DCM	Title	Action/Change
B17.2.1	Copy-Specific Data Elements: General and Rare Book Cataloging	Changed reference from DCRB (*Descriptive Cataloging of Rare Books*) to DCRM(B) (*Descriptive Cataloging of Rare Materials (Books)*).
C16.10.2.3	The LC Local Bibliographic Record and Local Data Fields: Concise Version	Added codes for serials to be used in the new statistics gathering program being developed (Stats-O-Matic).
Z1	Contents	Deleted Appendix 2 – Canadian Headings; information has been move to section 1XX and Appendix for LC Catalogers as appropriate.
	1XX	Incorporated guidelines for verification of Canadian Headings.
	Appendix for LC Catalogers Section for Technical Report Monographic Series	Revised to delete information with regard to adding an LCCN in field 010. Revised to add section on LAC name authority record adapt procedures for LC catalogers.
LC Supplement to the MARC 21 Format for Authority Data	008/10	Updated to reflect that code "d" is no longer valid for newly created NARs (i.e., all NARs newly created for the LC/NAF must be coded AACR2 value "c" in the 008).

Copy-Specific Data Elements: General and Rare Book Cataloging

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B17.1   COPY-SPECIFIC INFORMATION

B17.1.1   General

            This DCM provides guidelines for the treatment of copy-specific information under the LC ILS, gives the rationale behind the guidelines, and provides additional information in an attempt to state comprehensively in one place the copy-specific conventions applicable to general and rare book cataloging. Conventions applicable to rare book cataloging are specifically identified as such.

B17.1.2   Basic Guidelines For Recording Copy-Specific Information

            Record copy-specific information in 5XX fields in the bibliographic record (BR) or in subfield $c of an 051 field according to the following guidelines. All notes in 5XX fields in the BR implicitly apply to the copy under the call number in field 050 (the first 050 if there is more than one).

            Use field 051 (Library of Congress Copy, Issue, Offprint Statement) to:

1)   record the existence of another copy under a different call number from that in field 050; if that copy requires copy-specific information, provide it in 051 subfield $c (Copy information);

2)   record copy-specific information in subfield $c about another copy under the 050 call number.

            In the very special cases of multiple 050 fields, information pertaining to a copy represented by a second or subsequent 050 field may be recorded in a 5XX field, specifying the call number of the copy to which the information pertains, e.g., "LC copy under [call number of second or subsequent 050 field] has ..."

B17.1.3   Rationale

            The rationale for the guidelines in B17.1.2 is as follows:

1)   it is a long-standing LC practice that notes in the BR apply implicitly to the copy under the call number in field 050;

2)   it is accepted practice in the rare book community to make copy-specific information available to researchers and other libraries;

3)   although holdings records are candidates for stating copy-specific information, they are currently not distributed; alternatively, field 051 is distributed and subfield $c is defined in the *MARC 21 Bibliographic Format* for "copy information";

4)   currently, field 051 is the only vehicle available for making known the existence of any other copy or manifestation held under a call number/shelf number different from that of the one in field 050.

B17.2   5XX VARIABLE FIELDS (NOTES)

B17.2.1 Order Of 5XX Fields

| The order of notes is that indicated in AACR2 and DCRM (B), in so far as notes can beM related to the categories stated in the rules. For purposes of order, treat notes relating to provenance and source (rare book cataloging) as relating to AACR2 rule 1.7B20 (Copy being described, library's
| holdings, and restrictions on use) or its DCRM(B) counterpart 7B19. The following model illustrates some aspects of the order of notes:

> 5XX [edition-specific notes according to the order indicated in AACR2, including edition-specific limited edition statements; for rare book cataloging, note the placement of a "Reference to published descriptions" note (rule 1.7B15; field 510) within edition-specific notes]
>
> 5XX [copy-specific notes; when appropriate, combine two or more notes to make one note; however, give a particular note first when that note is judged of primary importance]
>
> 5XX [copy-specific notes, including the LC copy number of an item in a limited edition, imperfections of an LC copy, statements indicating that the LC copy of a loose-leaf publication is not updated]
>
> 561 [provenance (rare book cataloging); added if readily ascertainable]
>
> 501 [copy-specific "With" note]

B17.2.2 Data Conventions For Copy-Specific Notes (500 Field)

B17.2.2.1 *General*

Routinely make notes on any special features or imperfections of the copy being described. Carefully distinguish between such copy-specific notes and other kinds of notes that record information valid for all copies of an edition. Introduce copy-specific notes with the phrase "LC copy ..." or "LC set ..." or "LC has ..." as appropriate. Formulate the note according to current cataloging conventions, including those for ending punctuation. Add the *MARC Code List for Organizations* (MCLO) code for LC (DLC) in subfield $5 at the end of the field without any ending punctuation. Do not make such notes for serials.

```
500 ## $a LC copy imperfect: all after leaf 44 wanting. $5
         DLC
500 ## $a LC set incomplete: v. 12 wanting. $5 DLC
500 ## $a LC set lacks slides 7-9. $5 DLC
500 ## $a LC has v. 1, 3-5, and 7 only. $5 DLC
500 ## $a LC has no. 20, signed by author. $5 DLC
500 ## $a LC has no. 145. $5 DLC
500 ## $a LC copy not updated. $5 DLC
         (Loose-leaf publication)
```

B17.2.2.2 *Provenance/Source (rare book cataloging)*

B17.2.2.2.1   General

          Make notes on the donor or source of an item or collection and on previous owners **if readily ascertainable**. If readily ascertainable, add the year or years of accession to the name of the donor or source, and add the years of ownership to the name of a previous owner. Make these notes as set out in the following guidelines.

B17.2.2.2.2   Provenance (561 Field)

          Use this field to provide information about the provenance of the item or collection being cataloged. For simplicity's sake, consider immediate source of acquisition data (usually recorded in field 541 for certain other materials) to be provenance data.

          Make a note concerning the history of the custody of the item or collection. If known, add the year or years of ownership to the name of a previous owner.

```
561 ## $a Originally collected by William Duane.
        Purchased by Peter Force at the sale of Duane's
        library in March 23, 1836. $5 DLC
```

          If known, record how the item or collection was acquired (e.g., gift, purchase, deposit, transfer) and the donor or source (i.e., the immediate prior custodian). Follow the status statement with the source and date of acquisition. If necessary, indicate the donor's relationship to the item or collection. Add the year or years of accession and the accession number, if known, to the name of the donor or source.

```
561 ## $a Purchase of Peter Force Library, 1867. $5
         DLC
561 ## $a Gift of Joe Smith, 1902-1940. $5 DLC
561 ## $a Exchange with Serendipity Books, Jan. 31,
         1986. $5 DLC
```

          Record all information in a single note organized to present the information intelligibly appropriate to the particular item or collection being cataloged.

B17.2.2.2.3   Source (541 Field)

          Do not use this field. Instead, provide information about source in field 561.

B17.2.2.3   Copy-specific "With" note (general/rare book cataloging)

          In general, use field 501 with subfield $5. See LCRI 1.7B21 for complete guidelines.

```
501 ## $a With: Bowles, John.  A catalogue for the year
        MDCCLXVIII of useful and correct maps ... [London
        : John Bowles, 1768?] Bound together subsequent to
        publication. $5 DLC
```

B17.3   SUBJECT ADDED ENTRIES (6XX VARIABLE FIELDS)

B17.3.1   Order Of 6XX Fields

Use the following order:

6XX (600-651)	[general subject added entries]
653	[index term--uncontrolled; unlikely to occur in full/core record; designed for use in MLC cataloging; given here to show order]
655	[index term--genre/form]

B17.3.2   Field 655 (Rare Book Cataloging)

Assign one or more genre or form term added entries according to the guidelines of the collection processing plan.

B17.4   ADDED ENTRIES (7XX VARIABLE FIELDS)

B17.4.1   Order Of 7XX Fields

In general, give added entries in the order stated in LCRI 21.29, giving edition-specific added entries first followed by copy-specific added entries. These guidelines are illustrated as follows:

7XX (700-740)   General added entries; within this group, give any added entries with relators (subfield $e) in the order stated in LCRI 21.29, preceding any name/title added entries in those categories in which name/title added entries are appropriate; give copy-specific added entries in the same order, following any edition-specific added entries of the same type:

700	[personal name]
700	[personal name/relator (edition-specific)]
700	[personal name/relator (copy-specific)]
700	[personal name/title (edition-specific)]
700	[personal name/title (copy-specific)]
710	[corporate name]
710	[corporate name/relator (edition-specific)]
710	[corporate name/relator (copy-specific)]
710	[corporate name/title (edition-specific)]
710	[corporate name/title (copy-specific)]
711	[meeting name]
711	[meeting name/relator (edition-specific)]
711	[meeting name/relator (copy-specific)]
711	[meeting name/title (edition-specific)]
711	[meeting name/title (copy-specific)]
730	[uniform title (all edition-specific followed by all copy-specific]

740   [all edition-specific followed by all copy-specific]

752   [hierarchical place name added entry] (rare book cataloging)

B17.4.2   Copy-Specific Added Entries For Rare Book Cataloging

B17.4.2.1   Fields 700-740

Provide copy-specific added entries according to the guidelines of the collection processing plan.

B17.4.2.1.1   Subfield $5

When using subfield $5 in added entries:

1)   formulate the added entry according to current conventions, including those for ending punctuation;
2)   add the MCLO code for LC (DLC) in subfield $5 at the end of the field without any ending punctuation.

```
700 1# $a Jefferson, Thomas, $d 1743-1790, $e former
        owner. $5 DLC
```

B17.4.2.1.2   Subfield $e

Apply according to the guidelines of the collection processing plan. The relator terms used in this subfield are those found in Part 1: Relator Codes of *MARC Code Lists for Relators, Sources, Description Conventions*.

Local Data Fields and Other Elements in the LC Local Bibliographic Record for Monographs and Integrating Resources

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C16.1   GENERAL
          These guidelines apply primarily to LC monograph and integrating resource
bibliographic records.

          See the following sources for information on specific data elements and local
fields used in LC serial bibliographic records:

          1) CONSER Editing Guide, Section E;
          2) *Serial Record Manual* M2.2, LC Local Fields Used in Serial Bibliographic
              Records (http://www.loc.gov/staff/srd/SRM-M2[1].020204.pdf).

          Note: These symbols conventionally represent here the following values in MARC
21 content designation:

          # = blank space
          $ = subfield delimiter

C16.2   ORDER OF VARIABLE DATA FIELDS

Order of Variable Fields in LC ILS Bibliographic records		
906	**Local Processing Data**	
925	**Local Selection Decision**	
955	**Local Tracking information**	
The correct sort order for all other variable fields – <u>except 906, 925, and 955</u> – is by "century block" (i.e., by the first number in the tag: all 1XX come before all 2XX, etc.)		
0XX (**010, 040**, etc.)	Numbers and codes	In tag number order [0XX fields on records imported from OCLC are not necessarily in strict tag number order. Staff may – **but are not required to** – resequence this block of fields.]
1XX	Main Entry field	
2XX (**240, 245**, etc.)	Titles, edition, imprint, etc.	In tag number order
3XX	Extent, etc.	In tag number order
4XX	Series statement	Fields 4xx-8xx accepted ⇓ in order input ⇓ [keep 4XX together, keep 5XX together, etc.]
5XX	Note fields	
6XX	Subject access fields	
7XX	Added entry fields	**(See appropriate documentation, e.g., AACR2, LCRIs, DCMs, etc. for specific order)**
8XX	Series added entry fields	
Other 9XX (**952, 984**, etc.)	Local fields	In tag number order **(except 906, 925, 955, which go *first* – see above)**

Follow the preceding guidelines when creating or deriving a new bibliographic record in the LC database. Also follow them when importing records one at a time; in those cases, move fields 906, 925, and 955 to the beginning of the record, as necessary.

