

Update Information
2008 Update Number 4

<i>DCM</i>	<i>Title</i>	<i>Action/Change</i>
B9	Cataloger's Notes (952 field) (Monographs)	Revised to reflect the LC ILS environment.
B13	Copy Cataloging Manual	Revised to reflect the ABA reorganization of October 1, 2008. Points 2)-3) of the special conditions under B13.3.4.11.3 revised to clarify the treatment of collected set call numbers. B13.3.4.23 (4XX fields) and B13.3.4.29 (8XX fields) revised to reflect LC series policy. B13.7 (Appendix 4) revised to clarify the treatment of multipart monographs as it relates to copy cataloging and LC multipart monograph policy, particularly with respect to multipart monographs whose volumes do not have analyzable titles.
C16	Local Data Fields and Other Elements in the LC Local Bibliographic Record for Monographs and Integrating Resources	Previously issued in a Concise and a Full version. Revised to create a single, unified version that reflects the ABA reorganization of October 1, 2008. C16.10.2.3 incorporates new codes defined for use with serials cataloging. C16.16 incorporates some changes in the application of existing codes used to identify cataloging functionality and defines three new codes for functionalities not previously identified separately.
M3	Bibliographic and Authority Database Maintenance in the LC ILS	Revised to reflect the ABA reorganization of October 1, 2008.
M4	Serial Versus Non-serial Cataloging Treatment in LC	Revised to reflect the ABA reorganization of October 1, 2008.
M5	Library of Congress Series Policy	Revised to reflect the ABA reorganization of October 1, 2008.

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<i>DCM</i>	<i>Title</i>	<i>Action/Change</i>
M7	The LC ILS MARC Record Validator	Revised to reflect the ABA reorganization of October 1, 2008.
Z1, App. 1	Headings for Ambiguous Entities	Revised to add "Comarcas" and "Refugee camps" and to change "Gangs" to "Gangs, Named" in Group 1 headings.
LC Supplement to the MARC 21 Format for Authority Data	008/06 Direct or Indirect Geographic Subdivision	Revised to allow the use of code "i" in 008/06.

B.9.1 GENERAL

These guidelines apply to monograph catalogers only. Use the 952 field (Cataloger's Permanent Note) to record information relevant to the cataloging process itself. The 952 field is local to LC. It is not contained in records distributed through the MARC Distribution Service. It is displayed in the Cataloging Module of the ILS and in the MARC view of the OPAC. The field is repeatable and is available for use in both bibliographic and authority records.

B.92 USES OF THE 952 FIELD

In addition to cataloger's notes (cf. DCM B9.3 below) the 952 field is or has been used for the following purposes.

B9.2.1 Temporary Message

Prior to implementation of the ILS, the field was used to indicate temporary processing information. With the implementation of the ILS, field 955 (Local Tracking Information) is used for such information (cf. DCM C16.16).

B9.2.2 To Indicate Use Of A 740 In Lieu Of A 6XX

In the past the field was used by subject catalogers to indicate instances in which a title added entry is used in lieu of a subject added entry.

952 ## \$a Title a.e. for subject: [code] [date]

B9.2.3 AACR 2 "flip"

When AACR 2 was implemented, many name and series headings were changed in individual records on a project basis or by contract. This was indicated in a 952 field by "FLIP" (name) or "FLIP-S" (series). Note that this indication applied only to a particular heading that was being changed, it did *not* apply to the record as a whole. This practice is no longer current, and it is not necessary to retain the indication "FLIP"; the field can be reused for a cataloger's note.

B9.2.4 Canceled LCCN

Prior to the availability of the 010 \$z subfield, a 952 field in a retained record was used to record the LCCN of one or more canceled records.

B9.2.5 Unobtrusive Quality Control

At one time the field was used to select newly completed records (bibliographic; name/series authority) for an unobtrusive quality control procedure performed by the then MARC Editorial Division. The basis for this selection was the word "Online" in a 952 field. The field was usually added at the time the in-process or authority record was created.

952 ## \$a Online

B.9.3 GUIDELINES FOR RECORDING INFORMATION IN CATALOGER'S NOTES

B9.3.1 General

Keep such notes brief; use abbreviations as much as possible within the bounds of intelligibility. Generally give cataloger's code and the date at the end of the note (e.g., "ta05 02-17-92"). Beyond these guidelines, the style of notes is at the discretion of the cataloger.

B9.3.2 Information To Be Included

B9.3.2.1

General

Confine cataloger's notes to information that

- 1) documents substantive decisions;
- 2) records information especially verified (e.g., by telephone; by ordering item from shelf);

- 3) records the results of a special investigation (to prevent a repeat of the investigation should the same question be raised again);
- 4) records specific kinds of information called for in other DCMs or as in DCM B9.3.2.2 below.

B9.3.2.2

Specific

Record the following kinds of information in cataloger's notes:

- 1) an indication of the complete number of parts of a still-incomplete multipart item;
Complete in 34 v.--Half title, v. 32: [code] [date]
- 2) an indication of recataloging;
Recat. to AACR 2: [code] [date]
- 3) the decision to do "2A" cataloging;
2A cataloging, per ABA/POLICY: [code] [date]
- 4) the decision not to catalog as a serial;
Rejected by serials cat. as limited event: [code] [date]

B9.3.2.2.3

Excluded

In general, do **not** record the following kinds of information:

- 1) an indication of the addition of a part of a multipart item;
- 2) an indication of an addition or correction made to the record unless of a substantive nature;
- 3) an indication that an item is unbound.

B9.4 CORRECTING/DELETING CATALOGER'S NOTES

Cataloger's notes may be added, changed, or deleted just as any other field. Generally, correct or delete 952 fields only when they are wrong or misleading. Do **not** correct a record solely to delete 952 fields made under previous guidelines but that would not be made under the present ones. Such notes may, however, be deleted if correcting a record for another reason. In general, delete 952 fields indicating the parts added when the last volume of a collected set record is added and the record is closed.

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B13.1 INTRODUCTION

B13.1.1 Purpose Of The Manual

The Copy Cataloging Manual (CCM) draws together within the *Descriptive Cataloging Manual* the information and guidelines applicable to **all** aspects of LC copy cataloging, although these aspects go beyond those of descriptive cataloging itself. The CCM is oriented toward books. Documentation relevant to other forms of material may be made available, usually by the Policy and Standards Division (ABA/POLICY) in consultation with the appropriate units. The manual assumes that staff performing copy cataloging have received classroom and/or one-on-one training in the aspects of copy cataloging review for which they are responsible.

B13.1.2 Multiple Workflows For Copy Cataloging

Copy cataloging may be performed by technicians, descriptive catalogers, subject catalogers, or whole book catalogers, or various combinations of same, according to section practice. The general orientation of this manual is to a workflow in which descriptive cataloging, subject cataloging/classification, and shelisting are reviewed by staff who are knowledgeable of the aspect they are reviewing. When this is not the case or when there is doubt about a particular point of the aspect, the assumption is that staff will refer, according to section practice, to another staff member in the section/division who is knowledgeable of that aspect.

B13.1.3 Levels Of Copy Cataloging

Copy cataloging may be done as “full” or as “Encoding-level 7” (EL7 lccopycat). The “PCC adapt” procedure (use of records created by participants in the Program for Cooperative Cataloging (PCC)) is also a form of copy cataloging but is treated distinctly and separately because the authority work in such records is supposed to have been done. This manual is written primarily for “full” copy cataloging. Exceptional instructions for EL7 lccopycat and records that were imported through the RLIN MARCADIA service are found in B13.10 (Appendix 7) and B13.11 (Appendix 8). For a description of all cataloging streams, including PCC adapt procedures, see DCM E1.5 (Cataloging Streams/Initial Bibliographic Control: Books).

B13.1.4 Organization Of The Manual

The first part of the CCM contains general information about various aspects of LC copy cataloging. The second part provides the principles that govern the review of copy cataloging and instructions that apply to all parts of the catalog record. The third part gives instructions pertaining to each field (fixed/variable) that is commonly encountered in copy cataloging, arranged in the order the fields normally appear in the LC ILS record. The last part of the CCM is a series of appendices containing information or procedures related to the copy cataloging stream.

B13.1.5 Background Of LC Copy Cataloging

To increase cataloging productivity when faced with budgetary restraints, the Library has used various programs in the past. In the 1950's there were the "priority 4" and "limited cataloging" programs. The next decade introduced the “shared cataloging” program. The 1980's brought minimal level cataloging (MLC), "enhanced" minimal level cataloging, and "speed" subject cataloging. Most of these programs limited the data elements given in a catalog record or modified the manner in which they were assigned.

As early as the 1980's and certainly by the 1990's, changing technologies and

cataloging philosophies made it possible to use “external source records” created in other libraries and residing in external databases such as OCLC and RLIN to bolster cataloging productivity and provide more data than was possible in MLC records. Copy cataloging represents a change from a largely LC-oriented environment to one in which records are created and shared by various agencies.

B13.1.6 Sources Of Copy Cataloging Records

Copy cataloging records can come to a cataloger from many sources and the placement of certain fields may differ, depending on the source of the record and the technique used for importing it. (See B13.11 (Appendix 8) for information on unusual order of fields.)

Staff in Acquisitions and Bibliographic Access (ABA) divisions search for copy cataloging records, primarily in the OCLC database. Resources are usually slipped with a white “copycat (906 \$c = copycat)” slip (393 (1999/07)) according to section practice. Records created by libraries participating in the PCC (for more information see: DCM E1.5 and <http://www.loc.gov/catdir/pcc/2001pcc.html>) bear many characteristics of copy cataloging records but are slipped with a pink “pccadap (906 \$c = pccadap)” slip (1345 (1999/07)).

For several years beginning in 2000, some cataloging divisions made use of the Library’s contract with RLIN’s MARCADIA service (see DCM E1.4.2 and E1.5.5). LC submitted copies of IBC records to RLIN. They were automatically searched against the RLIN database and any matched records were returned to LC and replaced the existing counterpart LC IBC record. (See B13.11 (Appendix 8) for exceptional procedures used for handling these records.)

Various staff in a section may search for and import records using software called Z-Processor (see DCM E2.3) especially designed for this purpose. The programs execute various data manipulations tailored to the cataloging stream under which a particular record is being imported.

B13.1.7 Eligibility For Copy Cataloging Importing

See B13.9 (Appendix 6) to determine the conditions under which an external record may be imported to use as copy cataloging.

B13.1.8 Identifying Copy Cataloging Records

The following tables show first, the complement of data elements that identify LC copy cataloging records, and second, a summary and comparison of the data elements applicable to copy cataloging records and PCC records. See the respective tag numbers in B13.3.4 for complete information about the values appropriate to each field.

DESCRIPTIVE CATALOGING MANUAL
Part 1: General

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= "blank" MCLO = MARC Code List for Organizations Symbol (formerly NUC symbol)

Tag	Data Element Name	Copy Cataloging Values
008/39	Cataloging source	d = (Other) if not from a national bibliographic agency # = (National bibliographic agency) or an LC-issued enc/lvl 5 record (in-process; often lcode) upgraded by an external agency c = (Cooperative cataloging program) # = (National bibliographic agency) for PCC adapt
906 \$c	Local processing workflow	copycat (042 = lccopycat; 008/39 = d or #) pccadap (042 = pcc; 008/39 = c or #)
035	System control number	Control number of the system from which the imported record originated; consists of MCLO symbol of the agency in parentheses followed without spacing by the control number itself
040	Cataloging source	\$a subfield: MCLO/OCLC symbol of the original cataloging agency \$c subfield: MCLO/OCLC symbol of the transcribing (inputting) agency \$d subfields (multiple possible): MCLO/OCLC symbol of each agency, including LC (DLC; DLC-R (LC staff that worked in RLIN)), that modifies the record subsequent to initial input
042	Authentication code	lccopycat if 906 \$c = copycat and 008/39 = d or # pcc if 906 \$c = pccadap and 008/39 = c or #

Summary and Comparison of Data Elements Applicable to Copy Cataloging and PCC Records

= "blank" MCLO = MARC Code List for Organizations Symbol (formerly NUC symbol)

Tag	Data Element Name	Copy Cataloging	PCC Adapts
008/39	Cataloging source	d if not from natl. bib. agency # if from natl. bibl. agency or record is an LC-issued enc/lvl 5 ("in-process" record; often lcode) upgraded by an external agency	c or # if from national bibliographic agency
906 \$c	Local processing workflow	copycat	pccadap
035	System control number	Control number of the system from which the imported record originated; consists of MCLO symbol of the agency in parentheses followed without spacing by the control number itself	
040	Cataloging source	\$a subfield: MCLO/OCLC symbol of the original cataloging agency \$c subfield: MCLO/OCLC symbol of the transcribing (inputting) agency \$d subfields (multiple possible): MCLO/OCLC symbol of each agency, including LC (DLC; DLC-R) that modifies the record subsequent to initial input	
042	Authentication code	lccopycat	pcc

B13.1.9 Statistics Reporting

Statistics relating to copy cataloging are derived from copy cataloging records according to division/section practice. Since the statistics are derived using software developed for this purpose and based on data elements existing in a copy cataloging record, no action on the part of individual staff members specifically in support of statistics gathering is required.

