) create and update collected set record for the multipart monograph or monographic series as a whole;
- 2) analyze in full and give series statement in a 490 0# field or pass through series information in cataloging copy;
- 3) classify together.

M5.8.4 Analyzed In Full: Applies To Analyzable Parts/Classified As A Collection

Complete editions of collected works of individual composers (classified as M3) will be analyzed in full: applies to analyzable parts and will be classified as a collection; series authority records will not be consulted, created, or updated.

- 1) create or update the collected set record for the multipart monograph;
- 2) analyze a part only if it fits the guidelines in LCRI 13.3 for collected works of composers; give series statement(s) in 490 0# field(s) (create only item record for a non-analyzable part and link it to the collected set bibliographic record) or pass through series information in cataloging copy;
- 3) classify together in M3.

M5.8.5 Not Analyzed/Classified As A Collection (Applies To Acquisitions)

Already cataloged numbered monographic series assigned "not analyzed/classified as a collection" decisions prior to June 1, 2006 applies to acquisitions staff; this category is included here for information:

- 1) follow check-in procedures for issues of serials
- 2) forward issues to custodial divisions.

M5.8.6 BRs Not Yet In LCDB

Previously existing BRs not yet in the LCDB that are now being newly input will reflect the series decisions (i.e., presence or absence of controlled series access point; a classed-separately or a classed-as-a-collection call number) at the time the resource was cataloged originally.

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

M7.1 SUMMARY
DCM M7 presents concise instructions for using the MARC Record Validator add-on program to check records saved in the LC ILS database. Appendixes provide more detailed information on Validator with respect to background, scope, LC policies, operation, and some specific validation problems.

DCM M7 supersedes former Bibliographic Workflow Training Document #33.

M7.2 CONCISE VALIDATOR INSTRUCTIONS

- Why to use Validator:** Use Validator to discover and **correct predictable errors** that keep your records from functioning as intended or prevent CDS from distributing them.
- Which records to validate:** Apply Validator to **bibliographic** records intended for distribution, **holdings** records, and all **name, title, or name/title authority** records in the LC ILS database (*not* to item records or subject heading authority records).
- When to use Validator:** For best results, apply Validator after **each time you save** any of the above (new records or modifications of existing ones) in the LC ILS database.
- How to apply Validator:** Display the record you want to validate “on top” in the cataloging session window. Then, *either*:
- 1.a) Start Validator (click its icon on the desktop or in *Start / Programs / ILS Add-ons*).
 - 1.b) Click “Validate record” in the Record Validator window.
- or*
- 2) Input “**Ctrl + Left arrow**” to use a macro that starts and applies Validator.
- How to act on results:**
- 1) “**Validation results**” window (with three boxes):
 - a) **Correct** errors identified in the **top** box (at once) or **bottom** box (before the record is completed).
 - b) **Evaluate** whether messages in the **middle** box identify errors (if so, correct them) or not (if not, close the results window).
 - 2) **System error messages:** Take actions to fix the error according to the message and instructions in it.
 - 3) Correct errors in the record. Then **save** the record with the changes. Then **revalidate**.
 - 4) When the result is “No MARC errors in this ... record,” close the results window and continue working.
 - 5) If your next task is to create or edit holdings or item records linked to the validated record, save (“boat”) the record again to return to the “master” database record.

For more details, see the appendixes in M7.3-M7.6.

M7.3 APPENDIX 1: BACKGROUND AND SCOPE

M7.3.1 Background

The MARC Record Validator (most often called Validator) is an add-on program that LC staff apply when working in LC ILS cataloging module sessions at any stage in processing. It checks data conditions in many (but not all) records in the LC ILS database and reports predictable errors for correction, thereby helping assure the quality of those records and related services.

Validator's primary purpose is to help eliminate predictable errors that (a) reduce structural integrity of records so they cannot function as intended, (b) prevent distribution of records by Cataloging Distribution Service, (c) cause problems for other systems that receive records from LC, and (d) cost LC staff time and resources for resolution of those problems.

Validator's functional role is **in addition to** MARC validation of each record by the LC ILS, not a replacement for it. Therefore, staff still must set cataloging session preferences to **not bypass** MARC validation (see DCM M6.3).