Accept variations in field order that result from batch loading processes rather than retrieve batch loaded records individually only to move fields. See DCM B13.11 for other instructions in the context of LC copy cataloging.

C16.3   LOCAL VARIABLE DATA FIELDS–GENERAL INFORMATION

When using an existing bibliographic record to derive a new record for another resource, delete any local data fields that came from the source copy, as necessary. Input or retain only those local fields needed for the resource that the new record represents.

When importing records one at a time, assess the result of each record merger: see whether the loading process inserted duplicate local fields or inappropriate ones or failed to provide ones that are needed; take corrective action, as necessary. (See other guidelines in DCM B13.11 for handling mergers resulting from use of the Z-Processor, etc.)

Accept duplicate local fields and similar imperfections that result from batch loading processes, rather than retrieve and evaluate batch loaded records individually.

Note: Some local fields and practices described here have no current use by LC monograph and integrating resource catalogers. These guidelines identify them to clarify their presence in LC database records that catalogers will encounter, but this does not authorize their further use.

C16.4   249 FIELD: LOCAL VARYING FORM OF TITLE (R) *[Limited use]*

C16.4.1   Content Designation Summary

Local field 249 has the same indicators and subfields as defined for field 246 in *MARC 21 Format for Bibliographic Data*. LC uses only the following *indicator* values:

> *First Indicator – Note Controller/Title Added Entry*
>   **0** : Note, no title added entry [Only value used]

> *Second Indicator – Type of Title*
>   **#** : No information provided [Only value used]

C16.4.2   General Description and Instructions

Field 249 contains a title needed *locally* at LC as an access point.

Monograph and integrating resource catalogers: Generally do not input 249 fields in new records and do not change or delete 249 fields found in existing records.

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C16.5   590 FIELD: LOCAL NOTE (R)

C16.5.1   **Content Designation Summary**
First and Second Indicators
    # : Undefined

Subfields
    a : Text of note (NR)

C16.5.2   **General Description and Instructions**
LC local holdings of multiparts: Input a 590 field (or update an existing one) with information about LC's local holdings when the record used for *copy cataloging* a multipart item has a contents note including parts that are not held in LC (see DCM B13.7.2).

```
590 ## $a  LC has: pts. 1-2, 4-7 only.
              (Contents note in 505 lists titles of parts 1-7.)
```

LC local binding practice: Record details of LC's local binding practice in field 590 when LC divides a very thick and heavy volume into parts before binding (see DCM C6).

```
590 ## $a  LC copy bound in 2 v.: v. 1, p. 1-1322; v. 2, p.
              1323-2695.
```

There are records in the LC database with other, discontinued uses of field 590. Generally leave those as found but do not imitate them.

> More information is available in the full official DCM C16 on the CPSO staff home page.

C16.6   591 FIELD: LOCAL "WITH" NOTE (R) *[No active use]*

C16.6.1   **Content Designation Summary**
First and Second Indicators
    # : Undefined

Subfields
    a : Text of note (NR)

C16.6.2   **General Description and Instructions**
Field 591, defined for local information notes when LC had two or more different resources *locally* bound together or combined on the same microfilm reel, has no active uses currently in LC bibliographic records. Do not input 591 fields in new records. Generally do not change or delete 591 fields found in existing records.

> More information is available in the full official DCM C16 on the CPSO staff home page.

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C16.7   592 FIELD: LOCAL ACQUISITION NOTE (R)

C16.7.1   **Content Designation Summary**
First and Second Indicators
    # : Undefined

Subfields
    a : Text of note (NR)

C16.7.2   **General Description and Instructions**
    Field 592 contains notes with LC local acquisition information or handling instructions. Newer records created in the LC ILS generally use notes in the acquisitions module instead, but acquisitions units still input 592 field notes for some purposes.

```
592 ## $a Send loose-leaf replacement pages called "Code cases,
          nuclear components" and "Code cases, boilers and
          pressure vessels" unchecked to ST&B.
592 ## $a order cancelled; Blackwell's reports this title
          discontinued.
```

C16.8   859 FIELD: LOCAL ELECTRONIC LOCATION AND ACCESS (R)
    [Implementation in process]

C16.8.1   **Content Designation Summary**
    Local field 859 has the same indicators and subfields as defined for field 856 in *MARC 21 Format for Bibliographic Data*.

C16.8.2   **General Description and Instructions**
    Field 859 contains electronic location information for a resource that is not necessarily accessible from LC. It records the same information as MARC 21 field 856, but does not display electronic location information or create a Web link in the LC OPAC.

    Conversion programs for LC CONSER serial bibliographic records and cataloging procedures for some Web resources initiated by LC use 859 fields.

```
859 41 $u http://www.aihw.gov.au/publications/hwe/npher98-99/
859 ## $3 The United States, Spain, and the American Frontier:
          Historias Paralelas. Selections from the Library of
          Congress Geography and Map Division $u
          http://hdl.loc.gov/loc.hisp/esphtml.0004 $q u
```

More information is available in the full official DCM C16 on the CPSO staff home page.

C16.9   890 FIELD: LC VISIBLE FILE ENTRY (R) *[Limited use]*

C16.9.1   Content Designation Summary
First and Second Indicators
     # : Undefined

Subfields
     a : Visible file entry (NR)
     i : Control number (R)

C16.9.2   General Description and Instructions
          Field 890 contains a visible file entry formerly used in LC's manual Serial Record. Field 890 appears in a monograph or integrating resource record when there was a pre-ILS serial check-in record for it, such as for updating loose-leafs.

```
890 ## $a  Labor law reporter ... $i 66-1961
```

          LC monograph and integrating resource catalogers: Do not input 890 fields in records. Generally do not change or delete 890 fields found in existing records.

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C16.10   906 FIELD: LOCAL PROCESSING DATA (NR) *[High use]*

C16.10.1   **General**

C16.10.1.1   *Content designation summary*
First and Second Indicators
   # : Undefined

Subfields
   a : Distribution controller (NR)
   b : Local record completion state (NR)
   c : Local processing workflow (NR)
   d : Priority (NR)
   e : CIP/PCN flag (NR)
   f : Century flag (NR)
   g : Stakeholder code (NR)

C16.10.1.2   *General description and instructions*
Field 906 contains data supporting management of bibliographic control and processing of bibliographic records at LC.

```
906 ## $a  0 $b ibc $c orignew $d 2 $e epcn $f 20 $g y-gencatlg
906 ## $a  7 $b cbc $c copycat $d 2 $e ncip $f 20 $g y-genmusic
906 ## $a  0 $b acq $c acqwork $d u $e ncip $f 20 $g z-acqworks
```

C16.10.2   **Subfields**

C16.10.2.1   *$a Distribution controller (NR)*
Subfield $a contains a code that controls whether the Cataloging Distribution Service distributes the record outside LC or not. Codes include the following:

   0 : Do Not Distribute Record
   7 : Distribute Record
   p : Never Distribute Record

More information is available in the full official DCM C16 on the CPSO staff home page.

C16.10.2.2   *$b Local record completion state (NR)*
Subfield $b contains a code that indicates the state of the record with respect to whether its cataloging has been completed or not. Alternatively, it identifies some records created in support of a function other than cataloging. Codes include the following:

   acq : Acquisition Support Record
   acc : Accession Record
   bbc : Basic Bibliographic Control *(Serials only)*

   cbc : Completed Bibliographic Control

cbu : Completed Bibliographic Control (Unverified)
cir : Circulation Support Record
ibc : Initial Bibliographic Control
par : Partial Bibliographic Control *(Serials only)*
rip : Revised CIP Cataloging/Revised CIP Data
rix : Revised CIP Cataloging/No Revised CIP Data
vip : CIP Verification in Process
und : Undetermined

More information is available in the full official DCM C16 on the CPSO staff home page.

C16.10.2.3   *$c Local processing workflow (NR)*

Subfield $c contains a code that indicates the "cataloging stream" in which the record was created or a subgroup that Stats-O-Matic needs to count for statistics. Codes include the following:

acqwork : Acquisition Processing Stream
copycat : LC Copy Cataloging Stream
gpocoop : GPO Cooperative Cataloging Stream *(Obsolete)*
muzenew : Compact Disc Workflow
nccpada : NCCP Adapt
nccpuna : NCCP Unadapt
nucmaps : NUC Maps Stream
oclcrpl : OCLC Replacement Record
origcop : LC Copied from LC
orignew : LC Original Cataloging
origode : LC Original ODE Cataloging
origres : LC Original Resource-File-Based Cataloging
pccadap : PCC Adapted Cataloging
pccunad : PCC Unadapted Cataloging
premunv : PREMARC Unverified Record
premver : PREMARC Verified Record
serasst : Non-CONSER Copy (began to be used with Stats-O-Matic)
sercoop : CONSER Copy (began to be used with Stats-O-Matic)
serials : Serial Bibliographic Record (used before Stats-O-Matic; after Stats-O-Matic implementation, used if no other serial code applies)
serissn : ISSN Record Created/serial not selected or not yet selected by LC (began to be used with Stats-O-Matic)
serorig : Originally Cataloged Serial (began to be used with Stats-O-Matic)
serlocs : SERLOC Serial Control Record
serprem : PREMARC Serial Record
srrepla : Sound Recording Replacement

undeter :   Undetermined

More information is available in the full official DCM C16 on the CPSO staff home page.

C16.10.2.4   *$d Priority (NR)*
                    Subfield $d contains the priority assigned to the processing of the
resource. Codes include the following:

                    1 : Priority 1
                    2 : Priority 2
                    3 : Priority 3
                    4 : Priority 4
                    5 : Priority 5 *(No longer assigned)*
                    u : Undetermined

C16.10.2.5   *$e CIP/PCN flag (NR)*
                    Subfield $e contains a code indicating whether LC's Cataloging in
Publication (CIP) or Preassigned Card Number (PCN) programs created the record. Codes include
the following:

                    ecip : Originally an electronic CIP record
                    epcn : Originally an electronic PCN record
                    ncip : Not originally either a CIP or PCN record
                    ocip : Originally a CIP record
                    opcn : Originally a PCN record
                    unde : Undetermined

C16.10.2.6   *$f Century flag (NR)*
                    Subfield $f contains a code indicating the century of the year
portion of the LCCN that appears in field 010, subfield $a, of the record. This resolves ambiguity
in LCCNs with two digits in the year portion of the number. Always include subfield $f in field
906, even when the LCCN has a four-digit year portion. Codes include the following:

                    18 : 1800-1899
                    19 : 1900-1999
                    20 : 2000-2099

C16.10.2.7   *$g Stakeholder code (NR)*

C16.10.2.7.1   **General**
                    Subfield $g contains a two-part code consisting of a one-
letter maintenance prefix separated by a hyphen from an eight-letter stakeholder code.