B13.1.10 Forwarding Completed Work Out Of Section

When all aspects of a record have been reviewed within a section, forward the resource to the U.S. and Publisher Liaison Division, Children's Literature Section (USPL/CL), to the U.S. General Division, Dewey Section (USGEN/DEWEY), or to BCCD, according to section practice.

B13.2 PRINCIPLES OF COPY CATALOGING

B13.2.1 Basis For Determining Components Of Copy Cataloging Record

Copy cataloging exemplifies most of the characteristics of LC original cataloging. LC copy cataloging records contain the usual prescribed content and, in general, the same level of main and added entries as original cataloging done by LC. The records reflect AACR2 rules and ISBD punctuation. Records contain both an LC call number and at least one LC subject heading in those cases for which LC cataloging policy calls for subject headings. The records are fully content designated and in general follow the content requirements specified in *MARC 21 Format for Bibliographic Data* for full-level machine-readable bibliographic records that are contributed to a national database.

Because copy cataloging relies on cataloging done by other libraries, there may be significant differences from LC original cataloging:

- 1) records may contain elements that LC does not employ;
- 2) records may not necessarily reflect LC practice in all aspects;
- 3) there is no attempt to ensure that the records adhere to all the conventions of original cataloging as stated in the relevant documentation.

LC copy cataloging focuses on accepting the cataloging of other libraries as much as possible, limiting changes to those judged "egregious." (Egregious in this context means data that are inaccurate, misleading, or that result in denial of access.) Limit changes to those relating to accuracy, substance, or retrievability. In judging whether data are "egregiously misleading," consider them in the light of whether

- 1) they result in seriously misleading description (e.g., someone might regard the resource to be a different one were a change not made);
- 2) they might result in seriously misleading access (e.g., the resource is classified under a number for an artist's painting when in fact the work is really about the artist's sculpture, or, the heading selected for the main entry is a different person with the same name).

Do not strain for "uniformity of product" and do not make changes only for matters of style. When LC practice has varied over time, accept what is present in the imported record unless otherwise instructed in the CCM. In matters of the application of cataloger judgment, generally accept what is present in the imported record.

B13.2.2 General Guidelines

The general guidelines for LC copy cataloging are as follows.

- 1) accept what is present in the imported record to the extent possible within the guidelines spelled out in the CCM, particularly in Part 3 on review of individual fields;
- 2) generally do not delete information unless inaccurate, egregiously misleading, or specified for deletion in the CCM (note, however, that there are specific provisions for deleting access points that exceed what

- LC would supply under LC original cataloging--the method of handling such deletes varies, depending upon the source system of the record being used for copy cataloging); to the extent possible, limit changes to those that relate to accuracy, substance, or retrievability, but NOT style;
- 3) in the descriptive aspect of cataloging, focus on a set of basic data elements that:
- a) identifies a resource both from an internal and external perspective;
 - b) distinguishes editions;
 - c) avoids ambiguity, i.e., a staff member at any stage in the recommending, acquisitions, searching, or cataloging process can look at a record and determine whether or not it fits a particular citation or resource in hand;
- 4) ensure that the name and subject headings present in imported records fit into the heading structure of the catalog by searching for authority records and creating or modifying name, series, or subject authority records according to the policies for full cataloging; all access points that are given must be constructed according to AACR2 or LCSH; for copy cataloging processed under EL7 lccopycat guidelines, see B13.10 (Appendix 7); if copy cataloging is performed by a staff member who does not have expertise in both descriptive and subject cataloging, questions and problems should be referred according to section practice to someone in the section/division with the relevant expertise;
- 5) adjust the call number to fit properly within LC's shelflist.

B13.2.3

Specific Guidelines Governing All Aspects Of The Record

B13.2.3.1

Order of variable fields

In general, accept the order of fields present in the imported record, particularly for note fields (5XX) and added entries (7XX). Ensure that the first subject heading reflects the classification number but otherwise accept the order of subject headings (6XX). See B13.11 (Appendix 8) for further information about unusual order of certain fields.

B13.2.3.2

Punctuation/spacing

Generally, accept punctuation or spacing as found. Do make changes relating to: ISBD punctuation/spacing; end-of-field punctuation; punctuation/spacing in headings (cf. LCRI 1.0C). Follow LCRI 1.1B1 when a colon, a slash, or an equal sign appears in the body of the entry as normal punctuation.

Accept, e.g.:

245 10 \$a Hard beds, hard crackers and hard marches : \$b
army life during the Civil War / \$c W. W. Wilkins.
(*LC practice: ... hard crackers, and ... / \$c W.W. Wilkins.*)

Change, e.g.:

245 10 \$a [Title] / \$c editors, Henry Wiggins, Allan Hale.
(*Imported record: ... /\$c editors: Henry Wiggins, Allan Hale.*)

B13.2.3.3 *Capitalization*

Generally accept capitalization as found. Do make changes relating to:
errors in headings; any failure to capitalize a proper name; any failure to capitalize the first word in the
title of a resource; words in the name of a document.

Accept, e.g.:

245 10 \$a Twentieth-century communism ...
245 10 \$a Report concerning a Member of the Academy ...
245 10 \$a Essays on Lutheran Theology ...

B13.2.3.4 *Abbreviations*

Accept abbreviation or full forms as found except when a matter of
transcription (the need to reflect accurately the form found on the resource being cataloged) or
consistency to ensure access, as in headings.

Accept, e.g.:

250 ## \$a Second Edition.
260 ## \$a Salem, Oregon : \$b Pierre Publishing Company, \$c
1990.
260 ## \$a Dubuque, Ia. : \$b Holt, \$c 1993.
(*On t.p.: Dubuque, Iowa*)

Change, e.g.:

245 00 \$a ... Herausgeber, Jos. Katz
(*On t.p.: Josef Katz*)

B13.2.3.5 *Numerals*

Accept the form of numerals as found except when a matter of
transcription (the need to reflect accurately the form found on the resource being cataloged) or
consistency to ensure access as in headings.

Accept, e.g.:

250 ## \$a 2d ed.
500 ## \$a 1st published in 1954.

Change, e.g.:

111 20 \$a International Conference on Pipewelding \$n (2nd :
\$d 1979 : \$c London, England)
(*In imported record: ... \$n (2d : \$d 1979 : \$c London, England)*)

B13.2.3.6 *Typographical errors*

Correct all typographical errors, i.e., any misspellings or

mistranscriptions in data copied from the resource being cataloged and data given in notes and headings.

B13.2.3.7 Factual errors

Unless there is a guideline to the contrary for a particular field, correct any factual errors.

Change, e.g.:

250 ## \$a 22nd ed.
(On t.p.: *Second Edition*)

260 ## \$a ... \$b ... , \$c 1992.
(On t.p.: 1994)

300 ## \$a 130 p. ; \$c ...
(Book has pages numbered 1-132)

650 -0 \$a [Subject] \$z Australia.
(Book is about Austria; correct geographic subdivision)

B13.2.3.8 Data from prescribed sources of information

AACR2 prescribes sources of information for certain areas of the description. To avoid ambiguity between the bibliographic record and the resource itself, ensure that unbracketed data actually appear in the prescribed source for the area. Conversely, ensure that bracketed data do not appear in the prescribed source for the area.

B13.2.3.9 Headings

Ensure that all headings (1XX, 240, 600-651, 7XX,) are in the established form as reflected in the appropriate authoritative source and agree with respect to construction of the heading, prescribed additions, and all the details of spacing, punctuation, capitalization, use of diacritical marks and special characters, etc. Refer, according to section practice, for authority work any heading lacking an authority record or any existing heading requiring authority work. (See B13.10 (Appendix 7) for exceptions for EL7 lccopycat procedures.)

With respect to series, although LC series policy since June 1, 2006 is not to provide controlled access points for series in LC original cataloging, accept the series fields as given in records used for copy cataloging (cf. DCM M5.1.2.2). Do not, however, search such series to determine if they are represented by an SAR.

With respect to works of literary authors, determine whether the author's authority record contains a literary author number from the LC classification scheme; if so, note it for use at the classification step.

B13.2.3.10 Initial articles

Adjust the presence or absence of initial articles and the filing indicators for them according to LC policy. When an article is present in a field in which LC does not retain articles, e.g., 246, delete the article and, if the field has an indicator for nonfiling characters, ensure the indicator is set to 0.

LC practice on initial articles, in general, is:

- 1) retain articles in those fields in which the intent is to reflect what is actually on the resource itself, e.g., 245, 4XX;
- 2) delete articles in those fields that are cataloger constructs, e.g., heading fields such as 1XX, 240, 6XX, 7XX, 8XX, and field 246 unless they are to be filed on (e.g., Los Angeles).

B13.2.3.11

Pass-through data elements that contain errors

Pass-through data elements are data elements in imported records that LC does not actively supply (cf. B13.5 (Appendix 2)). An example is 015 (National Bibliography Number). Sometimes these data elements contain errors that are signaled by error messages generated by the Validator program or the LC ILS. Delete the field. Do not attempt to correct the problem.

B13.2.3.12

Obsolete practices

An imported record may contain data that reflect an obsolete practice. Follow the guidelines stated at the appropriate place in the CCM and summarized in B13.12 (Appendix 9). In general, the approach is to keep to a minimum the requirement to change to current practice unless failure to use the current practice would result in an error message, e.g., for certain indicator values. (Sections may opt to follow current practice in all cases.) On the other hand, if a change can be done easily in support of consistent treatment with minimum overall impact, the change may be required. An example of this kind of mandatory change is deleting dates from certain analytical added entries.

For data newly added at LC to imported records, follow current practice, even if this means that the record will contain both old and new practice, as with fields 246 and 740.

B13.3.1 INTRODUCTION

In the course of review of a copy cataloging record, each element of the record must be reviewed according to the principles and guidelines stated above in Part 2. Whether this is done by a technician, a descriptive or subject cataloger, a whole-book cataloger, or some combination thereof is a matter of section policy. Those who lack expertise in a particular area should refer questions and problems to members of the section/division who have such expertise.

The following guidelines are for data elements actively supplied by LC. They are given in the order they are normally encountered in the record undergoing review, i.e., in field number order except for fields 906, 925, and 955. If a data element in a record is not listed here, it is likely a pass-through data element. For the treatment of such data elements, consult the data element checklist in B13.5 (Appendix 2). Note also that some methods of importing rearrange the order of fields from the standard LC ILS order. See B13.11 (Appendix 8) for more information.

B13.3.1 Review Of Descriptive Data

Review the data elements associated with descriptive cataloging to ensure that:

- 1) access is provided through appropriate main and added entries appropriate to the record's cataloging level and through other access such as standard numbers;
- 2) name and series headings fit into the heading structure of the catalog.;
- 3) editions are distinguished and the record unambiguously identifies the manifestation so that anyone searching with a citation or resource in hand can determine whether their manifestation or citation is a duplicate or an edition.

In addition to the guidelines below, consult the "Descriptive Cataloging Documentation" and "MARC 21 Documentation" sections of Library of Congress Cataloging Documentation at: <http://www.loc.gov/staff/catdir/cpsoc/catdoc.html>

B13.3.2 Review Of Subject And Call Number Data

(See also Shelflisting review, B13.3.3 below.) Review the data elements associated with subject cataloging, classification, and shelflisting to ensure that:

- 1) the completed record contains a valid call number in the 050 field (with indicators set to "00") that fits properly into the LC shelflist;
- 2) the record contains at least one LC subject heading in those cases in which LC subject cataloging policy calls for subject headings and that all LC subject headings and their subdivisions are valid;
- 3) any geographic area codes in an 043 field are valid and correctly applied to the resource in hand;
- 4) fixed field (008) values for conference publication, juvenile literature, fiction, biography, nature of contents are correct according to SCM D 145.

In addition to the guidelines below, consult the "Subject Cataloging

Documentation,” “Shelflisting Documentation,” and “MARC 21 Documentation” sections of *Library of Congress Cataloging Documentation* at: <http://www.loc.gov/staff/catdir/cpsoc/catdoc.html>

B13.3.3 Shelflisting Review

Review the data elements associated with shelflisting to ensure that:

- 1) an LCC-based number is a valid number in LC *Classification Web* and, if the classification number or Cutter number is from a table, that the table was correctly applied;
- 2) **every** aspect of the classification number, call number, or Cutter number reflects LC practice, including date, punctuation, spacing, capitalization, and content designation, etc., e.g.:
 - a) ensure that the resource files in its appropriate location in the shelflist;
 - b) adjust the Cutter number to match a specific Cutter already in the shelflist; conform to a prescribed Cutter table; conform to standard LC Cuttering practices;
 - c) adjust the Cutter number to agree with a change in main entry;
 - d) add/change the volume numbering of a collected set, etc.;
 - e) delete any “trailing x” added to the call number by the original cataloging library, e.g.:

before: 050 04 \$a DS33.3 \$b L63x 1987
after: 050 00 \$a DS33.3 \$b L63 1987

B13.3.4 INDIVIDUAL DATA ELEMENTS

B13.3.4.1 Leader

In general, when importing records select records that reflect values appropriate to the resource being cataloged, particularly with respect to Type of record (Ldr/06) and Bibliographic level (Ldr/07). Note that in Type of record LC does not use value “o” (Kit). For existing imported IBC records, change values as needed to reflect regular LC practice:

Record status (Ldr/05)	No action required (the values in this position are managed by the system)
Type of record (Ldr/06)	Usually no action required unless the value does not reflect the type of material represented by the record or the value is “o” (Kit); in such a case, consult ABA/POLICY
Bibliographic level (Ldr/07)	Usually no action required unless the value does not reflect the bibliographic level of the resource being cataloged; in such a case, consult ABA/POLICY
Type of control (Ldr/08)	No action required
Encoding level (Ldr/17)	Set to the value that reflects the level of cataloging

Desc. cat form (Ldr/18) If other than value “a” (AACR 2), change to “a”
and make any needed adjustments to reflect
AACR2

Note: For records imported through MARCADIA, the encoding level was automatically set to “7” except for PCC adapts (042 = pcc), which were set to “5” if full level or “4” if core level.