Validator checks:

- MARC 21 content designation (for example, field tags and subfield codes)
- LC local MARC content designation (for example, 906 subfields)
- standard values and codes (for example, values in Leader or 008 bytes)
- structural validity of some data (for example, LCCN formatting in 010)
- some dependent data conditions (for example, presence of field 263 when Leader/17 has value "8")

History: Gary Strawn at Northwestern University originally developed the Validator program. David Williamson adapted it for the LC ILS environment. CPSO coordinates the addition of new checks to be incorporated into Validator. Information here is current for Validator version 2.31 (June 2006).

M7.3.2 How Validator Operates

When you apply Validator to a record, the program writes a copy of the record to a special work file that only Validator uses, then applies its checks to that copy. Validator does not work directly on the master record in the LC ILS database. That is why the record's title bar after validation is different from before you applied Validator:

Before Validator:

Bib [record no.]: 245 data

Hldg [record no.] (bib [record no.]): 245 data

Auth [record no.]: 1XX heading

After Validator:

VALID.BIB: 245 data

VALID.HLD: 852 location & call no.

VALID.AUT: 1XX heading

M7.3.3 **Scope: Types Of Record**

Validator is designed to operate on **bibliographic** records, **holdings** records, and **name, title, and name/title authority** records in the LC ILS database. (It also works on series authority records, but, as of June 2006, LC catalogers do not create or modify SARs.)

Validator does not operate on item records. (When Validator tries to make a copy of a barcoded item record for checking, a variety of errors occur and the result is a system error message.)

Validator does not operate accurately on subject heading authority records. (It appears to work but is “confused” and gives anomalous error reports.)

M7.3.4 **Scope: Status Of Record Input/Update**

Generally, Validator makes copies for checking (see M7.3.2) from records already saved in the LC ILS database. Therefore, you must usually **save** (that is, “boat”) records before applying Validator to them. This is true for new records created in the LC ILS database, new records imported into the LC ILS database, and existing records modified in the LC ILS database (in order to validate the modified data also).

Exception: When you derive a new record by clicking “Record / Make a Copy,” you **can** apply Validator successfully to the derived new record before saving it.

M7.3.5 **Levels Of Validation**

Most staff use Validator at the **full validation** level when working on records beyond the initial bibliographic control stage. When in doubt, use full validation. (See M7.5.2 for instructions on setting the level of validation option if you need to change it.)

Use **limited validation** *only* if your work responsibilities include creating and modifying *only* initial bibliographic control records at pre-cataloging stages of processing.

M7.4 APPENDIX 2: POLICY FOR VALIDATOR USE

LC **encourages** staff who work in the cataloging module to apply Validator after each time they save a new or modified in-scope record in the LC ILS database (see M7.2).

LC **requires** (that is, more than encourages) **all staff who do cataloging** to validate new or modified **holdings** records and new or modified **name, title, and name/title authority** records. LC requires **all staff who do cataloging** to validate new or modified **bibliographic** records that are or will be **distributed outside LC**.

If a record needs validation (see above), LC **requires** staff to validate it at the time when it is **completed**. If an **ABA** unit has different staff do **descriptive cataloging**, **subject cataloging**, and **end-stage processing** as separate stages, LC **requires** validation of bibliographic records at the times when **each** of those steps is completed.

M7.5 APPENDIX 3: DETAILED INFORMATION ON USING VALIDATOR

M7.5.1 Starting Validator

Some ways of applying Validator require starting the Validator program as a separate step, before applying it. Do so by any of the following methods. (See M7.5.3 for a **macro method** that applies Validator without this as a separate step.)

Desktop folder: (a) Double click and open the Voyager Unicode folder on the workstation desktop. (b) Double click and open the ILS Add-on folder. (c) Double click the Validator icon to start Validator.

Start button: (a) Click the Start button on the workstation screen. (b) Select “Programs / ILS Add-on.” (c) Select and click the Validator icon to start Validator.

Shortcut: (a) Find the Validator icon by either of the above methods. (b) Using instructions at <http://www.loc.gov/staff/idt/shortcuts/shortcut1.html>, create a shortcut for your desktop. (c) Double click the shortcut on your desktop to start Validator.