More information is available in the full official DCM C16 on the CPSO staff home page.

C16.10.2.7.2   **Maintenance prefixes**

The maintenance prefix indicates whether or not to do maintenance of the record completely within the LC ILS system; this depends on where the "master" bibliographic record resides. Prefixes include the following:

n- : This prefix indicates staff do not do maintenance completely within the LC ILS, usually because the "master" record is in OCLC (for example, LC CONSER serials) or in RLIN 21 (for example, LC JACKPHY language resources) and staff do maintenance in those systems.

y- : This prefix indicates staff do maintenance completely within the LC ILS according to established guidelines.

z- : This prefix indicates cataloging staff do not do maintenance, because the record supports a function other than cataloging (for example, acquisitions).

More information is available in the full official DCM C16 on the CPSO staff home page.

C16.10.2.7.3　　　　　**Complete Stakeholder Codes**
The eight-letter stakeholder code indicates the service area that has main responsibility for the bibliographic record. Combinations of maintenance prefixes and stakeholder codes currently authorized for use include the following:

ilsserca :	See **z-ilsserca**
n-geogmaps :	Geography and Map Division, LC Local *(Obsolete)*
n-oclcserc :	Serial Record Division, LC CONSER
n-rlinjack :	Bibliographic Access Divisions, JACKPHY Record Maintained in RLIN 21
n-undeterm :	Stakeholder Undetermined, No Regular Maintenance
y-folklife :	American Folklife Center
y-gencatlg :	Bibliographic Access Divisions, General Cataloging
y-gencompf :	Bibliographic Access Divisions, Computer Files/Microforms Team
y-genmicro :	Bibliographic Access Divisions, Computer Files/Microforms Team
y-genmusic :	Bibliographic Access Divisions, Music Teams
y-genrareb :	Bibliographic Access Divisions, Rare Book Team
y-geogmaps :	Geography and Map Division
y-ilsjacph :	Bibliographic Access Divisions, JACKPHY (Record Maintained in LC ILS)

y-ilsserca :	Serial Record Division, LC Non-CONSER (Record NOT Created/Maintained in OCLC, but Subject to Regular Maintenance)
y-manuscri :	Manuscript Division
y-movingim :	MBRS Moving Image
y-printpho :	Prints and Photographs Division
y-soundrec :	MBRS Recorded Sound
y-undeterm :	Stakeholder Interest Undetermined, Regular Maintenance
z-acqworks :	Acquisitions Directorate
z-cadworks :	Copyright Acquisitions Division (CAD)
z-ilsserca :	Serial Record Division, LC Local Serials Acquisition Control (Record NOT Subject to Regular Maintenance)
z-noregmai :	No Regular Maintenance

More information is available in the full official DCM C16 on the CPSO staff home page.

C16.11   920 FIELD: LOCAL SELECTION DECISION (NR) *[No active use]*

C16.11.1   **Content Designation Summary**
First and Second Indicators
    # : Undefined

Subfields
    a : Selection decision (R)

C16.11.2   **General Description and Instructions**
          Field 920 has no active uses now in LC bibliographic records. In the past, LC used 920 fields for selection information. Input selection information in 925 fields in new records. Generally do not change or delete 920 fields found in existing records. Do not do maintenance in 920 fields; instead, record new or changed selection information in field 925. Generally do not create a new 925 field for the same selection decision as in a 920 field that is already present in the record.

More information is available in the full official DCM C16 on the CPSO staff home page.

C16.12   922 FIELD: LOCAL BOOK SOURCE (NR) *[No active use]*

C16.12.1   **Content Designation Summary**
First and Second Indicators
     # : Undefined

Subfields
     a : Book source acquisition information (R)

C16.12.2   **General Description and Instructions**
          Field 922 has no active uses currently in LC bibliographic records. In the past, LC used field 922 for a code indicating source of material. Do not input new 922 fields. Generally do not change or delete 922 fields found in existing records.

More information is available in the full official DCM C16 on the CPSO staff home page.

C16.13   923 FIELD: LOCAL SUPPLIER INVOICE OR SHIPMENT ID (R)

C16.13.1   **Content Designation Summary**
First and Second Indicators
     # : Undefined

Subfields
     a : Additional information (R)
     d : Formatted date (NR)
     n : Shipment/invoice number (NR)
     s : Supplier (NR)

C16.13.2   **General Description and Instructions**
          Field 923 contains local shipment and invoice information. Generally LC cataloging staff are not involved with inputting 923 fields. Do not change or delete 923 fields found in existing records.

More information is available in the full official DCM C16 on the CPSO staff home page.

C16.14   925 FIELD: LOCAL SELECTION DECISION (R) *[High use]*

C16.14.1   **General**

C16.14.1.1   *Content designation summary*
First Indicator–Current Decision
    0 : Current decision
    1 : Former decision

Second Indicator
    # : Undefined

Subfields
    a : Selection decision for LC (NR)
    b : Number of shelf copies/sets desired (NR)
    c : Acquisition conditions (NR)
    d : Disposition of unwanted material with outside agency (R)
    e : Comment related to selection decision (R)
    h : Custodial division (R) *(Only in Copyright records)*
    x : Responsibility for selection decision (NR)
    y : Office copy request (R)
    z : Reference assignment request (R)

C16.14.1.2   *General description and instructions*
    Field 925 contains information related to the selection of the
resource for LC use. This field is mandatory in new bibliographic records that represent
published resources, but not in those for resources that are unique, such as manuscripts and rare
books.

    More information is available in the full official DCM C16 on the CPSO staff home page.

C16.14.2   **Subfields**

C16.14.2.1   *$a Selection decision for LC (NR)*
    Subfield $a contains a standard statement of the decision to retain
the resource or not in LC. It is mandatory in all 925 fields. Standard statements include the
following:

acquire :	LC retains shelf copies of the resource.
do not acquire :	LC does not retain shelf copies of the resource.
undetermined :	LC has not received the resource and it is not possible to make a decision prior to receipt.

```
925 0# $a  acquire $b 2 shelf copies $x policy default
925 0# $a  do not acquire $d NLM $x Sel Off
925 0# $a  undetermined $x ers beonline+
```

More information is available in the full official DCM C16 on the CPSO staff home page.

C16.14.2.2   *$b Number of shelf copies/sets desired (NR)*
Subfield $b contains a statement of the number of copies of the
resource LC has decided to retain. It is mandatory when subfield $a has an "acquire" decision
and is absent when subfield $a has "do not acquire" or "undetermined." The statement is in the
form shown in the following examples:

```
925 0# $a  acquire $b 1 shelf copy ...
925 0# $a  acquire $b 2 shelf copies ...
925 0# $a  acquire $b 3 shelf copies ...
           etc.
```

More information is available in the full official DCM C16 on the CPSO staff home page.

C16.14.2.3   *$c Acquisition conditions (NR)*
Subfield $c contains a statement of any conditions on how a
resource may be acquired.

```
925 0# $a  acquire $b 1 shelf copy $c if unable to acquire via
           copyright, then purchase ...
925 0# $a  acquire $b 2 shelf copies $c Copy 2 reported missing in
           inventory 04-15-1998; do not replace by purchase per
           HSS (ejj) ...
```

C16.14.2.4   *$d Disposition of unwanted material with outside agency (R)*
Subfield $d contains an identification of an agency outside LC to
which resources not wanted in LC are to be sent.

```
925 0# $a  do not acquire $d NAL ...
925 0# $a  do not acquire $d NLM ...
```

More information is available in the full official DCM C16 on the CPSO staff home page.

C16.14.2.5   *$e Comment related to selection decision (R)*
Subfield $e contains a note with information concerning the
selection decision that is not better recorded in another subfield of field 925.

```
925 0# $a  acquire $b 1 shelf copy $e changed from do not acquire,
           6-23-2004 ...
```

C16.14.2.6   *$x Responsibility for selection decision (NR)*
Subfield $x contains a statement of who is responsible for making
the selection decision recorded in subfield $a. Subfield $x is mandatory in all 925 fields. The
statement of who is responsible takes one of the following forms (preferably followed by a date):

"policy default" : if the decision is based on general LC policy and

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no selection officer made the decision actively

```
925 0# $a  acquire $b 2 shelf copies $x policy default
```

initials : if a selection or recommending officer made or changed a
decision

```
925 0# $a  acquire $b 1 shelf copy $x jpm 2005-02-14
925 0# $a  do not acquire $x sh98 2005-01-10
```

"Sel Off" : if a selection or recommending officer made or
changed a decision but the initials cannot be recorded for some
reason.

```
925 0# $a  acquire $b 1 shelf copy $x Sel Off 2003-08-21
925 0# $a  do not acquire $d NLM $x Sel Off
```

More information is available in the full official DCM C16 on the CPSO staff home page.

C16.14.2.7   *$y Office copy request (R)*
        Subfield $y contains a statement alerting staff to assign an extra
copy (beyond the number of shelf copies retained in LC, as recorded in subfield $b) to an LC
office unit that has requested one. Name the requesting unit and the requester in the statement
(preferably followed by a date).

```
925 0# $a  acquire $b 1 shelf copy $x LS 04-15-99 $y o-APLO,
           S.Hayduchok, 07-22-99
925 0# $a  acquire $b 1 shelf copy $x policy default $y o-RCCD,
           Crego $z r-AMED, Avdoyan
```

More information is available in the full official DCM C16 on the CPSO staff home page.

C16.14.2.8   *$z Reference assignment request (R)*
        Subfield $z contains a statement alerting staff to assign an extra copy
(beyond the number of shelf copies retained in LC, as recorded in subfield $b) to an LC reference
collection that has requested one. Name the requesting reference location and the requester in
the statement (preferably followed by a date).

```
925 0# $a  acquire $b 2 shelf copies $x policy default $z r-MRR
           BIOG, J. Robinson, 07-29-00
925 0# $a  acquire $b 1 shelf copy $x policy default $z jr
           20020328 reference copy for r-MRR
```

More information is available in the full official DCM C16 on the CPSO staff home page.

C16.15   952 FIELD: LOCAL CATALOGER'S PERMANENT NOTE (R)

C16.15.1   **Content Designation Summary**
First and Second Indicators
    # : Undefined

Subfields
    a : Cataloger's note (NR)

C16.15.2   **General Description and Instructions**
        Field 952 contains information primarily of interest to cataloging staff, often concerning sources consulted during cataloging or modifications that were made or should be made in an existing record. LC staff working in RLIN 21 input cataloger's notes in RLIN 21 field 902 (Local data element), which converts to field 952 in the LC ILS.

        See DCM B9 for instructions on using 952 fields and cataloger's permanent notes in LC bibliographic records. (CPSO will re-evaluate DCM B9 and C16.15 at a later date and consider combining them in the same document when LC issues a new series of cataloging documentation.)