B13.3.4.2 008 (Fixed Fields)

Add/change values as needed to ensure that values related to the resource are assigned in the 008 field according to regular LC practice. Further information on appropriate values can be found in *MARC 21 Format for Bibliographic Data* and, for those related to subject cataloging, in SCM D 145. See B13.7 (Appendix 4) for dates in the 008 field for multipart monographs.

= blank

LC ILS Name of Data Element	Action
Type of date (008/06)	Ensure code reflects type of date in field 260
Date 1 (008/07-10)	Ensure date is correct and agrees with date in field 260
Date 2 (008/11-14)	Ensure date is correct, if needed, and agrees with a 2nd date in field 260 or possibly field 500
Place of publication (008/15-17)	Ensure code reflects place of publication of resource
Illustrations (008/18, 19, 20, 21)	Codes (up to 4 may be given) must agree with data in field 300 \$b or \$a for plates
Target audience (008/22)	If juvenile literature, ensure code is “j”
Form of item (008/23)	# unless large print (“d”) or microform (code as appropriate)
Nature of contents (008/24, 25, 26, 27)	Ensure codes (up to 4 may be given) reflect nature of contents (bibliography, etc.) of resource
Government publication (008/28)	If a government publication, ensure appropriate code
Conference publication (008/29)	If a conference publication, ensure code is “1”
Festschrift (009/30)	If a Festschrift, ensure code is “1”
Index (008/31)	If an index present, ensure code is “1”
Literary form (008/33)	If fiction, ensure code is “1”
Biography (008/34)	If biography, ensure appropriate code
Language (008/35-37)	Ensure code reflects language of resource
Modified record (008/38)	# unless “o” for a romanizing language (e.g., Bengali)
Cataloging source (008/39)	Copy cataloging: ensure “d” (if not natl. bib. agency) or “#” if natl bibl agency or an LC-issued enc/lvl 5 rec. (usually lcode) upgraded externally PCC adapt: “c” (if not natl. bib. agency) or “#” if natl. bib. agency

B13.3.4.3 906 Field (Local Processing Data)

The following table states the values/codes for local processing data for the copy cataloging and PCC adapt workflows. The values/codes are used in the same manner as for LC original cataloging but with some codes specific to a particular workflow. For further information, see DCM C16.10.

906 Field			
Cataloging Workflow	Subfield	IBC Stage	Completed Stage
Copy Cataloging	Distribution controller (\$a)	0	7
	Record completion state (\$b)	ibc	cbc
	Processing workflow (\$c)	copycat	copycat
	Priority (\$d)	Priority number (1-3)	Priority number (1-3)
	CIP/PCN flag (\$e)	ncip	ncip
	Century flag (\$f) (LCCN year)	19 if before 2000 20 if 2000-	19 if before 2000 20 if 2000-
	Stakeholder code (\$g)	y-gencatlg; y-nonroman	y-gencatlg; y-nonroman
PCC Adapt	Distribution controller (\$a)	0	7
	Record completion state (\$b)	ibc	cbc
	Processing workflow (\$c)	pccunad	pccadap
	Priority (\$d)	Priority number (1-3)	Priority number (1-3)
	CIP/PCN flag (\$e)	ncip	ncip
	Century flag (\$f) (LCCN year)	19 if before 2000 20 if 2000-	19 if before 2000 20 if 2000-
	Stakeholder code (\$g)	y-gencatlg; y-nonroman	y-gencatlg; y-nonroman

B13.3.4.4 010 Field (Library of Congress Control Number)

If an resource has an LCCN (either preassigned or supplied by other means), that number should normally be retained. If there is no LCCN in the resource or in an IBC record for it, affix to the verso of the t.p. (or its substitute) a barcode label with a new LCCN for the current year and wand or type this number into the 010 field of the copy cataloging record.

If the LCCN is typed into the record, run the Validator program to ensure the correct format.

B13.3.4.5 020 Field (International Standard Book Number)

Apply the following to ISBNs:

- 1) ensure that any ISBNs present in the record are transcribed accurately;
- 2) add as the first ISBN an ISBN for the resource in hand if it appears on the resource but is not already in the record;
- 3) in cases of multiple ISBNs, ensure that the ISBN given first is for the manifestation represented by the record;
- 4) do not add or delete other ISBNs that may be present on the resource but which reflect other bindings, formats, etc.;

- 5) except for ISBN 13/ISBN 10 pairs, do not add a qualifier; accept qualifiers and abbreviations for them as given; for ISBN 13/ISBN 10 pairs, follow the *LC practice* stated in LCRI 1.8;
- 6) accept price as given; do not add, do not delete.

B13.3.4.6 **035 Field (System Control Number)**

Each copy cataloging record contains an 035 field consisting of an MCLO symbol identifying the organization from which the record was imported and that system's control number. Examples:

```
035 ## $a (OCoLC)ocm30449771
035 ## $a (CStRLIN)CLAG94-B16699
```

Multiple occurrences of the field with different system control numbers may be present. Accept them as given; their order does not matter.

B13.3.4.7 **040 Field (Cataloging Source)**

B13.3.4.7.1 *Subfields \$a, \$c, and \$d*

Accept subfields \$a, \$c, and \$d as given regarding number of subfields and the library symbols given in the subfields. (Note that the symbols are those from the MCLO except for records from OCLC, which have symbols from OCLC's own code list.) Ensure that:

- 1) subfield \$a (symbol of the Original cataloging agency), and subfield \$c (symbol of the Transcribing (inputting) agency) are present;
- 2) the last \$d subfield (modifying agency) is DLC

Subfields \$a and \$c may not be present. Apply the following conventions:

- 3) if no 040 \$a and \$c are present, use "XX-XxUND" (MCLO code for "undetermined") in both subfields;
- 4) if no 040 \$a is present but an 040 \$c is, use the code in \$c also in \$a;
- 5) if an 040 \$a is present but no 040 \$c is, use the code in \$a also in \$c.

Delete subfield \$e (Description conventions) if present.

B13.3.4.7.2 *Subfield \$b: Language of cataloging*

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

- 1) external records are candidates for use in copy cataloging **only** if the language of cataloging is English (040 \$b not present or, if present, contains "eng");
- 2) if 040 subfield \$b is present, ensure that it is "eng"; if it is anything other than "eng" do not do the resource as copy cataloging; refer, according to section practice, to have the resource cataloged under some other mode of cataloging; ensure that field 035 is **removed** from the record (to ensure that the record issued by LC does not merge/replace a "parallel" record that might be in OCLC (i.e., another record for the same resource but with a different language of cataloging)).

B13.3.4.7.3

Externally upgraded LC lcode encoding level 5 records

These are LC records either originally issued as IBC/in-process records (encoding level = 5) from an overseas office (042 = lcode) or encoding level 5 records for JACKPHY materials created in RLIN by LC staff for which an external source has completed the cataloging and upgraded the record to full level (encoding level = blank) or core (encoding level = 4). Such records are candidates for import. If the upgrading library is a non-PCC library, treat such records as copy cataloging EXCEPT leave 008/39 (Cataloging Source) blank. Accept the 040 field as is and add a \$d subfield with "DLC" or "DLC-R." In field 042 add an \$a subfield with the code "lccopycat" (following an existing \$a with the code "lcode" if present; in the example, UPL = upgrading library):

```
040 ## $a DLC $c DLC $d UPL $d DLC
042 ## $a lcode $a lccopycat
```

```
040 ## $a DLC-R $c DLC-R $d UPL $d DLC
042 ## $a lccopycat
```

If the upgrading library is a PCC library, treat such records as PCC adapts **EXCEPT** leave 008/39 (Cataloging source) blank (National bibliographic agency). Accept the cataloging level (full or core), and accept the 040 field as is and add a \$d subfield with "DLC." In field 042 add an \$a subfield with the code "pcc" (following an existing \$a with the code "lcode" if present; in the example, UPL = upgrading library):

```
040 ## $a DLC $c DLC $d UPL $d DLC
042 ## $a lcode $a pcc
```

```
040 ## $a DLC-R $c DLC-R $d UPL $d DLC
042 ## $a pcc
```

B13.3.4.8 **041 Field (Language Code)**

An 041 field should be present as appropriate. Retain, add, or delete according to the situation. Ensure that the codes are valid ones as listed in *MARC Code List for Languages* and that the first code is the same as that used in 008/35-37. [If there is doubt about the 041 field or if it is not present but it seems one should be, refer, as needed, within the section.]

B13.3.4.9 **042 Field (Authentication Code)**

Ensure that this field is present and that it contains the code "lccopycat."

If more than one code is present in repeated \$a subfields, ensure that the codes are mutually exclusive (delete any occurrences of “lccopycat” beyond a single occurrence) and that “lccopycat” is given last.

```
042 ## $a nlmcopyc  
042 ## $a lccopycat
```

results in

```
042 ## $a nlmcopyc $a lccopycat
```

One of the other codes that may be present is “lcode,” indicating that the record originated in an LC overseas office (cf. DCM E1.2.3-4) or “lcaac,” indicating the record is part of the annotated card program for children’s literature.

B13.3.4.10 **043 Field (Geographic Area Code)**

Verify that any geographic area code in an imported record is a valid one and is correctly applied to the resource in hand. (Cf. SCM D 155 and the *MARC Code List for Geographic Areas*.) If lacking, and the resource in hand is a candidate for a geographic area code, add, at the discretion of the section.

B13.3.4.11 **050/090/097/950 Fields (LC And LCC-Based Classification/Call Numbers)**

B13.3.4.11.1 *General information.*

The term "LCC-based number" is used to indicate a number based on Library of Congress Classification/Classification Web but assigned externally by the original cataloging library. It is a means of distinguishing such numbers from the final LC classification/call numbers chosen (either the one externally assigned and accepted or one assigned by LC).

Each final record issued by LC must have an LC call number. There are several ways to obtain it, depending upon section practice and the cataloging stream being followed. See B13.3.4.11.2-4 below for details. If a call number cannot be supplied by one of the methods described refer, as needed, the resource to a person within the section/division with subject cataloging expertise.

B13.3.4.11.2 *Converting an LCC-based number to an LC number*

An LCC-based number may be found in an 090, 097, 050, or 950 field, depending on when the copy cataloging record was created and the process used to import it. (Since it is most frequently in the 097 field, that number is used in this discussion.) The number may be a full call number or only a classification number (\$a subfield). Unless one of the special conditions in B13.3.4.11.4 below applies, retain the LCC-based number.

If the LCC-based number is to be used as the classification number, change the 090 or 097 tag to 050. Change the first indicator value to “0” if the resource is to be retained in LC or to “1” if the resource is not to be added to the collections. Change the second indicator to value “0” if not already set to that value. Add a “+” after the number to indicate that the resource is still in process (cf. BWT D 18 III.F). Example:

before: 097 14 \$a QA297 \$b .B37 1993
after: 050 00 \$a QA297 \$b .B37 1993 +

Staff who have not been trained to do shelflisting do not adjust the Cutter numbers, add any that are missing, add/change a date, etc. This will be done as part of the shelflisting aspect. **EXCEPTION:** Where double Cutter numbers are used (e.g., for an artist), correct the Cutter number if it is clearly not the one that LC uses (or provide it according to section practice).

If an 097 field is present but a different classification number is used, convert the 097 to an 050 field with the proper classification number according to the instructions above. A 950 field **MUST** be converted to an 097 or 050 field or deleted; otherwise the record cannot be saved.

B13.3.4.11.3

Obsolete practice

A record created prior to 1982 may contain the obsolete value blank (Undefined) in indicator position 2 of field 050. Change it to "0" (Assigned by LC).

A record created before the implementation of the ILS on August 16, 1999 may contain one or more 050 fields with some variety of "IN PROCESS" or "BOOK NOT YET IN LC" legend. Delete all 050 fields except the one ultimately used for the LC call number.

B13.3.4.11.4

Special conditions

In the special conditions stated below in 1)-9), follow the instructions given for each condition. The principles governing the instructions are:

- obtain an LC-assigned classification number through one of the techniques described below; or,
- a staff member performing the copy cataloging, may need to refer the resource, according to section practice, to someone in the section/division who does subject cataloging for classification when there is no LCC-based number in the imported record or such a number is present but there is any question about it, e.g., the LCC-based number cannot be found in the classification schedules or other works in the catalog with the same class number seem to be on a different topic or the number is obsolete.