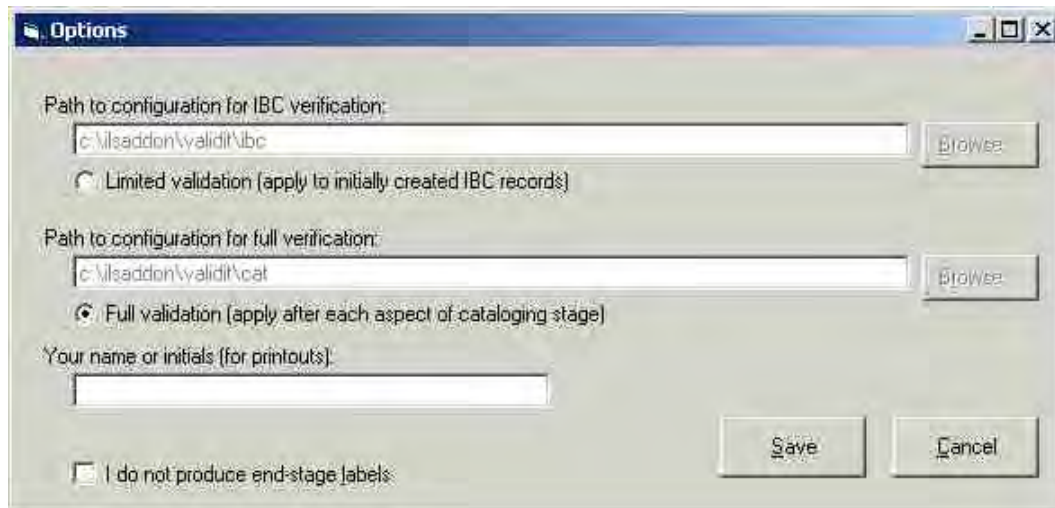
Starting Validator opens the Record Validator window.



Spell checker: Validator was designed to include a spell checker, but that is currently not available for use in LC. If this feature becomes available for LC staff to use, instructions will be provided.

M7.5.2 Setting Validator Options

Clicking “Options” on the Record Validator window’s menu bar opens the Options dialog box.



Leave “path to configuration” settings as they are. They are pre-set and protected from your changing them.

If you need to change the level of validation, click “**Limited** validation ...” or “**Full** validation ...” (see M7.3.5) so that it is *checked*.

Input your name, initials, staff ID, or other identification so that it appears on any printouts that you use Validator to make.

Disregard the check box at lower left, which corresponds to a feature that LC does not use. (When *checked*, the box displays “I produce end-stage labels” and the results window (see M7.5.4.1) after validating a **holdings** record has a “Label” button. When *not checked*, the box displays “I do not produce end labels” and “Holdings validation” results windows do **not** include “Label.” Clicking this option box or “Label” neither performs any function nor does any harm.)

Click "Save" to store your choices or "Cancel" if there are no changes to save or you do not want to store changes that you made.

M7.5.3

Applying Validator

Preparation: Before applying Validator to a record, confirm that:

- a) A cataloging module session is open and is the active window.
- b) The record to be validated is displayed in the cataloging session window and its main display is “on top,” that is, no Leader, 008, etc., box for the record is also open. (Validator tries to check the active, top-most “box” and cannot operate if that is not a bibliographic, holdings, or authority record.)

Apply Validator to a record by any of the following methods:

Mouse click: (a) Start Validator by any of the methods in M7.5.1 (or make it the active window if it is already open). (b) Click “Validate record” in the Record Validator window.

Keystroke: (a) Start Validator or make it the active window (as described above). (b) Input “Alt + v.”

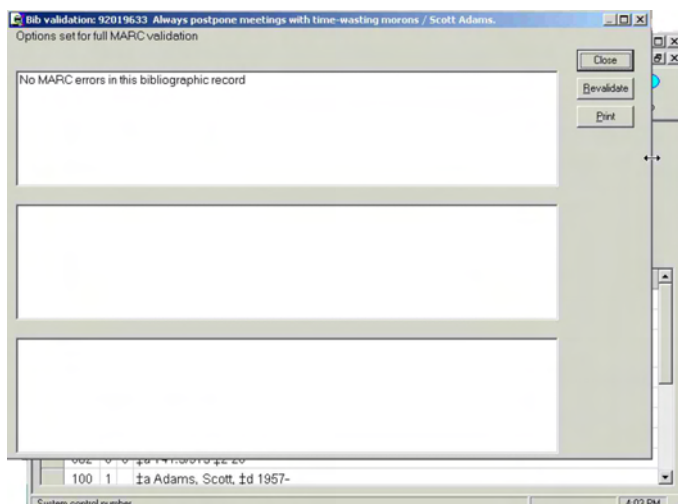
Macro: Input “Ctrl + Left arrow” to activate a macro that starts and applies Validator. *Note:* This does not require starting Validator first in a separate step, but also works if Validator is already open.