C16.16   955 FIELD: LOCAL TRACKING INFORMATION (R) *[High use]*

C16.16.1   **General**

C16.16.1.1   *Content designation summary*
                              First and second indicators
                                 # :   Undefined

                              Subfields
                                 a : IBC processing/other forwarding or tracking information
                                     (R)
                                 b : *[Unused subfield]* (R)
                                 c : Descriptive cataloging tracking information (R)
                                 d : Subject cataloging tracking information (R)
                                 e : Shelflisting/end-stage processing tracking information (R)
                                 f : CIP verification tracking information (R)
                                 g : CIP verification end-stage processing tracking information
                                     (R)
                                 h : MLC tracking information (R)
                                 i : Whole item cataloging tracking information (R)
                                 j : ISSN pre-publication assignment tracking information (R)
                                     [Serial Record Div. only]
                                 k : ISSN post-publication assignment tracking information (R)
                                     [Serial Record Div. only]
                                 l : Holdings conversion and inventory tracking information
                                     (R) *[Serial Record Div. only]*
                                 m : Bibliographic record cancellation tracking information (R)
                                     [Serial Record Div. only]

C16.16.1.2   *General description and instructions*
                              LC staff input *charge statements* in field 955 (see C16.16.1.3) in
order to record tracking information of two kinds:

                              1) locations of items that are in process (see C16.16.2);
                              2) completion of specific functional aspects of the cataloging
                                  process (see C16.16.5)

                              For the latter, field 955 has separate subfields $c-$m defined for
different stages of the cataloging workflow that have been completed (see C16.16.6 in the full
official DCM C16). Acquisitions and Bibliographic Access Directorate (ABA) managers derive
statistical reports from data in those subfields. Units outside ABA, especially those with
incompatible workflows, do not use these functional aspect tracking subfields.

                              Although field 955 is repeatable, use one 955 field for main
tracking information in a record. Input additional, temporary 955 fields for special added copy
and added volume forwarding procedures (see C16.16.3 and C16.16.4).

C16.16.1.3   *Field 955 charge statements*
In each 955 charge statement, input the following mandatory elements in the following order:

> 1) a four-character alpha/numeric staff or team code;
> 2) the date in the form **yyyy-mm-dd**.

Following those, when appropriate, also input:

> 3) forwarding or action information, usually about where the item was sent and why it was sent there.

```
... jg00 2004-01-14 ...
     (Code with "00" indicates a team rather than an individual)
... ta05 2001-07-15 to HLCD for subject ...
... jp14 2005-01-26 to Dewey ...
```

Generally input different charge statements in separate subfields and do not also input semicolons for separation.

```
955 ## $a  jg02 2003-01-08 $c jg02 2003-01-08 to subj. $d jg16
        2003-01-14 $e jg08 2003-01-14 to Dewey
           (Current practice in ABA bibliographic access units)
```

Input 955 charges in chronological order of processing, *not* necessarily in alphabetical order by subfield codes.

```
... $d  xz05 2005-04-11 $c xz07 2005-04-13 ...
        (Someone did subject cataloging first; then someone else
        did descriptive cataloging afterward)
```

> More information is available in the full official DCM C16 on the CPSO staff home page.

C16.16.2   **Tracking Locations of In-Process materials**
Location information in a 955 field charge represents either:

> 1) the location IN which an action is done or which accepts the item in custody–represented by the staff/team code at the *beginning* of the charge statement; or
> 2) the location TO which an item is sent for processing, custody, assistance, etc.–represented by "to" and an identification of the destination (for example, "to Dewey") at the *end* of the charge statement.

Input the latter (that is, a "to" location) when discharging an item from your team and sending it to another unit. It is not mandatory to track "to" locations between different persons or actions in the same team (for example, "to shelflisting"); but individuals and teams *can* track those optionally if they consider it useful to do so.

```
... $e jj93 2005-03-16 to Dewey
        (After end-stage processing, someone mandatorily tracked
        forwarding the item out for Decimal classification)

... $d jj10 2005-02-07 to shelflisting ...
        (After subject cataloging, someone optionally tracked
        forwarding the item for shelflisting in the same team)

... $d zq03 2005-04-06 $e zq99 2005-04-11 to BCCD
        (After subject cataloging, someone did not track
        forwarding the item for shelflisting in the same team;
        after shelflisting/end-stage processing, someone
        mandatorily tracked forwarding the item out to BCCD)
```

See DCM B5 Appendix 1 (section B5.6.3.3) for guidelines on when to charge monographs and integrating resources that are in process and who should charge them. See DCM B6 for guidelines on referring items for cataloging assistance. Follow the instructions here in DCM C16.16, however, regarding format and content of charge statements.

Examples

```
955 ## $a oe05 2003-06-18 to SSCD $a sb00 2003-06-27
        (An acquisitions unit received the item and forwarded
        it for processing; a team charged it in)

955 ## $a ok23 2002-12-24 to ASCD $a jf00 2003-01-14 $a jf02
        2003-12-15 to SerCat
        (An acquisitions unit received the item and forwarded
        it for processing; a team charged it in; someone in
        that team discharged it and forwarded it as a possible
        serial)
```

C16.16.3   Tracking Added Copies

An "added copy" in these instructions is a copy of a resource received after another copy has already moved forward for processing (as tracked in the record's first 955 field). Track the receipt and forwarding of an added copy or copies in an additional, temporary 955 field with a forwarding message as shown in the following example:

```
955 ## $a pc14 2001-05-16 $a pv06 2002-06-10 to SSCD $c sh27
        2004-02-12
955 ## $a pv10 2002-08-03 ADDED COPIES: another copy to SSCD
```

Delete temporary 955 fields for added copies at end-stage processing.

C16.16.4   Tracking added volumes
An "added volume" in these instructions is a part of a resource received after some other part(s) already moved forward for processing (as tracked in the record's first 955 field). Track the receipt and forwarding of added volumes in additional, temporary 955 fields with forwarding messages as shown in the following example:

```
955 ## $a pv06 2003-09-22 to ASCD $a jf00 2003-10-01 $c jf03
        2003-11-22
955 ## $a pv11 2004-01-28 ADDED VOLS: v. 2 to ASCD
955 ## $a px02 2004-02-04 ADDED VOLS: v. 3 to ASCD
```

Delete temporary 955 fields for added volumes at end-stage processing and incorporate tracking into the permanent 955 field for the volumes that were added, as shown in the following example:

```
955 ## $a  pv06 2003-09-22 to ASCD $a jf00 2003-10-01 $c jf03
          2005-03-22 $a jf16 2004-03-04 v. 2-3 added
              (Temporary 955 fields with "ADDED VOLS:" deleted)
```

More information is available in the full official DCM C16 on the CPSO staff home page.

C16.16.5   Tracking Functional Aspects of Cataloging

When you complete a function in the cataloging workflow, input a charge (per C16.16.1.2-C16.16.1.3) in the 955 functional aspect subfield corresponding to it (see information on subfields $c-$m in C16.16.6 in the full official DCM C16). Also give forwarding information or not per C16.16.2.

When one person completes multiple functions, input an "umbrella" subfield combining those functions if one exists (for example, subfield $i) and is applicable. If there is no applicable "umbrella" subfield, input multiple subfields for all the functions that the person completed.

```
         ... $i  cc17 2005-01-16 $e cc93 2005-01-18 ...
  not    ... $c  cc17 2005-01-16 $d cc17 2005-01-16 $e cc93 2005-01-18 ...
             (The same person did whole item cataloging, that is,
             descriptive and subject cataloging)

         ... $c  xz07 2005-04-07 $d xz05 2005-04-11 $e xz05 2005-04-11 ...
             (The same person did subject cataloging and also
             shelflisting and end-stage processing)
```

There are *no* 955 subfields for the following, which may occur in the cataloging process:

1) Decimal classification
2) Review

Examples

```
955 ## $a  oe17 2004-04-19 to SSCD $a sb00 2004-04-30 $i sb15
          2004-05-14 $e sb21 2004-05-20 to Dewey
              (An acquisitions unit received an item and forwarded
              it for processing; a cataloging team charged it in;
              someone did whole item cataloging; someone did
              shelflisting/end-stage processing; the last person
              discharged the item and forwarded it for Decimal
              classification)

955 ## $a  pc21 2002-04-09 to SSCD $c sf02 2002-04-10 $a sf11
          2002-04-19 to HLCD $d le03 2002-04-23 $e le02 2002-04-23
          to Dewey $a aa03 2002-04-23 $a pv24 2002-12-18 bk
          rec'd, to CIP ver. $f le28 2003-06-03 $g le28 2003-06-03
          to BCCD
```

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*(A CIP Division team received a CIP galley and
forwarded it for cataloging; someone did descriptive
cataloging; someone else charged the CIP galley out of
that team and forwarded it to another division for
subject cataloging; other people did subject
cataloging and shelflisting; the last person
discharged the CIP galley and forwarded it for Decimal
classification; someone did Decimal classification; a
CIP Division team received the item matching the CIP
pre-publication record; someone did CIP verification
and CIP verification end-stage processing, then
discharged the item and forwarded it to BCCD)*

955 ## $a pc10 2003-09-10 $a pv12 2004-06-23 to SSCD $h sj05
2004-11-30 $e sj05 2004-11-30 to shelf
*(A CIP Division team created a preassigned control
number record; another team received the item and
forwarded it for processing; someone did minimal level
cataloging and end-stage processing; the same person
discharged the item and forwarded it for shelving)*

C16.17   963 FIELD: LOCAL RELATED CIP OR PCN DATA (R)

C16.17.1   **Content Designation Summary**
First and Second Indicators
     # : Undefined

Subfields
     a : Publisher contact name/phone (R)
     b : Miscellaneous note (R)
     c : Congressional loan legend (R)

C16.17.2   **General Description and Instructions**
          Field 963 contains temporary data used in CIP and PCN records. Delete this field when the published item is received and CIP verification is done, that is, at the same time as deleting field 263 (Projected Publication Date).

          If field 963 has "CONGRESSIONAL LOAN" in subfield $c, complete processing at the highest level of priority and hand carry the item through the stages in its workflow, according to team or division practice.

     More information is available in the full official DCM C16 on the CPSO staff home page.

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C16.18   984 FIELD: LOCAL SHELFLIST COMPARE STATUS (R)

C16.18.1   **General**

C16.18.1.1   *Content designation summary*
First and Second Indicators
   # : Undefined

Subfields
   a : Comparison file (NR)

csl :	Cartographic materials (G&M) card shelflist
gsl :	General card shelflist
lars :	LARS binding prep database
lbsl :	Law binding shelflist
lsl :	Law Library card shelflist
lmlx :	Law Microlinx
ncf :	Newspaper microfilm card file
rsl :	Rare Book shelflist
sr3x5 :	Serial Record 3 x 5 file
srmf :	Serial Record microform file
srssl :	Serial Record sheet shelflist
srvf :	Serial Record visible file

   b : Note (NR)
   d : Date of comparison (**yyyy-mm-dd**) (NR)

C16.18.1.2   *General description and instructions*
       Field 984 indicates that LC staff or contractors have compared a bibliographic record's holdings and/or item records with data from an LC manual inventory file, completing Shelflist Compare (see *Subject Cataloging Manual: Shelflisting, ILS Supplement*, Appendix A: http://www.loc.gov/staff/catdir/cpso/SCMSLApA.html) or procedures for another local file.