1) Another edition

If there is another recent edition or translation of the resource in hand, use the call number from that other edition/translation but do not do any adjustments to reflect the resource in hand, e.g., do not change the date. Example:

050 00 \$a E559.7.C55 \$b D4 2000 +

(Edition in hand is 2004; the date in the call number will be changed at the time of shelflisting.)

EXCEPTION: For Chinese materials, use a Cutter based on Pinyin for an edition in hand unless the Cutter is printed in a classification schedule or is recorded in field 053 in a NAR.

LC copy cataloging does not contain alternate classification numbers. Do not add. Delete if present.

2) Collected set call number–LC general series policy being applied

If the 097 field contains a series number at the end of subfield \$b **and** the resource in hand is being cataloged according to LC general series policy (classify separately, analyze in full; cf. DCM M5.1):

- a) retain the call number in the imported record but change the tag to 050 and the indicators to 14 (050 14);
- b) in addition, assign a "classified separately" call number to the LC resource (050 00).

3) LC collected set call number–LC DCM M5.8.3-4 exceptions being applied

If there is a collected set record for a multipart monograph or a monographic series of which the resource in hand is a part, **and** the resource in hand is a multipart monograph or monographic series that LC by exception classifies as a collection as identified in DCM M5.8.3-M5.8.4, use the collected set number from the collected set record. Example:

050 00\$a KFI1280 \$b .I4 +

(Resource in hand is number 9 in the set; the volume numbering will be added at the time of shelving.)

4) Literary author classification number

If the resource in hand is a work of literature (fiction, poetry, prose, drama, etc.), search for a name authority record for the author of the work. Look for an 053 field. If present, use that number. If an 097 field is present in the bibliographic record, adjust it accordingly; otherwise, supply the number to be used according to section practice. If no author number is found, refer, as needed within the section/division, for classification. Example:

050 00 \$a PS3557.R355 +

(The second Cutter number, date, etc. will be added at the time of shelving.)

5) FC classification numbers

FC classification numbers supplement Library of Congress Classification and are used by Canadian libraries. Refer, as needed within the section/division, for classification.

6) PS8001-8599 classification numbers

PS8001-8599 classification numbers supplement Library of Congress Classification and are used by Canadian libraries. Refer, as needed within the section/division, for classification.

7) PZ3 and PZ4 classification numbers

PZ3 and PZ4 classification numbers are obsolete. Refer, as needed within the section/division, for classification.

8) Bibliographies

Topical bibliographies in subjects other than law and music are classed in Z. Do not provide an alternate classification number. If the resource in hand is a topical bibliography in other than law and music, do the following:

- a) if an 097 field is present and contains a Z classification number, use the Z number unless it inaccurately represents the contents of the work;
- b) if an 097 field is present but does not contain a Z classification number, refer, as needed within the section/division, for classification.

9) Class number/first subject heading

Supply a class number that corresponds to the first subject heading. See B13.8 (Appendix 5) for further information.)

B13.3.4.12 082 field (Dewey Decimal Classification Number)

Retain if the second indicator value is set to "4" (Assigned by an agency other than LC; set by the Z-Processor program); otherwise delete. Resources undergoing copy cataloging are forwarded to Dewey under the same conditions as for original cataloging. If a resource is forwarded to Dewey, and if it is among the materials actually assigned a classification number there, staff in Dewey will assess any 082 field with second indicator value "4," change as needed, and set the second indicator value to "0" (Assigned by LC).

B13.3.4.13 090 Field (LCC-Based Classification/Call Number)

See 050/090/097 fields above under B13.3.4.11.

B13.3.4.14 092 Field (Local Dewey Decimal Classification Number)

Delete the field. Do not convert it to an 082 field.

B13.3.4.15 097 Field (LCC-Based Classification/Call Number)

See 050/090/097 fields above under B13.3.4.11.

B13.3.4.16 1XX Field (Main Entry)

B13.3.4.16.1

Choice of entry

Assess the choice of main entry according to the rules of AACR2 and the LCRIs. If the situation is one in which the application of the appropriate AACR2 provision is a matter of judgment, accept the choice. If the choice violates one of those rules, change it. [If in doubt, consult, as needed, within the section.] Be particularly aware of the following common errors:

- entry under title proper (245 field), but the work is clearly by a single author;
- entry under title proper (245 field), but there is an established uniform title heading (130 field or 1XX/240 combination);
- entry under a personal name, but that person is clearly identified on the chief source as editor and should be given as an added entry (700).

B13.3.4.16.2

Form of entry

Once the choice of main entry is determined, ensure that the form of that choice agrees with the established form. If there is no established form, create appropriate authority records. [Technicians: refer for authority work.] (For EL7 lccopycat guidelines, see B13.10 (Appendix 7)).

B13.3.4.16.3

Obsolete practice

If the second indicator is "0" (Main entry/subject relationship irrelevant), change it to a blank (Undefined). If "1" (Main entry is subject), change it to a blank and add the entity in the 1XX as a 6XX.

B13.3.4.17

240 Field (Uniform Title)

Determine whether a uniform title is appropriate according to AACR2 and the LCRIs. If one is present, retain it if determined to be appropriate. If one is not present, add it. Once the appropriate uniform title is determined, ensure that the form of that choice agrees with the established form. If there is no established form, do needed authority work. [Technicians: refer for questions or authority work.] Delete any initial article and change the non-filing indicator to "0."

B13.3.4.18

245 field (Title Statement)

B13.3.4.18.1

Transcription

Ensure that the title proper (\$a, \$n, \$p), other title information (\$b), and statement of responsibility (\$c) are transcribed accurately and completely from the chief source of the resource in hand. Add any data associated with these data elements as needed. Generally accept stylistic differences except as follows:

- 1) **punctuation:** correct ISBD and end-of-field punctuation as needed; accept other internal punctuation as given;
- 2) **spacing:** correct spacing associated with ISBD punctuation; accept other internal spacing as given;
- 3) **abbreviations:** transcribe abbreviations actually occurring in the chief source to reflect accurately the form found on the resource being cataloged.

Retain "extra" parallel titles (cf. LCRI 1.1D2). See section on field 246 (B13.3.4.19) for instructions on counterpart 246 fields.

Sections may exercise discretion in treating issues that are characteristic of the materials they catalog. For JACKPHY materials, limit counterpart nonroman data to the core fields (245, 250, 260, 4XX); do not add nonroman data for other fields but retain if present.

B13.3.4.18.2

Access

If a 1XX field is present, ensure that the first indicator position of field 245 is set to "1" (Added entry).

B13.3.4.19

246 field (Varying Form Of Title)

The implementation in February 1995 of changes related to format integration

introduced a major change in the mechanism used for providing title added entries for varying forms of titles in machine-readable bibliographic records for monographs. Whereas previously all title added entries for varying forms of title had been recorded in a 740 field (with statements about such titles recorded in 500 note fields), the 246 field now carries most varying forms of title (see LCRI 21.30J for details).

Accept either 246 or 740 fields. (For 740 fields, see under that field.)

In general, accept any 246 field given, whether "justified" in the record or not, except for any field that may be egregiously misleading. Accept the order in which the fields are given. Ensure that the indicator values used are appropriate to the situation.

Ensure that the complement given provides basic access, namely, for alternative titles, parallel titles, titles on added title pages, and cover titles.

Change/add data as follows:

- 1) add a 246 field when required for basic access; in adding such a field, follow LC practice;
- 2) in general, retain a 246 field even though LC would not normally provide it; **exceptionally**, when a record exemplifies a much deeper level of access, e.g., some records from specialist libraries that contain large numbers of 246 fields, often with indicators set to "33," retain, according to section/division practice, only the complement of 246 fields that LC would supply; if the source record is from OCLC, use the EL7 lccopycat technique;
- 3) retain any 246 fields that are counterparts to "extra" parallel titles, but do not add "extra" 246s for them;
- 4) delete any initial article and change the non-filing indicator to "0."

B13.3.4.20 250 Field (Edition Statement)

Determine whether an edition statement is appropriate according to AACR2 and the LCRIs. If so and one is present, retain it; if one is not present, add it. Generally accept stylistic differences except as follows:

- 1) **punctuation:** correct ISBD and end-of-field punctuation as needed; accept other internal punctuation as given;
- 2) **spacing:** correct spacing associated with ISBD punctuation; accept other internal spacing as given;
- 3) **abbreviations:** do not change abbreviations or change for fullness of a word.

B13.3.4.21 260 Field (Publication, Distribution, Etc. (Imprint))

To the extent possible, accept what is present, but ensure that data constituting the substance of the publication, distribution, etc., area match the resource. Be less concerned with the

style in which they are presented. Generally accept stylistic differences except as follows:

- 1) **punctuation:** correct ISBD and end-of-field punctuation as needed; accept other internal punctuation as given;
- 2) **spacing:** correct spacing associated with ISBD punctuation; accept other internal spacing as given;
- 3) **abbreviations:** do not change abbreviations or change for fullness of a word.

B13.3.4.21.1

Place

If a U.S. place is appropriate to the resource being cataloged but is lacking in the imported record, add it according to LC practice (LCRI 1.4D4). Change/do not change data as follows:

- 1) do not change "[S.I.]" to a probable place;
- 2) do not change to add a larger place:

Example:

on resource: New York, N.Y., U.S.A.
accept: New York
New York, N.Y.
New York, U.S.A.

B13.3.4.21.2

Publisher

If a U.S. publisher or distributor is appropriate to the resource being cataloged but is lacking in the imported record, add it according to LC practice (LCRI 1.4D4). Change/do not change existing data as follows:

- 1) do not change to a fuller or shorter form—accept as found in the imported record;

Examples:

"Rowe" vs. "D.N. Rowe"
"The Entomological Society of Canada" vs. "Entomological
Society of Canada"
"Western Publishing" vs. "Western Publishing Company"

- 2) do not substitute an abbreviated form for a spelled out form;

Examples:

accept: Western Publishing
do not substitute: Western Pub.

accept: Government Printing Office
do not substitute: G.P.O.

- 3) do not change “[s.n.]” to a probable publisher.

B13.3.4.21.3

Date

Ensure that any prime date reflects the resource accurately; as long as that is true, retain other dates given even though they would not be given according to LC practice, e.g., a publication date followed by a copyright date.

Example: 260 ## \$a New York : \$b Doubleday, \$c 1995, c1994.

For imported records representing a printing different from that of the resource in hand, consult the *LC practice* statement in LCRI 1.4G4 and apply it accordingly.

See B13.7 (Appendix 4) for dates for multipart monographs.

B13.3.4.21.4

Obsolete practice

If the first indicator is “0” (Publisher, distributor, etc., is present) or “1” (Publisher, distributor, etc., not present), change to a blank (No information provided).

B13.3.4.22

300 Field (Physical Description)

B13.3.4.22.1

Single-volume resources

Ensure that the extent statement (\$a subfield) accurately reflects the resource being cataloged; add preliminary paging if omitted. Accept the statement of illustrative matter; add "ill." if lacking but the resource is obviously illustrated and adjust 008/18 accordingly. Accept the size; if lacking, add it.

B13.3.4.22.2

Multipart monographs

See B13.7 (Appendix 4).

B13.3.4.23

4XX Fields (Series Statement) (See also 8XX fields)

Ensure that all the following conditions have been met:

- 1) all the series statements (4XX) in the resource in hand are present in the record resulting from copy cataloging; add series in field 490 0# as necessary;
- 2) all the series statements (4XX) in the imported record are present in the resource in hand; delete any statements not found in the resource in hand;
- 3) all the series statements (4XX) are transcribed accurately; correct any typos and add any missing data elements.

B13.3.4.24

5XX Fields (Notes)

In general, accept differences in style. Change notes only if they contain

typographical errors, are factually incorrect, or their meaning is not clear. Add notes other than those described below only when considered absolutely essential to fit specific situations, e.g. a thesis or dissertation note, a copy-specific note related to LC's copy. Use the following guidelines:

- 1) **abbreviations vs. spelled out forms:** accept as long as the meaning is clear; abbreviations need not follow AACR2, Appendix B;
- 2) **bibliography and index notes:** do not change or combine to reflect current LC style, but add as appropriate, formulating them according to current LC style and synchronizing them with their related fixed fields;
- 3) **contents note (505 field):**
for multipart monographs with separate titles: add, change, or retain according to B13.7 (Appendix 4); for single-part resources: retain subfields \$g, \$r, and \$t;
- 4) **accompanying computer file disk, sound recording, or videorecording:** follow DCM B18, B20, or B21 respectively;
- 5) **local note (590/591 field) or a copy-specific note in a 500 field:** follow DCM B17 if the information is applicable to LC; delete the note if it is not; add if appropriate to LC's copy;
- 6) **reproduction note (533 field):** add as appropriate;
- 7) **restrictions on access note (506 field):** add in any case of restricted access to LC materials;
- 8) **"With" note (501 field; subfield \$5):**
if the "With" note applies to LC's copy but not to those of other libraries, add a "With" note (501 field; subfield \$5) either according to the practice for general cataloging (LCRI 1.7B21) or the practice applied to rare books (DCRM(B) 7B18);
if the "With" note applies to another library's copy but not to LC's, ensure the note contains an MCLO symbol for the other library in subfield \$5 (Institution to which field applies) (if the note comes as 500 instead of 501, leave as is); in the unlikely event the "With" note applies to both another library's copy and LC's copy, add a separate "With" note for the LC copy (this is necessary because subfield \$5 is not repeatable) .