M7.5.4 Interpreting And Acting On Validator Results

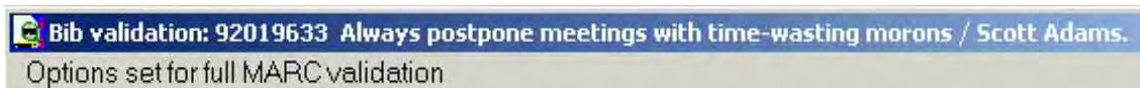
Validator displays a response whether applying it discovers errors or not, either in a “validation results” window (see M7.5.4.1) or in a box with a system error message (see M7.5.4.2).

M7.5.4.1 “Validation results” window

Most times, applying Validator produces a “validation results” window as the active window on the desktop, with the cataloging session window in the background.



The title bar reflects what kind of record was validated.



If you want to make a record printout that includes Validator results, click “Print” in the “validation results” window.

See M7.5.2 concerning the inactive “Label” button that may appear on “Holdings validation” results windows.

“Validation results” windows present reports in one or more of three vertically arranged windows, corresponding to severity levels of error messages.

Top window: If Validator found no errors to report, “No MARC errors in this ... record” appears in the **top** window. Close the results window and continue working.

Other messages that appear in the **top** window are generally about **errors that must be fixed** and should not be disregarded. Correct those errors when identified, as instructed below. *Exception:* Some messages identify obsolete MARC values, for example, “Second indicator (0) in 710 field obsolete for records created after 1993 ... “ **Correct** out of date MARC values with current ones in records **new** to the LC ILS database (original, copycat, etc.); but making those corrections is **optional** in **older** LC ILS database records (which were probably correct when cataloged).

Bottom window: Messages that appear in the **bottom** window are about **errors that must be corrected before cataloging is completed**, but may be fixed or left unfixed at stages before that. (When in doubt about whether you should correct errors or leave them for a later stage, correct them yourself.)

Middle window: Messages that appear in the **middle** window are about suspicious **circumstances that may be errors and must be evaluated**. Often these **are** errors and corrections are necessary; but sometimes they are not and require no action. Give all messages in the middle window appropriate evaluation to determine whether they require corrections or should be disregarded. When these turn out to be errors, **correct** them in records **new** to the LC ILS database (original, copycat, etc.); but do so in **older** LC ILS database records **only** when you can correct the error **easily**, not when you would have to retrieve items, research former policies, etc.

Correcting errors: Do the following when correcting errors that Validator identifies.

- 1) Make modifications in the record to correct the reported problems. (You **can** do this in the validated copy of the record, without having to return to the “master” database record, as described below.)
- 2) **Save the modified record** to the database (that is, “boat” it) before revalidating.
- 3) Click “Revalidate” in the “validation results” window (or apply Validator again by any other method).
- 4) If the response still reports errors, repeat the process.

- 5) When you have resolved all messages as necessary, close the results window and continue working.

Returning to the “master” record: If, after you resolve any errors and close the “validation results” window, your next task is to create or edit holdings or item records linked to the validated record, save (“boat”) the record again. That returns you to the “master” database record (which can have linked holdings and item records) from the copy that Validator used (which cannot).

M7.5.4.2

Validation system error message box

Sometimes, when error situations prevent Validator from operating, the system response is a Validator box with a message reporting the non-function. Take actions to remedy the error situation according to the message and any instructions in it.



For example, the preceding message is the result of applying Validator to a record with a Leader, 008, etc., box (not the main record display) “on top” in the cataloging session window. Resolve the system error by closing the Leader, 008, etc., box before re-applying Validator, as the message box instructs.

After taking remedial actions, apply Validator again by one of the methods in M7.5.3.

M7.6

APPENDIX 4: TROUBLESHOOTING SPECIFIC PROBLEMS

If you have questions about Validator messages (for example, what conditions they identify or what action you should take), consult with David Reser in CPSO (dres@loc.gov). The following advice concerns some situations where explanation helps.

- 1) *Top-window messages about LCCN formatting in 010*, for example:

“010 ... length incorrect; must be 12 characters (including spaces)”
“Bad prefix length in 010 ... “ or ”Bad suffix length in 010 ... “

Check LCCNs in 010 \$a and \$z and make their formatting conform **exactly** to guidelines in DCM C3, not just the numbers but required **blank spaces** preceding or following the numbers, too. Pay attention to formatting differences between LCCNs with two-digit year portions (see DCM C3.2) and with four-digit years (see DCM C3.3). (*Note:* These are common errors that prevent record distribution and that Validator identifies easily!)