       Do not delete a 984 field found in an existing record. Do not add or modify a 984 field except as part of doing Shelflist Compare or another inventory file comparison procedure.

```
984 ## $a   gsl
984 ## $a   lsl $d 2000-07-27
984 ## $b   Referred - holdings discrepancy
984 ## $a   gsl $b Referred for SLC
```

More information is available in the full official DCM C16 on the CPSO staff home page.

C16.19   985 FIELD: LOCAL RECORD HISTORY (R)

C16.19.1   **General**

C16.19.1.1   *Content designation summary*
                               First and Second Indicators
                                  # : Undefined

                               Subfields
                                  a : Agency that keyed record/record history (NR)
                                  b : Network used for first level keying (NR)
                                  c : Network transmitting record to LC (NR)
                                  d : Date record entered in original or transmitting network (NR)
                                  e : Responsible LC application or project (NR)
                                  f : Online cataloger maintenance [staff code] (NR)
                                  g : *PREMARC* maintenance history (NR)
                                  h : *PREMARC* maintenance comment (NR)

C16.19.1.2   *General description and instructions*
                               Field 985 contains information about record source, loading, and
maintenance. Generally, do not delete or change a 985 field found in an existing record.

```
985 ## $c  OCLC $e srreplace 2002-02
985 ## $e  ODE-rj
985 ## $a  DLC $e NUC
985 ## $a  rarebk/pre1801 $e rbc $f ce12 ...
985 ## $a  wln $c wln $e cacyrillic
985 ## $a  rlin $c rlin $e marcadia
985 ## $e  VENDOR LOAD
985 ## $a  NLMCIP $d 2004-09-20
985 ## $e  PREMARC $g enh 050dvc $h revised copy for reprint
985 ## $e  ATLAS MIG
985 ## $a  rarebk/bside $e ammem
```

C16.19.2   **Subfield $g PREMARC maintenance history (NR)**
                     Subfield $g contains one or more maintenance codes that indicate content
designation checks, data validation, and other data enhancements that have been made on a
PREMARC record or on specified field(s) in one.

                     A maintenance code appended to a MARC field tag indicates performance
of maintenance on that field rather than the entire record. A fourth digit following the field tag
and preceding the maintenance code identifies which of multiple occurrences of that field was
the object of the maintenance activity.

                     Maintenance codes are as follows:

                     cd   Content Designation Checked *(appended to a MARC field tag)*.
                     dv   Data Validated *(appended to a MARC field tag)*.
                     dvc   Data Validated as Current.
                     enh   Enhanced.

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      fcd   Full Content Designation Checked.
      fdv   Full Data Validated.

```
985 ## $e PREMARC $g enh
985 ## $g 650cd
985 ## $g 245dv
985 ## $g fdv
985 ## $f cj09 $g enh $h original PREMARC record lacked 260 field;
          dummy field added
```

More information is available in the full official DCM C16 on the CPSO staff home page.

C16.20   987 FIELD: LOCAL CONVERSION HISTORY (R)

C16.20.1   **General**

C16.20.1.1   *Content designation summary*
          First and Second Indicators
              # : Undefined

          Subfields
              a : Romanization/conversion identifier (NR)
              b : Agency that converted, created, or reviewed
                  romanization/conversion (NR)
              c : Date of conversion or review (**yyyymmdd**) (NR)
              d : Status code (NR)
              e : Version of conversion program used (NR)
              f : Note (NR)

C16.20.1.2   *General description and instructions*
          Field 987 contains temporary information about the conversion
status of MARC 21 records, for purposes of the Pinyin Conversion Project and potential future
conversion projects.

```
987 ## $a  PINYIN $b DLC-R $d c
987 ## $a  PINYIN $b CStRLIN $c 20001214 $d r $e 1.0 $f [access
           not affected] See field: 500(1)
987 ## $a  PINYIN $b DLC $c 20020605 $d c
987 ## $a  PINYIN $b CStRLIN $c 20010109 $d c $e 1.0
987 ## $a  PINYIN $b OCoLC $c 20001201 $d c
```

C16.20.2   **Subfield $d Status Code (NR)**
          Subfield $d contains a mandatory code indicating the degree to which the
project has converted or reviewed the information in the MARC 21 record. Status codes for the
Pinyin Conversion Project are as follows:

              c   Record Fully Romanized
              n   Record Processed but Not Converted
              r   Record Requires Manual Review

More information is available in the full official DCM C16 on the CPSO staff home page.

C16.21   991 FIELD: LOCAL LOCATION INFORMATION (R) *[Limited use]*

C16.21.1   **Content Designation Summary**
First and Second Indicators
　　# :　Undefined

Subfields
　　a :　Copy location code (NR)
　　b :　Sublocation of collection (R)
　　c :　Shelving location (R)
　　d :　Date of location change (R)
　　e :　Box number (R)
　　f :　Oversize location (R)
　　g :　Location (R)
　　h :　Classification part (NR)
　　i :　Item part (R)
　　k :　Call number prefix (NR)
　　l :　Copy location code (NR)
　　m :　Call number suffix (NR)
　　o :　Item type (NR)
　　p :　Piece designation (NR)
　　r :　Item use count (NR)
　　t :　Copy number (NR)
　　u :　Volume chronology (NR)
　　　　　[or, in Copyright records: URL for electronic copy (R)*]*
　　v :　Volume enumeration (NR)
　　w :　Source file (NR)
　　x :　Nonpublic note (R)
　　　　　[or, in Copyright records: Retention (R)*]*
　　y :　Item record note (R)
　　z :　Public note (R)
　　　　　[or, in Copyright records: Person responsible (R)*]*

C16.21.2   **General Description and Instructions**
　　　　　Field 991 contains local location information used to generate holdings records in the LC ILS database. Many 991 fields are leftovers from migration to the LC ILS. There are some current uses, such as by the Geography and Map Division, some reference collections, and LC's overseas and Copyright offices. Staff involved in those have authorization and training to input and change 991 fields. Otherwise, generally do not input field 991 in new records and do not change or delete 991 fields found in existing records.

```
991 ## $b c-GenColl $h PN4784.R4 $i R58 1988 $t Copy 1 $w BOOKS
991 ## $b c-GenColl $h PN4784.R4 $i R58 1988 $p 00034721531 $t
        Copy 2 $w CCF
991 ## $b r-MRR $h JF51 $i .B583 2004 $t Copy 1 $m Ref Desk $w
        GenBib
991 ## $b c-GenColl $o am $p 00118308736
          (Record created by an LC overseas office)
991 ## $b c-G&M $h G3804.N4:3Q4 1989 $i .H3 $t Copy 1 $w MAPS
```

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C16.22   992 FIELD: LOCAL LOCATION INFORMATION (R) *[Limited use]*

C16.22.1   **Content Designation Summary**
First and Second Indicators
    # :   Undefined

Subfields
    a :   Location (NR)
    b :   Sublocation of collection (R)
    c :   Shelving location (R)
    h :   Classification part (NR)
    i :   Item part (R)
    k :   Call number prefix (NR)
    m :   Call number suffix (NR)
    o :   Item type (NR)
    p :   Piece designation (NR)
    r :   Item use count (NR)
    t :   Copy number (NR)
    u :   Volume chronology (NR)
    v :   Volume enumeration (NR)
    w :   Source file (NR)
    x :   Nonpublic note (R)
    y :   Item record note (R)
    z :   Public note (R)

C16.22.2   **General Description and Instructions**
    Field 992 contains local routing and temporary location information extracted from LC's former ACQUIRE and SERLOC files. It does not generate holdings records in the LC ILS database but only stores the migrated data. Do not input field 992 fields in new records. Generally do not change or delete 992 fields found in existing records.

```
992 ## $a  SECT L EURR $w ACQUIRE
992 ## $a  Unckd LL $h KF1155.C59 $k LLAB Loose $w SERLOC
```

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The LC Local Bibliographic Record and Local Data Fields   *rev. February 2006*
Concise Version

C16.23   LEADER, 008, AND 006 FIELDS
The Leader, 008, and 006 fields are standard MARC 21 fields. See the following resources for most information on Leader, 008, and 006 elements and their coded values:

1) LC ILS dialog boxes with drop-down menus listing coded values for Leader, 008, and 006 elements;
2) *MARC 21 Concise Format for Bibliographic Data*, available via the Internet (http://www.loc.gov/marc/bibliographic/ecbdhome.html);
3) *MARC 21 Format for Bibliographic Data*, available in *Cataloger's Desktop* and in print.

The following guidelines give only key advice for using Leader, 008, and 006 values in the context of LC bibliographic records for monographs and integrating records.

More information is available in the full official DCM C16 on the CPSO staff home page.

C16.23.1   Leader

Type of record (Leader/06) and bibliographic level (Leader/07): See DCM M3.3.5 for restrictions and guidelines on changing type of record (Leader/06) in an existing record. See DCM M3.3.6 for restrictions and guidelines on changing bibliographic level (Leader/07) in an existing record.

Descriptive cataloging form (Leader/18): Use Leader/18 value "a" ("AACR2") in new, original cataloging; record templates have that pre-coded. Generally leave any other value as found in older LC database records based on rules before AACR2, unless deliberately recataloging a record (for example, a still incomplete record created under earlier rules) to comply *completely* with AACR2. Do not change the Leader/18 value only because headings in the record have been updated to AACR2 forms.

C16.23.2   008 Field

Modified record (008/38): Do not use 008/38 values "d," "s," or "x" in new LC bibliographic records.

Cataloging source (008/39): Use 008/39 value "#" ("national bibliographic agency") in new LC original bibliographic records; record templates have that pre-coded. Accept other values as found in cataloging copy imported from sources outside LC, except change code "u" to "d."

More information is available in the full official DCM C16 on the CPSO staff home page.

C16.23.3   **006 Field in LC Integrating Resource Records**

These guidelines address one use of field 006 in LC records for integrating resources, to record some data that cannot be entered in the 008 field. LC integrating resource catalogers input values for some 006 field elements and leave others uncoded.

More information is available in the full official DCM C16 on the CPSO staff home page.

Position	*Element*	*Instruction for LC Integrating Resources*
006/00	Form of material	Open 006 dialog box and select the "Serial/Integrating" tab (= code "s" in 006/00).
006/01	Frequency	Use MARC 21 code.
006/02	Regularity	Do not code. Accept prompted "no attempt to code."
006/03	ISSN center	Do not code. Accept prompted "no attempt to code."
006/04	Type of continuing resource	Use MARC 21 code: **d** : Updating database **1** : Updating loose-leaf **w** : Updating Web site
006/05	Form of original item	Do not code. Accept prompted "no attempt to code."
006/06	Form of item	*Updating database or updating Web site:* Use MARC 21 code "**s**" ("electronic") *Updating loose-leaf:* Do not code. Accept prompted "no attempt to code."
006/07	Nature of entire work	Do not code. Accept prompted "no attempt to code."
006/08-10	Nature of contents	Do not code. Accept prompted "no attempt to code."
006/11	Government publication	Do not code. Accept prompted "no attempt to code."
006/12	Conference publication	Do not code. Accept prompted "no attempt to code."
006/13-15	*[Unused]*	
006/16	Original alphabet	Do not code. Accept prompted "no attempt to code."
006/17	Entry convention	Use MARC 21 code "**2**" ("integrating entry").