B13.3.4.25

6XX Fields (Subject Added Entries) (See also 653 field)

B13.3.4.25.1

General.

In general, accept the complement of subject headings as given.

Assessing the subject headings in the imported record is essentially one of answering the questions that follow. If the answer to any of the questions is "no" or there is any doubt about the correctness of a subject heading, refer to or consult with, as needed, a person knowledgeable in the subject aspect within the section/division according to section practice.

- 1) Does the imported record have at least one LC subject heading in cases in which LC subject cataloging policy calls for them?
- 2) Is the subject heading appropriate to the work (or at least not grossly inappropriate)?

A subject heading may be completely incorrect, e.g.:

title is *Australian art*
subject heading is Art, Austrian.

A subject heading may be too broad or too general, e.g.:

title is *Pueblo architecture of Chaco Canyon, New Mexico*
subject heading is "Housing."

title is *Agricultural research in Oregon, 1850-1929*
subject heading is "Agriculture."

The degree to which appropriateness of subject headings can be evaluated will vary according to the circumstances in each section, the experience of the staff doing copy cataloging, and the time available for consultation with staff with subject expertise.

- 3) Is the subject heading and its components covered by an authority record or a free-floating subdivision?
- 4) Is the subject heading constructed following LC rules and procedures according to the guidelines given below?

B13.3.4.25.2

Order of subject headings

Generally accept the order of the subject headings as given. However, to the extent practicable, ensure that the LC classification number and the first LC subject heading correspond, i.e., ensure that the first subject heading is the one that represents the predominant topic of the resource in hand.

B13.3.4.25.3

6XX second indicator

The second indicator position of 6XX fields contains a value indicating the subject heading system represented by the subject heading. Subject headings with second indicator values 0-7 may be present in an imported record. Treat these categories as follows:

- 0 - Library of Congress subject headings
Search and validate according to the guidelines given below in B13.8 (Appendix 5).
- 1 - LC subject headings for children's literature
Follow the guidelines in B13.6 (Appendix 3) for the treatment of children's materials.
- 2 - Medical subject headings/National Library of Medicine
Retain as given.

3 - National Agricultural Library subject headings
Retain as given. (Unlikely to occur in current imported records.)

4 - Source not specified
Delete if it is immediately obvious that any one is:

- a) redundant to any LC subject heading(s) in the record;
- b) less specific than any LC subject heading(s) in the record;
- c) incorrect, e.g. the subject heading is Australia, but the resource in hand is about Austria.

If this determination cannot be made quickly or there is doubt about any aspect, retain as given.

5 - Canadian Subject Headings
Retain as given.

6 - Répertoire des vedettes-matière
Retain as given.

7 - Source specified in subfield \$2
Retain as given.

B13.3.4.25.4

Search and validation

For detailed instructions on searching subject headings, see B13.8 (Appendix 5). Apply the search and validation procedures only to those subject headings with a second indicator value of "0" (Library of Congress subject headings). Do not search/validate subject headings with 6XX second indicator values "1-7."

In searching subject headings, distinguish between a "main subject heading" and any "subject subdivisions." The "main subject heading" is the principal element of the subject string; it is that part of the string to which subject subdivisions may be appended. For topical subject headings, the main subject heading is a single \$a subfield, e.g.:

650 #0 \$a Camping \$z Oregon \$v Guidebooks.
(*"Camping" is the main subject heading.*)

For other subject headings, the main subject heading may be a single \$a subfield or a combination of an \$a subfield and other subfields other than \$v, \$x, \$y, and \$z, e.g.:

600 10 \$a Shakespeare, William, \$d 1564-1619.
\$t Hamlet \$v Indexes.
(*"Shakespeare, William, 1564-1619. Hamlet" is the main subject heading.*)

"Subject subdivisions" consist of:

- form subdivision (\$v subfield)
- general subdivision (\$x subfield)
- chronological subdivision (\$y subfield)
- geographic subdivision (\$z subfield).

Determining the validity of each subject heading involves several separate actions.

- 1) **Main subject heading.** Search to determine that each main subject heading matches an established name or subject authority record. (See B13.8 (Appendix 5) for guidelines on searching subject headings.)
- 2) **General (\$x subfield), form (\$v subfield), or chronological (\$y subfield) subdivision.** Search to determine that each general, form, or chronological subdivision either:
 - a) matches an established subdivision authority record, i.e., there must be a separate authority record for the main subject heading in combination with the particular subdivision; or
 - b) is a free-floating subdivision that is correctly applied to the heading at hand as prescribed in the *Subject Cataloging Manual: Subject Headings* (SCM). Consult *Free-Floating Subdivisions: An Alphabetical Index* to locate the pertinent instruction in the SCM for each free-floating subdivision.
- 3) **Geographic subdivision (\$z subfield).**
 - a) Verify that any name used as a geographic subdivision (\$z subfield) is established as a geographic heading.
 - b) Ensure that for each geographic subdivision: 1) there is an indication in either a subject authority record or with a free-floating subdivision that the heading may be subdivided geographically; and 2) any indirect geographic subdivision is constructed as directed in SCM H 830.
- 4) **Order of subdivisions.** Ensure that any combination of subject subdivisions is in the correct order. That order must either a) agree with the order of subdivisions in a subject authority record or b) be in the order prescribed in the SCM.

B13.3.4.25.5

Changes related to LC subject headings

Change any LC subject headings or subdivisions in an imported record that clearly vary from the established LC form, e.g.:

before: 650 #0 \$a Map-making \$z Gulf of Mexico.
after: 650 #0 \$a Cartography \$z Mexico, Gulf of.

In case of doubt, or if there is any suspicion that the variant heading or subdivision may be a different subject, refer according to section practice.

Change any error in the order of subject subdivisions, e.g.:

before: 650 #0 \$a Children \$x Folklore \$z England.
after: 650 #0 \$a Children \$z England \$x Folklore.

Change any errors of indirect geographic subdivision, e.g.:

before: 650 #0 \$a Museums \$z Toledo (Ohio)
after: 650 #0 \$a Museums \$z Ohio \$z Toledo.

Change any errors of MARC content designation, e.g.:

before: 600 10 \$a Dowling, \$c Father (Fictitious
character) \$v Fiction.
after: 650 #0 \$a Dowling, Father (Fictitious
character) \$v Fiction.

B13.3.4.26

653 Field (Index Term--Uncontrolled)

Delete such fields if it is immediately obvious that any one is:

- 1) redundant to an LC subject heading(s) present in the record;
- 2) less specific than an LC subject heading(s) present in the record;
- 3) incorrect for the resource in hand, e.g. the assigned index term is Australia, but the resource in hand is about Austria.

If this determination cannot be made quickly or there is doubt about any aspect, retain the 653 field as given.

B13.3.4.27

700-730 Fields (Added Entries)

B13.3.4.27.1

Basic access

To the extent possible, accept the complement given, whether "justified" elsewhere in the record or not, except for any field that may be egregiously misleading. Accept the order in which the fields are given. Ensure that the complement given provides basic access as follows (in adding added entries, follow LC practice):

1) **Persons**

Joint authors: If the main entry is under the heading for one of two or three collaborating persons, there should be added entries under the headings for the others (AACR2 21.30B1).

Editors: There should be an added entry under the heading for a prominently named editor (AACR2 21.30D1).

2) **Corporate bodies**

There should be an added entry under the heading for a prominently named corporate body, unless it functions only as publisher or as issuing body of the series. Note that *LC practice* prior to December 2001, was to make added entries for conferences, expeditions, or

events, under certain circumstances, depending upon where the name appeared. Effective December 2001 the practice for a work covered by Category “d” of 21.1B2 is to enter under the heading for the name of a conference, expedition, or event if the name appears anywhere in the resource being cataloged (see LCRI 21.30E).

3) Related works

There should be an added entry under the heading for a work to which the resource being cataloged is closely related (AACR2 21.30G1) when cataloging adaptations (AACR2 21.10A), revisions (AACR2 21.12), or supplements or screenplays (AACR2 21.28A).

4) Analytical added entries (AACR2 21.30M)

There should be an analytical added entry under the heading for a work contained within the resource being cataloged when cataloging commentaries with text (AACR2 21.13) or collections covered by AACR2 21.7B, 21.7C, and 25.7.

B13.3.4.27.2

Changes/additions

[If it appears that added entries may need to be added to ensure basic access, or; if there is doubt about already existing added entries, refer, as needed, to a person knowledgeable of the descriptive aspect within the section/division according to section practice.]

Change/add data as follows:

- 1) in general, retain an added entry even though LC would not normally provide it; **exceptionally**, when a record exemplifies a much deeper level of access, e.g., some records from specialist libraries that contain large numbers of added entries, retain, according to section/division practice, only the complement of added entries that LC would supply; if the source record is from OCLC, use the EL7 lccopycat technique;
- 2) change added entries to reflect LC policy on initial articles; e.g., delete an initial article in the title portion of name/title added entries; when deleting an initial article at the beginning of a field (e.g., 730), also change the non-filing indicator to “0”;
- 3) delete an added entry for a person or title that does not appear in the resource in hand;
- 4) delete an added entry that duplicates exactly the main entry;
- 5) delete an added entry for what is determined, according to LC practice, to be an unnamed conference;
- 6) delete dates from certain analytic added entries (cf. LCRI 21.30M); see below B13.3.4.27.4 no. 2;
- 7) for books, delete all designations of function (subfield \$e) except for “ill.” in added entries for illustrators in records for resources intended for children.

B13.3.4.27.3

Form of added entries

Once the complement of added entries has been determined, ensure that

the form of each reflects the form in the authority record; if there is no authority record or an existing one needs modification, technicians, refer for authority work, including those for which LC would not normally supply the added entry. (See also B13.10 (Appendix 7) for EL7 lccopycat guidelines.)

B13.3.4.27.4

Obsolete practice

Make the following changes:

- 1) in 700-730 fields, second indicator position (Type of added entry) change the obsolete values 0 (Alternative entry) and 1 (Secondary entry) to blank (No information provided);
- 2) in 700-730 fields, second indicator position (Type of added entry), value 2 (Analytical entry), subfield \$f (Date of a work), delete dates of a work from analytical added entries except when occurring in added entries for the Bible, for "Works," and for "Selections" (cf. LCRI 21.30M).

B13.3.4.28

740 field (Added Entries For Variant Titles (Old) And Uncontrolled Analytical Title Added Entries (New))

The implementation in February 1995 of changes related to format integration introduced a major change in the mechanism used for providing title added entries for varying forms of titles in machine-readable bibliographic records for monographs. Whereas previously all title added entries for varying forms of title had been recorded in a 740 field then defined as "Added entry--variant title" (with statements about such titles recorded in 500 note fields), the 246 field now carries most varying forms of title (see LCRI 21.30J for details). Field 740 is now limited to added entry access for the uncontrolled form of two kinds of titles:

- a) uncontrolled analytical added entries for titles of independent works contained within the resource;
- b) uncontrolled added entries for titles of related works external to the resource.

Accept either 740 or 246 fields. (For 246 fields, see under that field (B13.3.4.19).) Since new title access fields added at LC will be given in 246 fields, a mixed practice within a single record may result.

Accept any 740 fields given, whether "justified" in the record or not, except for any field that may be egregiously misleading. Accept the order in which the fields are given. If a 740 is an analytical added entry, ensure the value in indicator position two is "2." If additional titles are needed to provide basic access (cf. B13.3.4.27.1 above), add them as 246 fields.

For resources without a collective title, there should be the title added entries specified by LCRI 21.30J.

B13.3.4.28.1

Changes/additions

Change/add data as follows:

- 1) retain a 740 field even though LC would not normally provide it;
- 2) delete a 740 field for a title that does not appear on the resource in hand;
- 3) delete any initial article and change the non-filing indicator to "0."

B13.3.4.28.2

Obsolete practice

Make the following changes:

- 1) in the second indicator position (Type of added entry) change the obsolete value 0 (Alternative entry) to blank (No information provided) if the 740 is equivalent to what is now recorded in field 246 or if it is for the uncontrolled form of a title of a related work external to the resource being cataloged;
- 2) in the second indicator position change the obsolete value 1 (Secondary entry) to 2 (Analytical entry) if an uncontrolled analytical added entry for the title of an independent work contained within the resource.

B13.3.4.29

8XX Fields (Series Added Entries) (See also 4XX fields)

Ensure that:

- 1) no 8XX field is redundant, e.g., delete an 830 field if there is also a 440 field for the same series and they match exactly; if they do not, convert the 440 to 490 1#;
- 2) all the series added entries (8XX) have corresponding series statements (4XX);
- 3) delete any 8XX field for which a series statement is not found in the resource.

B13.3.4.30

923 Field (Local Shipment/Invoice Information)

Some methods of importing (e.g., MARCADIA) result in the 923 field being positioned at the top of the record (between 906 and 925 fields). It is not necessary to reposition.