2) *Middle-window message about Leader/18 (descriptive cataloging form) code ‘i’*: “Cataloging Form (Leader/18) code ‘i’ is appropriate only to items cataloged by LC according to AACR1, Revised Chapter 6, Separately Published Monographs, 1974-1980”

This does not identify an error; regard it as an “alert message.” Pay attention (based on content) to whether the record is (a) LC cataloging from the time indicated in the message or (b) a resource record (for example, from a vendor), not LC cataloging. Then deal with the record accordingly.

3) *System error message*: “Can’t find any Voyager record with which to work”

This occurs sometimes when cataloging module service is interrupted and gets restarted but Validator remains open without restarting. Resolve the problem by closing Validator and restarting it, then applying it as usual. This also occurs when you apply Validator to a new record you have input or imported but not yet saved to the database. In those cases, save the record and then validate (see M7.3.4).

4) *System error message*: “Error creating MARC file for this record ... ”

This occurs when you try applying Validator to a record that is not in the active window on the desktop (for example, when the cataloging module window is minimized). Avoid the problem by applying Validator as instructed in M7.5.3. (*Note*: Other problems trigger the same message, but the error message enumerates those and suggests ways of resolving them.)

5) *System error messages mentioning “ActiveX Object” or “ValidItDII class”*

These are symptoms of a bad Validator installation. Consult with your division AOC to determine if reinstallation of Validator on your workstation is required.

6) *Very slow Validator operation*

This indicates high demand on your system resources. Try to improve conditions by closing all applications, restarting the workstation, and then opening only necessary programs.

7) *After applying Validator macro, system error message: “Cannot create MARC record” or absence of any Validator response*

These often result from timing problems, because the LC ILS is running slow or there is high demand on your system resources. Try the method described above for improving slow Validator operation.

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." Consult the information in the 670 field section of this DCM for guidance in adjusting the existing 670 and the addition of 670 fields relevant to the person being newly added to the NAR.

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.

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 different 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-leafs).

```

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

```

- (3) The specific location(s) of the information found (e.g., t.p., jkt., label, map recto) when the work cited is other than a standard reference source, (e.g., an encyclopedia or a bibliographic file). For numbered multipart items, include the volume number of the item with the specific location. 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)
```

- (5) When creating an undifferentiated NAR or converting a differentiated NAR to an undifferentiated one (i.e., 008/32=b), create a pair of 670 fields to group information about each individual covered by the NAR. The pair should consist of an "identifying" 670 field containing a descriptive term (e.g., the role the person played in the context of a particular work) and a "citation" 670 with the title of the particular work. All data in the identifying 670 should be in \$a and enclosed within square brackets. This 670 should be followed by one or more "citation" 670s, constructed according to normal practices, that relate to the "identifying" 670.

This pairing of identifying and citing 670 fields helps to provide a visual cue that the record represents an undifferentiated heading, and also assists in distinguishing individuals covered by the record should it become possible in the future to remove an individual to form a differentiated heading (e.g., if additional information becomes available).

```
1001#$a Smith, Arnold
670##$a [Author of A book of dreams]
670##$a A book of dreams, 1996: $b t.p. (Arnold Smith)
670##$a [Author of Coaching high school basketball]
670##$a Coaching high school basketball, 2005: $b t.p.
    (Arnold Smith)
670##$a [Director of High school confidential]
670##$a High school confidential, 1965: $b credits (directed
    by Arnold Smith)
```

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 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

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

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

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])
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)

670 \$a GEOnet, July 7, 1992 \$b (Varese [short form] Provincia di; ADM2, 45⁴⁸'N 8⁴⁸'E)

or 670 \$a BGN \$b (Varese [short form], Provincia di; PROV, 45⁴⁸'N 8⁴⁸'E)

670 \$a GEOnet, Apr. 31, 1996 \$b (Geneva [conventional]; Genève [native], PPL, 46¹²'N 6¹⁰'E; variants: Ginevra, Genf)

or 670 \$a BGN \$b (Genève [French], Geneva [conventional]; POPL, 46¹²'N 6¹⁰'E)

670 \$a GEOnet, Sept. 28, 2001 \$b (Cambridgeshire [short form = Cambridge]; ADM1, 52¹²'N 0⁰⁷'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.

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/>))

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 (_____)