CONTENTS

1XX   Headings

General

When modifying an authority record for another reason, delete a final mark of punctuation in the 1XX field unless it is a part of the data (e.g., a period in an abbreviation) or is called for by the cataloging rules (e.g., a parenthetical qualifier).
Note: in order to minimize the impact of database maintenance with associated bibliographic records and/or name/title authority records catalogers are urged to refrain from making unnecessary changes to 1XXs.

NARs

Canadian Headings

Through a cooperative agreement between the Library of Congress (LC) and Library and Archives Canada (LAC), efforts will be made to keep the LAC and LC/NACO Authority File in synch as much as possible. When creating an authority record for the LC/NAF for a name found on Canadian imprints, both personal and corporate names may be accepted from information found in Canadian CIP data or access points on current LAC bibliographic records without further searching. LC and LAC strive to harmonize usage of personal name headings, but all headings for Canadian corporate bodies used in current cataloging must be in the LAC authorized form except in the cases noted below. Uniform titles and series are not covered by the agreement.   LCRI 23.1 contains more information for formulating Canadian geographic names.

When the LAC heading is found in Canadian CIP data or access points on current LAC bibliographic records, use the LAC heading to create an NAR unless modifications are called for by NACO procedures as stated below. When the name to be established is not found in these sources, search the LAC name authority file in AMICUS according to the guidelines below.

Personal Names:

Search the LAC name authority file in AMICUS to find the LAC authorized form. When an authorized LAC heading is found, use the LAC form to create an NAR unless modifications are called for by NACO procedures as stated below.

LC catalogers will import an LAC authority record from the LAC name authority file on AMICUS when a Canadian personal name heading is found, according to the guidelines in the DCM Z1 *Appendix for LC Staff*.

PCC catalogers will either import the LAC authority record to their local file or create a new NAR using copy and paste methods assuring that all elements in the NAR meet LC/NACO parameters for the creation of personal names.

Keep the LAC 670 or cite the LAC search per normal procedures. In the event that a

Canadian personal name conflicts with an established name in the LC/NAF make the appropriate
modifications to assure uniqueness and record the LAC form in a 670 citation. Add/keep all
references found in the LAC authority record even if the LAC 670 does not provide any
justification.

When an authorized form of the name is not found in AMICUS, establish the name based
on the information found in the resource being cataloged according to normal NACO
procedures. Cite the AMICUS search in a 675 field.

Corporate Names:

Search the LAC name authority file in AMICUS to find the LAC authorized form. When
an authorized LAC heading is found, use the LAC form of name (including punctuation) except
in the following cases:

- LAC practice is to establish separate English and French headings for corporate
  entities whenever possible. LC/PCC policy is to use the English form, except for
  Québec corporate names, which should be established in French, following the
  guidelines in LCRI 24.1. *Canadian Headings.*

- LAC establishes individual meeting name headings for named ongoing
  conferences. LC/PCC catalogers should use the heading without the parenthetical
  qualifier following the guidelines in LCRI 24.7B. *Additions.*

Note:

- LAC treats the Religious Society of Friends as a corporate body and establishes
  "meetings," etc. subordinate to "Society of Friends." LC/PCC practice is to
  establish "Society of Friends" as a subject heading and establishes "meetings,"
  etc., directly under their own name. It is not necessary to contact LAC for
  verification of these entities; establish these meeting names according to NACO
  procedures.

- LAC establishes Canadian parks and forests as subject entities, since they are not
  corporate bodies in the Canadian context. LC/PCC will follow LAC practice for
  Canadian parks and forests. LAC will follow NACO practice for U.S. parks and
  forests.

- Canadian First Nation names are coded on AMICUS as corporate names and not
  as jurisdictions because of current system limitations. LC/PCC will accept the
  LAC coding

When an authorized form for a Canadian corporate heading is not found in AMICUS,
both LC and PCC catalogers should create and contribute an NAR based on the information

found in the resource being cataloged and then contact LAC for verification of the Canadian |
corporate name by using the Web form found at: http://www.loc.gov/catdir/pcc/naco/LAC- |
nacohdgform.html |

       LAC will respond directly to the cataloger requesting the verification and either confirm, |
or suggest modifications to meet LAC specifications. |

    SARs

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

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

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

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

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

    Choosing a monographic series title proper:

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

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

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

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

    Establishing an SAR heading:

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

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

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

(3)   Add a parenthetical qualifier(s) if appropriate according to the guidelines in LCRI 25.5B.

(4)   If you found a CONSER record,

(a)   do not use a heading from a record in the following categories:

- 010 prefix is "cf"
- 010 prefix is "cn" and 040 $b is "fre"

(b)   use the choice and form of entry on records with 042 code of **lc** or **lcd** as the heading unless there is a clear-cut error. An error in _form_ of qualifier may be corrected; _choice_ of qualifier is accepted as found. If you are not a CONSER participant, notify the CONSER Coordinator (lhaw@loc.gov) if an error is discovered; use the correct heading on the SAR.

APPENDIX FOR LC STAFF

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APPENDIX FOR LC STAFF

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

- Authority generation/templates

- Subfield $z when classifying "as a collection"

- "acq" records for collected sets

- Returning multipart items to Acquisitions for analytic records

- Number and relationship of bibliographic, holdings, and item records for multipart items and monographic series

- Technical report monographic series

- Multiple 050 fields in bibliographic records

- LAC name authority record adapt procedures for LC catalogers |

Authority Generation/Templates/Macros

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

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

> NAR macro ("Ctrl+F7")
>> Macro updates 008/39; adds tag 953 and waits for <u>cataloger to add code and press "Enter" key;</u>
>> macro adds $b in 040; adds tag 010 and waits for <u>cataloger to add LCCN.</u>

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

Subfield $z When Classifying "As a Collection"

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

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

"See separate records for volumes in this publication to identify LC's holdings and to request individual volumes."

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

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

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

|

"acq" Records for Collected Sets

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

These collected set bibliographic records will have a minimal set of data elements if existing records are not found/used. The 906 $b value will be "acq" because the records are created for acquisitions purposes. These bibliographic records will be suppressed from the OPAC. These bibliographic records will have holdings records and may or may not have item records. These "acq" records are not part of the "catalog for cataloging purposes." Because the 906 $g value will be "z-acqworks," these records are <u>not</u> maintained by cataloging staff.

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

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

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

Returning Multipart Items to Acquisitions for Analytic Records

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

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

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

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

Holdings records (**HR**):
There should be holdings records for <u>all</u> bibliographic records (analytic records and collected set records) regardless of analysis decision.
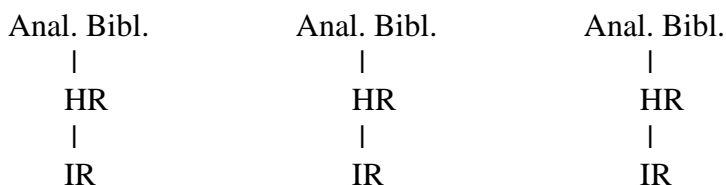
Item records (**IR**):

There should be an item record for <u>every part of a multipart item</u> and for <u>every monograph volume of a monographic series</u>, regardless of analysis decision or classification decision.
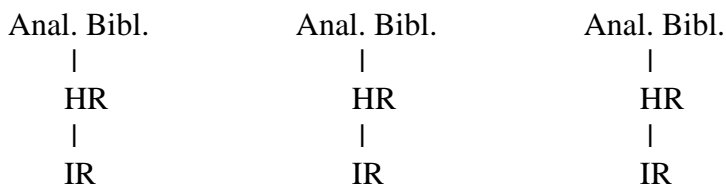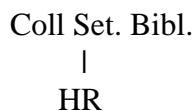
At time of shelflisting, there should be an item record for every volume of a <u>serial published annually or less often</u> in a monographic series. At time of shelflisting, there will probably not be an item record for any volume of a serial published more often than annually in a monographic series.

<u>*Classification decision = classified separately*</u>

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

```
     Anal. Bibl.        Anal. Bibl.        Anal. Bibl.
          |                  |                  |
         HR                 HR                 HR
          |                  |                  |
         IR                 IR                 IR
```

<u>*Classification decision = classified as a collection and analysis decision = analyzed in full*</u>

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

```
                      Coll Set. Bibl.
                            |
                           HR


     Anal. Bibl.        Anal. Bibl.        Anal. Bibl.
          |                  |                  |
         HR                 HR                 HR
          |                  |                  |
         IR                 IR                 IR
```

<u>*Classification decision = classified as a collection and analysis decision = analyzed in part*</u>
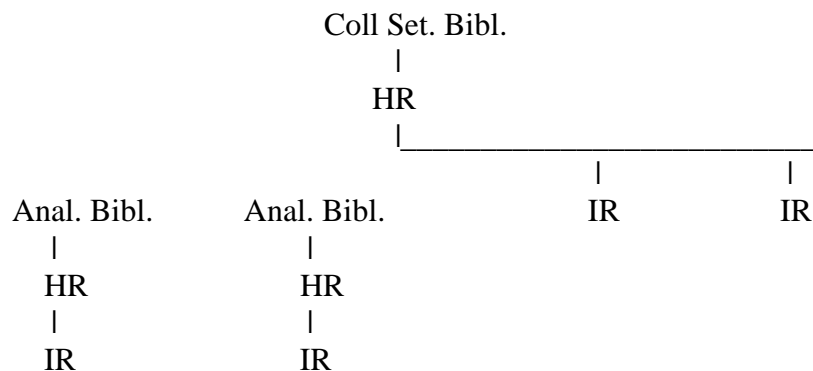
The holdings record for the collected set bibliographic record for the multipart item/monographic series will have linked to it the item records for the parts/volumes that are not
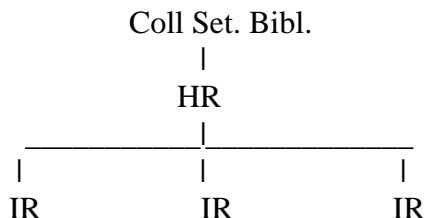
analyzed.