B13.3.4.31

950 field (Local Call Number)

If a 950 field is in an imported record, the record cannot be saved. Either delete the field or convert it temporarily to an 097 field or use it for the eventual 050 field. (See B13.3.4.11 050/090/097 Fields above.) Since about March 2004 the pre-processing software applied to MARCADIA imports checked any 950 field. If a class or call number was present, the field was changed to 097. If there was no class or call number present, the field is deleted.

B13.3.4.32

952 Field (Local Cataloger's Permanent Note)

Retain if present only if the data in the field are pertinent to the resource being cataloged. See B13.7 (Appendix 4) for multipart monographs.

B13.3.4.33 **955 field (Local Functional Identifying Information)**

Some methods of importing (e.g., Z-Processor, MARCADIA) result in a new 955 field being positioned at the top of the record and the old one positioned at the bottom. Do not delete or add to the old 955 field.

B13.3.4.34 **985 field (Local Record History)**

This field is used to identify records for various purposes, usually the source of the record (e.g., LC's overseas offices) or a particular service (e.g., RLIN's MARCADIA service):

```
985 ## $a rlin $c rlin $e marcadia
```

Field 985 is added to the record through pre-processing or other software; retain it, but it does not need to be reviewed.

B13.4	The following are often-used terms in the context of LC copy cataloging:
cataloging stream	a combination of two sets of conditions: 1) the first set includes aspects of IBC, workflow, and identifying characteristics related to a catalog record in both an in-process and a completed state; 2) the second set is related to a resource itself, usually in the form of slips inserted in the resource and data written/pasted in it (LCCN; call number in paperbacks)
copy cataloging	cataloging a resource by editing a bibliographic record created by another agency
copy review	the stage of the LC copy cataloging workflow in which the cataloging of a resource is done through the process of considering it in relation to an imported record and making needed adjustments/additions according to the guidelines developed for copy cataloging
export	transmission of a record from one site to another; the originating site at which the source record initially resides is the exporting site (e.g., OCLC exports a record to LC)
external source record	a record usually, but not always, created by an external source; in all cases the record resides in an external site or in an internal resource file; synonymous with "imported record"
import	transmission of a record from one site to another; the receiving site is the importing site (e.g., LC imports records from other sites)
imported record -	a record usually, but not always, created by an external source; in all cases the record resides in an external site or in an internal resource file; synonymous with "external source record"
LCC-based number	a classification/call number based on <i>Library of Congress Classification</i> but assigned externally by the original cataloging library
LCDB	Library of Congress Database
MARCADIA	a service that was available from RLIN whereby LC submitted copies of IBC records to RLIN; they were automatically searched against the RLIN database and any matched records were returned to LC and replaced the existing counterpart LC IBC record
MCLO	MARC Code List for Organizations (http://www.loc.gov/marc/organizations/). This list is the successor to <i>Symbols of American Libraries</i> , sometimes referred to as NUC (National Union Catalog) symbols.
original cataloging	cataloging a resource by creating a bibliographic record
pass-through data element	a data element not actively assigned by LC; it is present in an imported record, is retained, and is present in the record re-issued by LC, thus a "pass-through" data element; no action is taken against a pass-through data element during copy review unless the data element is in error as indicated by an error message generated by the LC ILS; in such cases the data element is deleted

- PCN** Preassigned Control Number Program. A program administered by the the U.S. and Publisher Liaison Division whereby publishers may obtain a Library of Congress Control Number (LCCN) prior to publication so that the LCCN can be printed in the book.
- refer** in the context of LC copy cataloging "refer" means that a staff member who does not possess a particular knowledge or expertise consults with or refers a resource to a staff member who does, usually within the same section and according to section practice; for example, authority work for a descriptive cataloging access point is done by a cataloger with descriptive cataloging expertise; a problem relating to subject access or classification is considered by a cataloger with subject cataloging expertise; problems relating to shelflisting are considered by staff with shelflisting expertise
- replace/merge** the process of importing a record when a record for the same title already exists in the LC ILS; the resulting record is a combination of mostly data elements from the imported record combined with some of the data elements retained from the already existing LC record
- Z39.50 information retrieval** a complement of software that permits searching an external database using the searching conventions of the site from which the search is being initiated; in the LC ILS a Z39.50 search is initiated by using the "Remote" button on the Search window; permits import of records to LC from various sites; usually referred to as just "Z39.50" (spoken as "zee thirty-nine dot fifty")
- Z-Processor** a special program developed to import records for various cataloging streams; the program attempts to minimize for each stream the data manipulations required to be performed by the staff member importing the record

B13.5.1 INTRODUCTION

The checklist of data elements given in the next section is a list of MARC 21 data elements that may occur in imported records. Some are more likely to occur than others, e.g., it is less likely that data elements defined especially to accommodate some of the particular characteristics of serials will also occur in records for monographs.

The purpose of the checklist is to indicate:

- 1) the data elements and fields that must be reviewed, corrected, deleted, or supplied by the LC staff member doing copy cataloging;
- 2) the data elements and fields that can be accepted as they are.

The former are referred to as data elements actively supplied by LC, the latter are referred to as pass-through data elements. No action is taken against a pass-through data element during copy review unless the data element is in error as indicated by an error message generated by the Validator program or the LC ILS. In such cases delete the data element.

In the checklist below, the column to the left indicates the MARC 21 variable field tag, the next column the name of the field. The next column contains one or more codes from the following list, and the final column on the right includes explanatory comments for some fields.

- yy** - indicates a data element actively supplied by LC in original cataloging; for LC copy cataloging, review and change the data element as needed according to the instructions given in Part 3 of the CCM or any annotation given in the checklist; even though actively supplied in original cataloging, **add** only if provided for in the CCM.
- nn** - usually indicates a data element not actively supplied by LC in original cataloging--thus a "pass-through" data element; do not review or change the data element **unless** there is an error message associated with it, in which case delete it ("nn" alone not followed by "ss").
- yn** - indicates a partially supplied, partially pass-through data element condition; in LC the data element may be actively supplied on a limited basis, e.g., by specific cataloging units or for specific cataloging situations or only limited aspects are supplied, e.g., only certain subfields of a variable field; the data elements or portions actively supplied are reviewed by staff or units that actively supply them when those units or staff are doing copy cataloging; otherwise they are pass-through (if not applied in a section, do not refer for review).
- dd** - delete the data element (either not wanted by LC or not retained as a pass-through data element).
- rr** - the data element is copy specific or applicable specifically to the resource being cataloged; retain only if applicable to the LC resource (not very likely)
- ss** - the data element is or may be system supplied (LC ILS); this code will appear as a second code in the column for codes as applicable.

Sometimes a code is followed by a comment in the last column.

B13.5.2 CHECKLIST

B13.5.2.1 Leader

In general, when importing records select records that reflect values appropriate to the resource being cataloged, particularly with respect to Type of record (Ldr/06) and Bibliographic level (Ldr/07). Note that in Type of record LC does not use value “o” (Kit). For existing imported IBC records, change values as needed to reflect regular LC practice:

Record status (Ldr/05)	No action required (the values in this position are managed by the system)
Type of record (Ldr/06)	Usually no action required unless the value does not reflect the type of material represented by the record or the value is “o” (Kit); in such a case, consult ABA/POLICY
Bibliographic level (Ldr/07)	Usually no action required unless the value does not reflect the bibliographic level of the resource being cataloged; in such a case, consult ABA/POLICY
Type of control (Ldr/08)	No action required
Encoding level (Ldr/17)	Set to the value that reflects the mode of cataloging
Desc. cat form (Ldr/18)	If other than value “a” (AACR 2) change to “a” and make any needed adjustments to reflect AACR 2

B13.5.2.2 Variable Control Fields

001 (Control Number (LC ILS control number)), 003 (Control Number Identifier), and 005 (Date and Time of Latest Transaction) are set by the LC ILS. 006 (Fixed-Length Data Elements--Additional Material Characteristics) is only actively supplied by LC for integrating resources. For other publications it is treated as a pass-through data element. 007 (Physical Description Fixed Field) is actively supplied for certain cartographic materials, electronic resources, graphics, microforms, and moving image materials. For other materials, e.g., an 007 field related to material accompanying a book, treat the field as a pass-through data element. 008 (Fixed Length Data Elements) is actively supplied with some limitations for EL7 lccopycat (see DCM B13.10.2.2 (Appendix 7)) and MLC (see DCM B11).

B13.5.2.3 Variable Data Fields

Tag	Name of Field	Code	Comment
010	Library of Congress Control Number	yy	
013	Patent Control Information	nn	
015	National Bibliography Number	nn	
016	National Bibliography Number	nn	
017	Copyright or Legal Deposit Number	nn	
018	Copyright Article-Fee Code	nn	
020	International Standard Book Number	yy	
022	International Standard Serial Number	nn	
024	Other Standard Number	nn	

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Tag	Name of Field	Code	Comment
025	Overseas Acquisition Number	yy	Supplied by LC overseas offices
026	Fingerprint Number	dd	
027	Standard Technical Report Number	yn	LC practice is to use if known to be a STRN; other-wise a quoted note if given; accept as pass through the treatment in the copy cataloging record
028	Publisher Number	yy	Used for music-related materials
030	CODEN Designation	nn	
032	Postal Registration Number	nn	
033	Date/Time and Place of an Event	nn	
034	Coded Cartographic Mathematical Data	yy	Responsibility of G & M staff
035	System Control Number	yy ss	
036	Original Study Number for Computer Data Files	nn	
037	Source of Acquisition	yn	LC practice is to use for numbers known to be stock numbers, e.g., GPO stock number; otherwise a quoted note if given; accept as pass through the treatment in the copy cataloging record
038	Record Content Licensor	nn	
040	Cataloging Source	yy	
041	Language Code	yy	
042	Authentication Code	yy	
043	Geographic Area Code	yy	
044	Country of Publishing/Producing Entity Code	nn	
045	Time Period of Content	nn	
046	Special Coded Dates	yn	Use for B.C. date in conjunction with 008/06 "b"; LC does not actively supply subfields \$j, \$k, \$l, \$m, \$u, \$2
047	Form of Musical Composition	nn	
048	Number of Musical Instruments	nn	
050	Library of Congress Call Number	yy	
051	Library of Congress Copy, Issue, Offprint Statement	yy	

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Tag	Name of Field	Code	Comment
052	Geographic Classification	yn	Responsibility of G & M staff; LC does not actively supply 1st Indicator value "1"
055	Classification Numbers Assigned in Canada	nn	
060	National Library of Medicine Call Number	nn	
061	National Library of Medicine Copy Statement	nn	
066	Character Sets Present	yy ss	Applies to records containing nonroman scripts
070	National Agricultural Library Call Number	nn	
071	National Agricultural Library Copy Statement	nn	
072	Subject Category Code	nn	
074	GPO Item Number	nn	
080	Universal Decimal Classification Number	nn	
082	Dewey Decimal Classification Number	yy	
084	Other Classification Number	nn	
086	Government Document Classification Number	nn	
088	Report Number	yn	LC practice is to use for numbers not STRNs; if in doubt a report no., use quoted note if given; accept as pass through the treatment in the copy cataloging record
09X	Local Call Numbers	yy	Changed to 097 by Z-Processor; change to 050 at end-stage proc.
100	Main Entry - Personal Name	yy	
110	Main Entry - Corporate Name	yy	
111	Main Entry - Meeting Name	yy	
130	Main Entry - Uniform Title	yy	
210	Abbreviated Title	nn	
222	Key Title	nn	
240	Uniform Title	yy	
242	Translation of Title by Cataloging Agency	nn	
243	Collective Uniform Title	dd	
245	Title Statement	yy	
246	Varying Form of Title	yy	

Tag	Name of Field	Code	Comment
247	Former Title	yn	Used for integrating resources only; otherwise, pass through
250	Edition Statement	yy	
254	Musical Presentation Statement	nn	
255	Cartographic Mathematical Data	yy	Responsibility of G & M staff
256	Computer File Characteristics	nn	
257	Country of Producing Entity for Archival Films	nn	
260	Publication, Distribution, etc. (Imprint)	yy	
263	Projected Publication Date	yy	Used in CIP records only
270	Address	nn	
300	Physical Description	yy	
306	Playing Time	nn	
307	Hours, etc.	nn	
310	Current Publication Frequency	nn	
321	Former Publication Frequency	nn	
340	Physical Medium	nn	
342	Geospatial Reference Data	yy	Responsibility of G & M staff
343	Planar Coordinate Data	yy	Responsibility of G & M staff
351	Organization and Arrangement of Materials	yy rr	Used in some rare book cataloging
352	Digital Graphic Representation	yy	Responsibility of G & M staff
355	Security Classification Control	nn	
357	Originator Dissemination Control	nn	
362	Dates of Publication and/or Sequential Designation	yy	Used in multipart monographs, integrating resources, and serials
365	Trade Price	nn	
366	Trade Availability Information	nn	
400	Series Statement/Added Entry - Personal Name	nn	
410	Series Statement/Added Entry - Corporate Name	nn	
411	Series Statement/Added Entry - Meeting Name	nn	
440	Series Statement/Added Entry - Title	nn	
490	Series Statement	yy	
500	General Note	yy	