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

```
                        Coll Set. Bibl.
                             |
                            HR
                             |_____
                                           |             |
    Anal. Bibl.      Anal. Bibl.          IR            IR
        |                |
       HR               HR
        |                |
       IR               IR
```

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

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

```
                        Coll Set. Bibl.
                             |
                            HR
          _____|_____
          |                  |               |
         IR                 IR              IR
```

Analytic is a multipart item

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

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

   Anal. MPI Coll. Set Bibl.   Anal. Bibl.   Anal. Bibl.

```
      |                              |                    |
     HR                             HR                   HR
                                     |                    |
Anal. Bibl.    Anal. Bibl.          IR                   IR
   |              |
  HR             HR
   |              |
  IR             IR
```

                                                                              |

Technical Report Monographic Series

Decisions and series authority record

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

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

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

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

Local serial bibliographic record made by monograph cataloger

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

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

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

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

Workflow for creation of a local serial bibliographic record

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

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

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

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

      a. Ensure that the Leader has the following values
        (1) Status =n
        (2) Type = a
        (3) Bib/l = s
        (4) Arch = blank
        (5) Enc/l = 3
        (6) Form = a

      b. Accept 008 as coded.

    c. Add a missing 130 field if series title needs a qualifier to break a |
conflict.

    d. Add/adjust 260 $ab; delete 260 $c if it is present even if first issue is in |
hand.

    e. Add 500 "Technical report" note via macro "Alt+Shift+F5." |

    f. As the last note, add 500 "Description based on:" via macro |
"Alt+Shift+F4." Use information from the issue to complete the numbering in the 500 note. |

    g. Add 710(s) for body(ies). |

    h. Delete data in existing 906 field and replace it via macro |
"Alt+Shift+F1" with the following information:

    (1) $a = 0
    (2) $b = bbc
    (3) $c = serials
    (4) $d = u
    (5) $e = ncip
    (6) $f = 19
    (7) $g = y-gencatlg

    i. Add/adjust 92X field to read: |
    (1) $a = acquire
    (2) $b = 1 shelf copy
    (3) $x = policy default

    j. Add 955 field or modify existing 955 field to show "To Asian" or "To |
ST&B" with cataloger's code and date.

    k. Ensure that the bibliographic record is not suppressed from display in |
the OPAC.

2. Modify the holdings record for that bibliographic record.

    a. If the location in 852 $b is not the appropriate location (either "c-
Asian" or "c-TRS/ST&B"), delete the inappropriate location. Input the correct location or select
it by keying "Ctrl-l" (cursor must be in the data column) and then clicking on the appropriate
line.

    b. Add "UNCLASSED" in 852 $h; there will be no 852 $i.

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

4. If Acquisitions created individual volume "acq" bibliographic records for
volumes in the series, ignore those bibliographic records except to ensure that the appropriate
location is given in the holdings records' 852 $b and in the "Perm. Loc." box in the item records
for those bibliographic records.

5. Send publication(s) to custodial location.

B. Other LC serial bibliographic record (906 $b = ibc, bbc, cbc, or par) already in the LC
Database: send printouts of that bibliographic record with issue(s) to CPSO. |

C. No serial bibliographic record in the LC Database:

 1. Create serial bibliographic record by using bibliographic template
"Techreport.tem."
   a. Code following 008 information (ignore others):
    (1) Place of publication
    (2) Language

   b. Give the series title in the 245 field. If a qualifier is needed to break a |
conflict, add a 130 field with the series title plus a qualifier.
   c. Input 260 $ab; there will be no 260 $c even if first issue is in hand. |
   d. Supply height in 300 $c. Do not supply number of volumes in $a and |
do not supply $b.

    Example:
     300 $a   v. $c 28 cm.

   e. In 500 "Description based on" note, add information from the issue to |
give the numbering to complete the note. |
   f. Add 710(s) for body(ies). |
   g. Complete 955 field by adding appropriate location with cataloger's |
code and date.

 2. Create holdings record for the bibliographic record.

   a. If you did not change the default location in your session defaults and
preferences, delete the default location in 852 $b. Input the correct location (either "c-Asian" or
"c-TRS/ST&B") or select it by keying "Ctrl-l" (cursor must be in the data column) and then
clicking on the appropriate line.
   b. Add ""UNCLASSED" in 852 $h; there will be no 852 $i.

 3. Do not create item record(s).

 4. If Acquisitions created individual volume "acq" bibliographic records for
volumes in the series, ignore those bibliographic records except to ensure that any holdings and
items records for those individual bibliographic records show the appropriate location.

 5. Send publication(s) to custodial division.

Contents of template for technical report local serial bibliographic record:

Leader:
 Status =n
 Type = a

Bib/l = s
Arch = blank
Enc/l = 3
Form = a

008:

Publication status = u
Date 1 = uuuu
Date 2 = uuuu
Place of publication = ||| [to be filled in by cataloger]
Frequency = blank
Regularity = u
ISSN Center = |
Type of serial = m
Original item = blank
Form of item = blank
Nature of entire work = blank
Nature of contents = blank for all three boxes
Govt. publication = |
Conf. publication = |
Alphabet = |
Type of entry = 0
Language = ||| [to be filled in by cataloger]
Modified record = blank
Cataloging source = blank

906          $a 0 $b bbc $c serials $d u $e ncip $f 19 $g y-gencatlg
92_ $a acquire $b 1 shelf copy $x policy default
955          $a To
                                                                              |

130 0 $a
245          $a
260          $a $b
300          $a   v. $c
500          $a Technical report
500          $a Description based on:
710          $a

Multiple 050 Fields in Bibliographic Records

In order to have all the assigned call numbers in the shelflist browse index and to have a consistent policy for all multipart item records, multiple 050 fields will be used in all multipart item collected set records when the parts have different call numbers. Serial records already use

multiple 050 fields in such situations. The following information, from the SCM: SL, explains the procedures for multiple 050 fields.

From SCM: SL Workflow #4 for a new multipart item classified as a collection:

"1.c. If some volumes in the multipart item are in a larger multipart item/monographic series with a classification decision of "classified as a collection" and the other volumes in the multipart item either are not in a larger multipart item/monographic series or are in a larger multipart item/monographic series with a classification decision of "classified separately,"

(a) Formulate the call number for the volumes in the "classified as a collection" larger multipart item/monographic series based on that collected set call number.

(b) Formulate the call number for the volumes not in a larger multipart item/monographic series or for the volumes in the "classified separately" larger multipart item/monographic series based on those volumes.

(c) In the multipart item record:
(i) Give multiple 050 fields containing the different call numbers for the volumes, with the 050 fields in call number order.
(ii) Ensure that the call number for each collected larger multipart item/monographic series is also given in $l of the 490 for each larger multipart item/monographic series."

From SCM: SL Workflow #8 for an analytic of a multipart item or monographic series:

"2.c. Analytics in more than one multipart item/monographic series
...
(5) If different volumes of a classed-together multipart item analytic or serial analytic are in different larger multipart item/monographic series and the classification decision for one is "classified as a collection" and the classification decision for the other is "classified separately,"

(a) Formulate the call number for the volumes in the "classified as a collection" larger multipart item/monographic series based on that collected set call number.

(b) Formulate the call number for the volumes in the "classified separately" larger multipart item/monographic series based on the analytic.

(c) In the multipart item analytic record:
(i) Give multiple 050 fields containing the different call numbers for the volumes of the multipart item analytic, with the 050 fields in call number order.
(ii) Ensure that the call number for each collected larger multipart item/monographic series is also given in $l of the 490 for each larger multipart

item/monographic series.

        (d) In the serial analytic record:
            (i) Give multiple 050 fields containing the different call
numbers for the volumes of the serial analytic, with the call number for the most current volume
as the first 050 field.
            (ii) Ensure that the call number for each collected
monographic series is also given in $l of the 490 for each series.”

LAC name authority record adapt procedures for LC catalogers

Section 1: Assumptions
Section 2: LAC name authority record “adapt” procedures for LC catalogers
Section 3: MARC 21 008 (fixed field) values for use with LAC Authority Records (NARs
Section 4: Accessing the AMICUS authority file via Z39.50
Section 5: Searching Hints For The Amicus Authority File
Section 6: ILS Database Searching Parameters
Section 7: Sample Searches
Section 8: Comparison Between the Builder Search Codes and the Keyword Search Codes
Section 9: Procedures for LAC Verification for PCC Participants
Section 10: List of LAC Liaisons in ABA

Section 1: Assumptions:

1. The Library and Archives, Canada’s (LAC) authority file module of the AMICUS database is
available as a remote database site in the System Administration module of the LC ILS so that it
is available for catalogers to search via Z39.50 while in the cataloging module.

2. LC/PCC Catalogers will search Canadian corporate and personal name headings in the
AMICUS authority file for verification of the heading form and to resolve complex authority
record problems, conflicts, etc. involving Canadian name headings, when these fall into the
parameters stated in DCM Z1 1XX section.

3. When a corporate name heading is **not** found in the AMICUS authority file, LC and PCC
catalogers will continue to request verification from LAC, via the Web form found at:
http://www.loc.gov/catdir/pcc/naco/LAC-nacohdgform.html (cf. DCM Z1 1XX Section for
more information.)

4. It is not necessary to request LAC verification for personal name headings if these are not
found in the AMICUS authority file.

5. When the appropriate name authority record (NAR) is found in the AMICUS authority file,
the LC cataloger will “adapt” the NAR (cf. attached guidelines) and add the NAR by clicking on

the sailboat icon to save it to the LC database.

6. Statistics will be kept to allow the inclusion of the LAC "adapted" NARs in the Coop Team's statistical reports.

7. The Coop Team has established procedures that will continue to assure that the AMICUS |
password is changed every six months (as per current procedures) without loss of access to the
LAC database.

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

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

A. **008**:   Examine carefully and assure that the coding follows the MARC 21 conventions (see
the attached guide). **Note** the bytes for "Romanization Scheme" (008/07) and assure that it is
set to the fill character***;** "Language of cataloging" (008/08) is set to blank or underscore;
"Subject heading" (008/11) is set to a; and that "Govt. Agency" (008/28) is set to the fill
character. (These values are known to differ from current LC practice; * refer to Sec. 3 footnote
for this byte).

B. **Do not routinely delete any fields** (MARC tags) from the NAR unless these are found to
erroneous or can be identified as non-MARC 21 tags.

C. **010:** Add an LCCN using the generator icon for names as described in the "010 Guidelines |
for LC Staff" in DCM Z1 010 section. |
                                                                                                            |
D. **040:** Add a subfield $d DLC and assure that the subfield $b is set to "eng."

E. **053:** If found, adjust to conform with the LC shelflist and change indicator to 0.

F. **1XX:** Accept the heading "as is" unless modifications are necessary to conform with the
principles set out in DCM Z1, Appendix for Canadian headings.

Note: LAC uses tags 110 for geographic headings instead of 151, adjust the tag to 151 before
saving the record to the ILS database. Note the exclusions for Canadian National Parks and First |
Nations in DCM Z1, section 1XX . |
                                                                                                            |
G. **4XX-5XX**:

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

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

Add other 4XX or 5XX when necessary to reflect information found on the item-in-hand, any research performed, etc.

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

I. **7XX**: Do not **delete or adjust any 7XXs**. Analyze the information and if appropriate add a 4XX reference to the NAR based on the 7XX data in accord with current LC cataloging policies for references.

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

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

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

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

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

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

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

1) Click on the Voyager icon and then follow the usual procedures to access LC/ILS cataloging session.