Tag	Name of Field	Code	Comment
501	With Note	yy	
502	Dissertation Note	yy	
504	Bibliography, Etc. Note	yy	
505	Formatted Contents Note	yy	
506	Restrictions on Access Note	yn rr	Used in some rare book cataloging (subfields \$a and \$u only)
507	Scale Note for Graphic Material	nn	
508	Creation/Production Credits Note	nn	
510	Citation/References Note	yy	Used regularly in rare book cataloging
511	Participant or Performer Note	nn	
513	Type of Report and Period Covered Note	nn	
514	Data Quality Note	yy	Responsibility of G & M staff
515	Numbering Peculiarities Note	nn	
516	Type of Computer File or Data Note	nn	
518	Date/Time and Place of an Event Note	nn	
520	Summary, Etc.	yn	Used by LC for summaries, reviews, and abstracts from various sources, both internal and external; pass through; retain attribution if present, otherwise add one according to LCRI 2.7B17
521	Target Audience Note	yn	Used by Children's Literature Section, USPL(when information readily available); otherwise, pass through
522	Geographic Coverage Note	nn	
524	Preferred Citation of Described Materials Note	rr	
525	Supplement Note	nn	
526	Study Program Information Note	nn	
530	Additional Physical Form Available Note	yy	
533	Reproduction Note	yy	
534	Original Version Note	nn	LC uses 500
535	Location of Originals/Duplicates Note	yy rr	Used in some rare book cataloging
536	Funding Information Note	nn	
538	System Details Note	yy	

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Tag	Name of Field	Code	Comment
540	Terms Governing Use and Reproduction Note	yy rr	Used in some rare book cataloging
541	Immediate Source of Acquisition Note	nn	
544	Location of Other Archival Materials Note	yy rr	Used in some rare book cataloging
545	Biographical or Historical Data	yy rr	Used in some rare book cataloging
546	Language Note	yy	
547	Former Title Complexity Note	nn	
550	Issuing Body Note	nn	
552	Entity and Attribute Information Note	yy	Responsibility of G & M staff
555	Cumulative Index/Finding Aids Note	yy rr	LC uses in certain cases of remotely accessed electronic resources and in some rare book cataloging
556	Information about Documentation Note	nn	
561	Ownership and Custodial History	yy rr	Used in rare book cataloging
562	Copy and Version Identification Note	rr	
563	Binding Information	rr	
565	Case File Characteristics Note	rr	
567	Methodology Note	rr	
580	Linking Entry Complexity Note	nn	
581	Publications About Described Materials Note	rr	
583	Action Note	yy rr	Responsibility of staff doing replacement microforms
584	Accumulation and Frequency of Use Note	rr	
585	Exhibitions Note	nn	
586	Awards Note	yn	Used by Children's Literature Section, USPL when information readily available; otherwise, pass through
590	Local Note	yy rr	Used for split volumes (DCM C6) and copy cataloging (DCM B13.7.2.1 6)
591	Local With Note	rr	No longer used at LC
600	Subject Added Entry - Personal Name	yy	
610	Subject Added Entry - Corporate Name	yy	
611	Subject Added Entry - Meeting Name	yy	
630	Subject Added Entry - Uniform Title	yy	

Tag	Name of Field	Code	Comment
648	Subject Added Entry - Chronological Term	nn	
650	Subject Added Entry - Topical Term	yy	
651	Subject Added Entry - Geographic Name	yy	
653	Index Term - Uncontrolled	yy	
654	Subject Added Entry - Faceted Topical Term	nn	
655	Index Term - Genre/Form	yn	Used in rare book cataloging; some fiction cataloging, and some special format cataloging; otherwise, pass through
656	Index Term - Occupation	nn	
657	Index Term - Function	nn	
658	Index Term - Curriculum Objective	nn	
700	Added Entry - Personal Name	yy	
710	Added Entry - Corporate Name	yy	
711	Added Entry - Meeting Name	yy	
720	Added Entry - Uncontrolled Name	nn	
730	Added Entry - Uniform Title	yy	
740	Added Entry - Uncontrolled Related/Analytical Title	nn	
752	Added Entry - Hierarchical Place Name	yn	Used in rare book cataloging; otherwise, pass through
753	System Details Access to Computer Files	nn	
754	Added Entry - Taxonomic Identification	nn	
760	Main Series Entry	nn	
762	Subseries Entry	nn	
765	Original Language Entry	nn	
767	Translation Entry	nn	
770	Supplement/Special Issue Entry	nn	
772	Supplement Parent Entry	nn	
773	Host Item Entry	yy rr	LC uses actively only in very rare cases; may use for BIP procedures for older material
774	Constituent Unit Entry	yy rr	Used in some rare book cataloging
775	Other Edition Entry	nn	
776	Additional Physical Form Entry	yy rr	LC uses for reproduction microforms

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Tag	Name of Field	Code	Comment
777	Issued With Entry	nn	
780	Preceding Entry	nn	
785	Succeeding Entry	nn	
786	Date Source Entry	nn	
787	Nonspecific Relationship Entry	nn	
800	Series Added Entry - Personal Name	nn	
810	Series Added Entry - Corporate Name	nn	
811	Series Added Entry - Meeting Name	nn	
830	Series Added Entry - Uniform Title	nn	
850	Holding Institution	dd	
852	Location	dd	
856	Electronic Location and Access	yy	
880	Alternate Graphic Representation	yy	Applies to records containing nonroman scripts
886	Foreign MARC Information Field	dd	
887	Non-MARC Information Field	dd	
906	Local Processing Data	yy rr	
923	Local Shipment/Invoice Information	yy rr	
925	Local Selection Decision	yy rr	
952	Local Cataloger's Permanent Note	yy rr	
955	Local Functional Tracking Information	yy rr	
963	Local Related CIP or PCN Data	yy rr	
985	Local Record History	yy rr	

B13.6

When a section receives a children's book (or a candidate for that category) being processed under copy cataloging, use the following guidelines for its treatment:

1. If the resource does NOT contain a slip stating "SELECTED FOR ANNOTATED CARD PROGRAM" (64-121),

BUT

the imported record contains any one or a combination of

6XX with one or more subject subdivisions "Juvenile literature" or
"Juvenile fiction" or other inherently children's headings;
008/22 = j (Juvenile)
520 field (Summary, Etc.)
6XX with second indicator = 1 (LCSH for Children's Literature)

OR ELSE

the resource appears to be a juvenile book according to SCM D500, even though it lacks any of the characteristics listed above,

THEN DO THIS

1. Do not assign "lcac" in field 042
2. Assign LC subject headings with appropriate juvenile subject subdivisions according to SCM H 1690
3. Assign "j" in 008/22 if not already present
4. Forward resource to Children's Literature Section/USPL

2. If the resource DOES contain a slip stating "SELECTED FOR ANNOTATED CARD PROGRAM" (64-121)

THEN DO THIS

1. Assign "lcac" in field 042
2. Assign LC subject headings with appropriate juvenile subject subdivisions according to SCM H 1690
3. Assign "j" in 008/22 if not already present
4. Forward resource to Children's Literature Section/USPL

B13.7.1 LC PRACTICE

This appendix assumes that all standard LC practices are applied to multipart monographs in the copy cataloging environment. This means that the policies stated in DCM M5 (*Library of Congress Series Policy*) are applied, particularly the one in DCM M5.8.1.1, which states that the default policy of analyze/classify separately does not apply when the volumes of a multipart monograph lack analyzable titles. In those cases the exception says to create only a collected set record and to classify the volumes together. This precludes importing and using separate records for volumes of a multipart monograph in which the volume number is used in the 245 field to create a "volume title" because it is inappropriate to import another library's analytic record and re-issue it as a collected set record. Some examples of such "volume titles":

245 \$a [Multipart monograph title], volume 1

245 \$a [Multipart monograph title]. \$n Vol. 1

245 \$a [Multipart monograph title]. \$n Book 1

245 \$a [Multipart monograph title]. \$n Volume one

LC also has a policy that some multipart monograph volumes with titles are non-analyzable if the volume titles have no meaning separate from the title of the multipart monograph. Do not import and use such records. Some examples of such dependent titles:

245 \$a [Multipart monograph title]. \$n Volume 1, to 1500

245 \$a [Multipart monograph title]. \$n Vol. 1, \$p Napoleonic Wars to World War I

If in doubt, treat such titles as non-analyzable.

B13.7.2 HOLDINGS

In cases of multipart monographs the holdings in an imported record may vary from LC holdings. Use the following guidelines for treating multipart monographs, including for the collected set two-volume sets.

B13.7.2.1 Individual Volumes Do Not Have An Analyzable Title

If the multipart monograph is one in which each volume lacks an analyzable title:

- 1) adjust 008 values for Type of date (008/06), Date 1 (008/07-10), and Date 2 (008/11-14) to reflect LC holdings in all aspects according to regular practice;
- 2) adjust the 260 field to reflect LC holdings in all aspects; if the date volume 1 was published is given in the imported record's 260 field subfield \$c but LC does not hold volume 1, retain the information about the publication date of volume 1 by recording it in field 362, e.g.:

362 1# \$a Began publication in [date].
- 3) record LC holdings in the physical description area (field 300, subfield \$a enclosed within angle brackets until complete) according to regular practice;
- 4) if the multipart monograph itself is in a numbered series (4XX field in the multipart collected set record), do not delete series numbering given in 4XX subfield \$v even if LC lacks some of the volumes;

- 5) if there is a contents note (505 field in the record), insure that volumes held by LC are represented in the contents note; if there are **additional** volumes represented there, retain them, i.e., do **not** delete them;
- 6) if there is a contents not (505 field in the record) and it contains one or more volumes that LC does not hold, add a local note (590 field) that states specifically the volumes LC holds; introduce the note with a phrase beginning with "LC" followed by an intelligible statement of holdings appropriate to the situation; this signals the situation in which the statement of volumes in the contents note does not equate to the statement of holdings in the 300 field and explains that discrepancy:

Example:

```
300 ## $a v. <1-2, 4-7> : $b ill., maps ; $c 24 cm.  
505 0# $a [lists the titles of pts. 1-7]  
590 ## $a LC has: pts. 1-2, 4-7 only.
```

As volumes are received, add them to the record as indicated above until the set is complete. When the set is completed, remove any 590 note that may have been added according to the procedure described here.

B13.7.2.2 Individual Volumes Have An Analyzable Title

If the multipart monograph is one in which each volume has an analyzable title **and** the multipart monograph is in one of the exceptional categories in DCM M5.8.3 for which LC continues to analyze in full and classify as a collection, and if a copy cataloging record is used for the collected set, follow the guidelines in B13.7.2.1 above.

B13.7.3 CALL NUMBER

For multipart monographs being cataloged according to DCM B13.7.2.1 and B13.7.2.2 above, follow the guidelines in DCM B13.3.4.11.

B13.8.1 WHERE TO SEARCH

Both name and subject authorities reside in the LCDB. However, subject authorities are more easily searched in Classification Web, where authority for free-floating subdivisions is also easily found. Classification Web avoids some of the misleading ILS validation pitfalls, and it is not cluttered with bibliographic records and authority records for names and series.

ILS validation is frequently misleading:

- 1) a "Heading Validated" response may occasionally result from a match with a NAR or SAR, not a subject authority;
- 2) a "Heading Validated - Cosmetic differences" response may result from a match with a NAR or SAR, not a subject authority;
- 3) a "Partial Heading Validation" response may seriously mislead the searcher: diacritics, spacing, capitalization, subfielding, etc. may be incorrect, and letters and words at the end of the authorized \$a part of a subject heading may be missing; the diacritics, spacing, capitalization, subfielding, etc. in the "Near heading" column simply repeat whatever is in the bibliographic record;
- 4) tags may be wrong; incorrect tags are accepted in the validation process.

B13.8.2 BASIC SEARCHING STRATEGIES

Basic searching strategies use Classification Web, the ILS, and the *Subject Cataloging Manual: Subject Headings*. The following guidelines present three possible approaches to the validation of subject headings:

- 1) searching subject headings in Classification Web;
- 2) searching subject subdivisions in Classification Web;
- 3) searching subject headings in the ILS.

Note, however, these three approaches are not mutually exclusive.

B13.8.2.1 Contents Of Classification Web

Classification Web contains authorities for:

- 1) topical subject headings (650 field);
- 2) non-jurisdictional geographic names (651 field or \$z subfield)
- 3) headings for non-corporate buildings, structures, etc. (651);
- 4) names of families, e.g., Adams family (600 field with a second indicator value of "3");
- 5) topical subject headings with subject subdivisions;
- 6) name headings with non-free-floating subject subdivisions;
- 7) general and chronological subdivisions from the various instructions in SCM on free-floating subdivisions (e.g., H 1095, etc.), including the category of headings under which each subdivision may be used and a citation to the particular free-floating list in SCM on which the particular subdivision appears.

Use of Classification Web as recommended in these guidelines assumes that the searcher has taken the IDTD (formerly TPAIO) course “Classification Web: Introduction to Searching LCC.”