2) After opening a session of the Voyager Unicode cataloging module click on the Search icon. A search box will appear **(figure 1)**. Select remote.
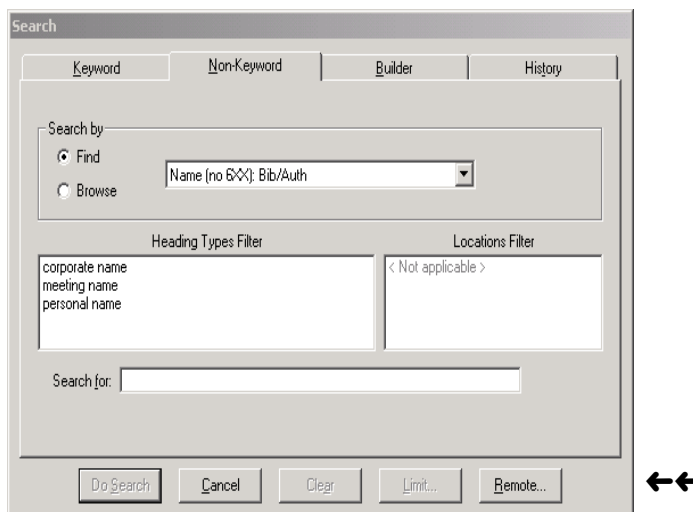
Figure 1

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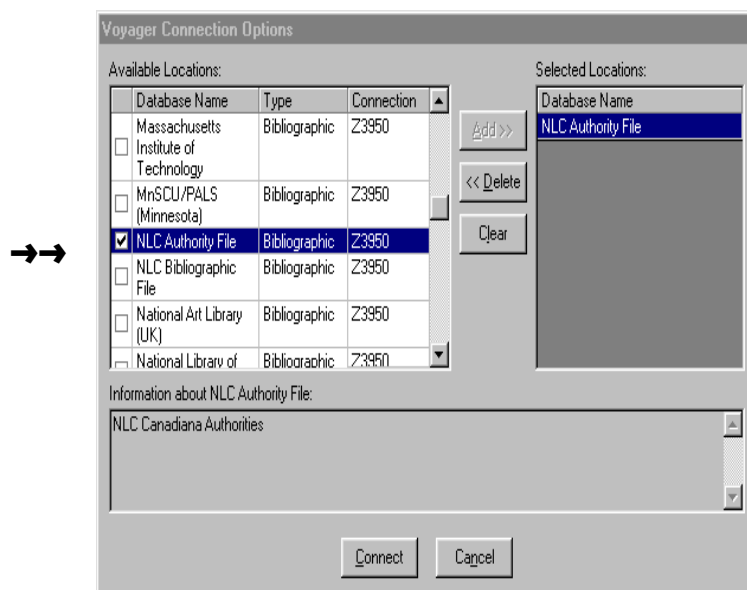
Figure 2

4) A search box labeled Remote Search: NLC Authority File will appear (**figure 3**) [note that |
NLC has not been changed to reflect change of name to LAC]. Select the Non-keyword or |
Keyword tab to begin your search for LAC authority records. If an LAC authority record is
found adapt the record to LC procedures and then boat the record. (See: LAC adapt
procedures: Section 2)

➜➜

Remote Search: NLC Authority File

| Keyword | Non-Keyword | Builder | History |

Search by
◉ Find   [LC call number (left-anchored) ▼]
○ Browse

Heading Types Filter   Locations Filter
< Not applicable >   < Not applicable >

Search for: [   ]

[Do Search] [Cancel] [Clear] [Limit...] [Remote...]

Figure 3

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

Section 5: Searching Hints for the Amicus Authority File

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

 A) **Non-Keyword Tab Search**:

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

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

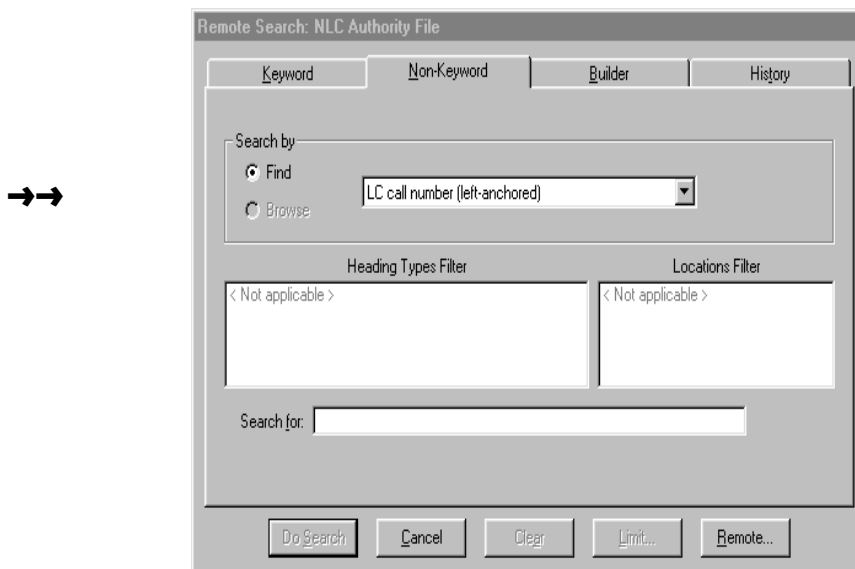**Figure 4**

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

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

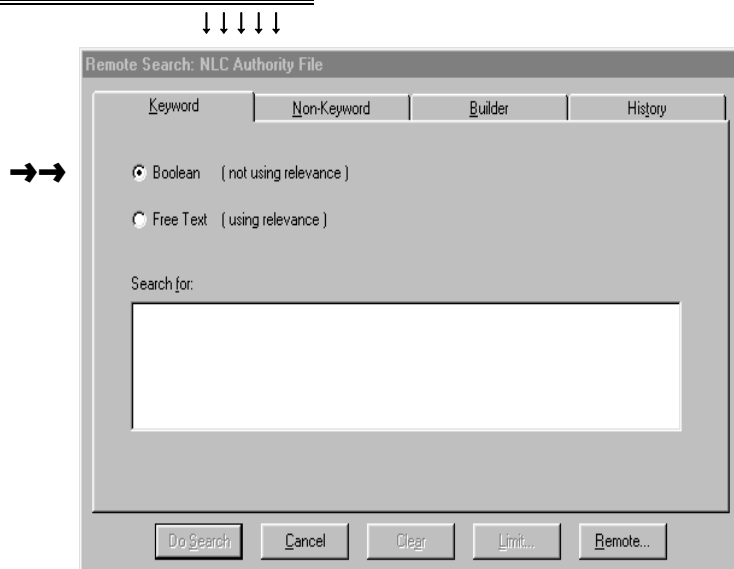**B) <u>KEYWORD TAB SEARCH</u>**:

Figure 5

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

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

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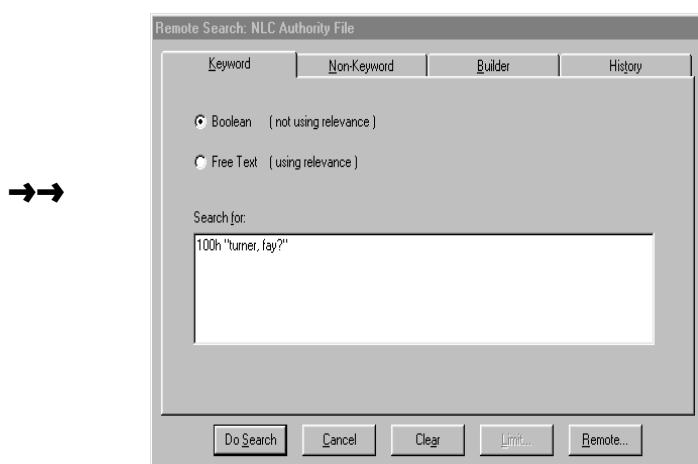

Figure 6

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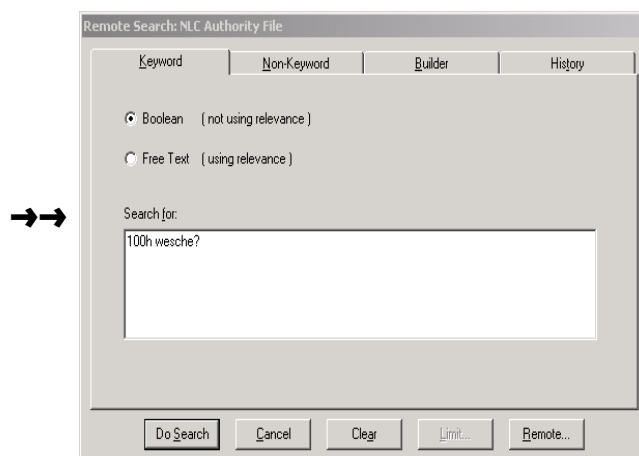

Figure 7

Section 6: ILS Database Searching Parameters

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

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

Section 7: Sample Searches

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

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

Section 8: Comparison Between <u>Non-Keyword</u> and <u>Keyword</u> searches

Codes:
The search codes in a non-keyword search has the same meaning as those
in the keyword search. The only difference is that with the keyword search
one must type in a search command whereas in non-keyword one can

choose from a list provided in a drop down menu.

KEYWORD SEARCH CODES   **NON-KEYWORD SEARCH CODES**

NALL   **Author (left-anchored)**
111H   **Conference name (left-anchored)**
110H   **Corporate name (left-anchored)**
ISSL   **ISSN (left-anchored)**
05XX   **LC call number (left-anchored)**
100H   **Personal name (left-anchored)**
SALL   **Subject (left-anchored)**
TALS   **Title (left-anchored)**

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

Section 9: Procedures for LAC Verification for LC and PCC Participants

LC and PCC Participants will create an NAR and then request verification of LAC corporate |
name headings using the Web form at: |
http://www.loc.gov/catdir/pcc/naco/LAC-nacohdgform.html   The Coop Team's liaison is |
automatically copied on each request and will keep a statistical tally of the requests for |
verification. LAC will respond directly to the cataloger requesting verification and approve |
the heading or request modification of the NAR to match the LAC heading. |

Section 10: List of LAC Liaisons in ABA.

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

008/10   Descriptive cataloging rules

NACO:

Do not use codes:
>   a, b, d, z, fill character

Use code n (Not applicable) in traced reference records (008/09, Kind of record, code c). Consult LC's
Cooperative Cataloging Team before using code n for special situations, such as when *AACR 2* is not applicable. |
As of August 2007 code d (AACR2-compatible) may not be used for newly created NARs. See LCRI 22.1, etc. |
for additional guidelines. |

SACO:

Always use code n.

LC:

NAMES/SERIES:

Do not use codes:
>   a, b, z or fill character Older records with codes a or b are changed to c (AACR 2) or d (AACR 2
compatible heading) when updated by a cataloger.

LC uses code n (Not applicable) in traced reference records (008/09, code c).

Use code n in traced reference records (008/09, Kind of record, code c) Also use code n for special situations,
such as when *AACR 2* is not applicable to the established form of a name or title heading.

As of August 2007 code d (AACR2-compatible) will not be used for newly created NARs. See LCRI 22.1, etc. |
for additional guidelines. |

SUBJECTS:

Do not use codes:
>   a, b, c, d, z or fill character.