B13.8.2.2 Contents Of LCDB

The LCDB contains all of the above (B13.8.2.1) and also authorities for:

- 1) personal names (600 field);
- 2) corporate names (610 field);
- 3) meeting names (611 field);
- 4) uniform titles (630 field);
- 5) names of political jurisdictions (651 field).

B13.8.2.3 Searching Subject Headings In Classification Web

Use the subject headings selection from Classification Web to search the following kinds of subject headings

- 1) topical headings (650 field);
- 2) non-jurisdictional geographic names (651 field or \$z subfield);
- 3) names of families (600 field with a second indicator value of “3”);
- 4) any headings (600-651 fields) with subject subdivisions (\$v, \$x, \$y, or \$z subfields).

Open Classification Web, using: classificationweb.net/Auto/ Select “LC Subject Headings” from the menu. Follow the search strategy recommended below for the conditions described. Use truncation in the search because it is easier to scroll forward than backward. When performing a search using the “Structured subject heading” category, submit the search by clicking on the “Browse” button.

B13.8.2.3.1 Main subject heading only, no subject subdivision

Examples:

Subject heading:	650 #0 \$a Barrier-free design
Structured subject heading:	barrier free
Results:	“Barrier-free design” is established
Subject heading:	600 30 \$a Adams family
Structured subject heading:	adams fam
Results:	“Adams family” is established
Click on R to open auth. rec.:	Verify tagging of the heading
Subject heading:	650 #0 \$a Nature
Structured subject heading:	nature
Results:	“Nature” is established.

Some subject headings contain the free-floating terms or phrases "... Metropolitan Area," "... Region, or "... Suburban Area", which do not have their own authority records. To validate them, it is necessary to check 1) whether the basic heading is established and 2) whether the free-floating phrase or term has been combined correctly with the basic heading. For information on the use and construction of these free-floating subject headings, consult SCM H 362, H 760, and H 790. When searching these headings, omit the free-floating term. If the search reveals that the basic heading is established, then check the relevant SCM instruction to ensure that the heading is correctly constructed.

Examples:

Subject heading: 651 #0 \$a Baikal, Lake, Region (Russia)
Structured subject heading: baikal la
Results: "Baikal, Lake (Russia)" is established
Check SCM: H 760 Heading is correctly formulated

Subject heading: 651 #0 \$a Toledo Mountains Region (Spain)
Structured subject heading: toledo mo
Results: "Toledo Mountains (Spain)" is established
Check SCM: H 760 Heading is correctly formulated

Subject heading: 651 #0 \$a Boston Metropolitan Area (Mass.)
Search in the ILS: boston mass
Results: "Boston (Mass.)" is established
Check SCM: H 790 Heading is correctly formulated

B13.8.2.3.2

Subject heading with general/form/topical subdivision(s) but not geographic subdivision

Do the following:

- 1) construct the search in Classification Web using the "Structured subject heading" category so as to retrieve the authority record for the main subject heading without subdivisions;
- 2) if the \$a part is found, scroll down to determine whether the subdivision is established with that heading;
- 3) if the main subject heading is established but any of the subdivisions are not established with that heading, search for the subdivisions using the "Structured free-floating subdivision" category; determine whether the instructions include the heading cited;
- 4) if the \$a part is not found, or if the main subject heading is a name heading (other than a family name) and not found in Classification Web, do a second search in the ILS for only the name heading as described below in B13.8.2.3.3.

Examples:

Subject heading:	650 #0 \$a Persian Gulf War, 1991 \$x Causes
Structured subject heading:	persian gu
Results:	Scrolling down reveals that Persian Gulf War, 1991 is valid, but –Causes is not established under it
Search 2: Structured free -floating subdivision:	Causes
Results:	usable under wars
Conclusion:	heading is ok
Subject heading:	650 #0 \$a Hot air balloons \$x Construction \$v Juvenile literature
Structured subject heading:	hot air b
Results:	Hot air balloons is valid
Search 2: structured free -floating subdivision:	Construction; valid but not under Hot air balloons
Conclusion:	Refer (or notice the reference to Design and construction)
Subject heading:	651 #0 \$a Jamaica \$x History \$y To 1962
Structured subject heading:	jamaica
Results:	Jamaica seems to be valid: there is no authority record, but there are established subdivisions, including –History–To 1962; search in the ILS to verify Jamaica is established
Conclusion:	Heading is ok
Subject heading:	610 20 \$a United States Military Academy. \$b Class of 1991 \$x History
Structured subject heading:	united states mil
Results:	No hits on the \$a part; search in the ILS
Results:	\$a part is established; class of 1991 is not
Conclusion:	Refer.

B13.8.2.3.3

Subject heading with geographic subdivision

Do the following:

- 1) construct the search so as to retrieve the authority record for the main subject heading without subdivisions;
- 2) determine whether the authority record indicates that the heading may be subdivided geographically;
- 3) then do a second search for the geographic name; if non-jurisdictional, continue searching in Classification Web; if jurisdictional, search the geographic name in the ILS;
- 4) follow the rules in H 830 regarding indirect subdivision; established names of countries and regions larger than a country may be used following \$z; for places, jurisdictional or non-

jurisdictional, that are within a country or cross the boundaries,
consult H 830 for the rules.

Examples of information found in H 830:

650 #0 \$a Art \$z France \$z Paris

not

650 #0 \$a Art \$z Paris (France)

650 #0 \$a Geology \$z Rocky Mountains

not

650 #0 \$a Geology \$z United States \$z Rocky Mountains

Examples of searches:

Subject heading: 650 #0 \$a Fishing \$z Potomac River
Structured subject heading search 1: fishing
Results: "Fishing" is established and divided by place
Structured subject heading search 2: potomac r
Results: "Potomac River" is established
Conclusion: Heading is ok

Subject heading: 650 #0 \$a Hiking \$z Appalachian
Trail
Structured subject heading search 1: hiking
Results: "Hiking" is established and divided by place
Structured subject heading search 2: appalachian t
Results: "Appalachian Trail" is established
Conclusion: Heading is ok

Subject heading: 650 #0 \$a Oil spills \$z Persian Gulf
Structured subject heading search 1: oil spill
Results: "Oil spills" is established and divided by place
Structured subject heading search 2: persian g
Results: "Persian Gulf" is established
Conclusion: Heading is ok

Subject heading: 650 #0 \$a Local elections
\$z Klagenfurt, Austria
Structured subject heading search: local el
Results: "Local elections" is established
ILS search: "Klagenfurt (Austria)" is established
Conclusion: Restructure heading to:

650 #0 \$a Local elections \$z Austria \$z Klagenfurt per H 830

B13.8.2.3.4

Topical heading with geographic and form/topical subdivision(s)
Combine the rules for B13.8.2.3.2 and B13.8.2.3.3.

Examples:

- | | |
|-----------------------------|---|
| Subject heading: | 650 #0 \$a French language \$z Canada
\$x Figures of speech |
| Structured subject heading: | french lang |
| Results: | “French language” is valid, and is divided by place;
“–Figures of speech” is established under “French
language” and is not divided |
| Results: | Heading is ok |
| Subject heading: | 650 #0 \$a Executives \$z United States
\$x Conduct of life |
| Structured subject heading: | executives |
| Results: | “Executives” is valid, and is divided by place
“Conduct of life” is established under “Executives” and
is not divided |
| Results: | Heading is ok |
| Subject heading: | 650 #0 \$a Children \$x Intelligence
testing \$z United States |
| Structured subject heading: | children |
| Results: | Children is valid and divided by place; scrolling down
does not get to the subdivision; redo search as
children–int |
| Search 2: | children–int |
| | Children–Intelligence testing is established and divided
by place |
| Results: | Heading is ok |

B13.8.2.4

Searching Subject Headings In The ILS

Use the ILS to search the following kinds of subject headings:

- 1) name headings without subdivisions;
- 2) name headings with subdivisions, if the main name heading was not found in Classification Web;
- 3) names of political jurisdictions;
- 4) uniform titles.

Always use a "browse" search in the ILS Subject Bib/Auth index.

Examples:

Subject heading: 600 10 \$a Wright, Frank Lloyd, \$d 1867
-1959
ILS Subject bib/auth: wright fr scroll down to find heading
Results: Heading is ok

Subject heading: 600 10 \$a Lindsley, A. L. \$q (Aaron
Ladner), \$d 1817-1891
ILS Subject bib/auth: lindsley a
Results: Heading is ok

Subject heading: 600 00 \$a John Paul \$b II, \$c Pope,
\$d 1920- \$x Journeys \$z Poland
ILS Subject bib/auth: john paul ii
Results: Name heading is established
Class Web search for subdvs: journeys
Results: use Travel (may subd geog)
Conclusion: Change heading to:
600 00 \$a John Paul \$b II, \$c Pope,
\$d 1920- \$x Travel \$z Poland

Subject heading: 600 10 \$a Poe, Edgar Allen, \$d 1809-1849
\$x Characters \$x Women.
ILS Subject bib/auth: poe ed
Results: Name heading is established
Class Web search for subdvs: characters
Results: Characters is valid and may be followed by subdivisions
for groups or categories
Conclusion: "-Characters-Women" is valid under Poe

Subject heading: 651 #0 \$a Dorchester Co., Md. \$x Census,
1790
ILS Subject bib/auth: dorchester c
Results: Dorchester County (Md.) is valid
Class Web search for subdvs: Census
Results: "Census, [date]" is valid as either form or subject
Conclusion: 1) Amend the place name in the subject heading
2) See instructions in SCM H1366 to determine if \$x or
\$v

If a geographic name is used as a subdivision, verify that the heading may be geographically subdivided. In the ILS display this is indicated by the authority record value "i" immediately following the date in the 008.

Subject heading: 650 #0 \$a Water quality management
\$z Idaho \$z Lewiston

Class Web: Water q
Results: \$a part is valid
ILS Subject bib/auth: lewiston i
Results: Established as Lewiston (Idaho)
Conclusion: Record is ok per H 830

The following examples show that it may be necessary to search both Class Web and ILS, depending upon the situation and the results of the search. A search will be more efficient if one can predict which headings will not be in Class Web. (See DCM Z11 for help in determining what types of headings are “name headings” that are unlikely to be found in Class Web.)

Subject heading: 610 20 \$a United States Military Academy.
\$b Class of 1943 \$x History
ILS Subject bib/auth: united states mil
Results: Corporate body is established
Class Web search for subdvs: History
Results: Heading is ok

Subject heading: 611 20 \$a Notre Dame Symposium on the Dead
Sea Scrolls \$d (1993 : \$c
University of Notre Dame)
ILS Subject bib/auth: Notre Dame symp
Results: Established

Subject heading: 630 00 \$aCartagena Agreement \$d (1969)
ILS Subject bib/auth: cartagena a
Results: Established

Subject heading: 630 00 \$a Bible. \$p N.T. \$p Revelation
\$x Criticism, interpretation, etc.
ILS Subject bib/auth: bible n t rev
Results: Uniform title heading is established
Class Web search for subdvs: crit
Results: Subdivision is valid under sacred works

Subject heading: 610 20 \$a Congress Hall (Philadelphia,
Pa.)
Class Web congress h
Results Established

Subject heading: 651#0 \$a Pressmen's Home (Tenn.)
\$x History
Class Web: nothing

ILS Subject bib/auth: Established; check tagging
Results: Heading is ok as is

Subject heading: 610 20 \$a Tiger Stadium (Detroit, Mich.)
Class Web: nothing
ILS Subject bib/auth: tiger st
Results: Established

Subject heading: 651 #0 \$a Connor Basin Ranch (Utah)
Class Web: connor b
Results: Established

Subject heading: 650 #0 \$a Franciscans \$x Rules
ILS Subject bib/auth: franciscans
Results: Established, but tag is 610 20
Class Web search for subdvs: rules
Results: ok under individual monastic orders
Conclusion: Change heading to:
610 20 \$a Franciscans \$x Rules

Subject heading: 600 00 \$aDante Alighiere, \$d 1265-1321
\$v Concordances
ILS Subject bib/auth: dante a
Results: Personal name is established
Class Web search for subdvs: conco
Results: Heading is ok

Subject heading: 651#0 \$a Canada \$x Economic conditions
Class Web: Canada-ec
Results: Established

Subject heading: 650 #0 \$a Eye \$x Laser surgery
\$x Instruments
Class Web: eye
Results: Eye is established, subdivisions are not established under
it
Class Web search for subdvs: laser
Results: "Laser surgery--Instruments" is valid under organs of the
body

B13.9.1 GENERAL

In general, the LC copy cataloging workflow parallels that described in DCM B5.6 (Appendix 1: Workflows). The aspects particular to the LC copy cataloging stream are described here. Different sections will develop different workflows within these general guidelines. Searching and importing records for copy cataloging may be performed by the person who will do or start the copy cataloging review, or, the searching and importing procedure may be separate from the copy cataloging review. The following are general guidelines that can be adapted to either model.

B13.9.2 BEFORE SEARCHING FOR COPY

Resources that are candidates for copy cataloging undergo pre-cataloging screening at the section level (DCM B5.6.3.1) in the same manner as for full level cataloging. Eliminate by examining the resource and/or searching the LC ILS all of the following:

- 1) **Titles that are out of scope by subject or language:** forward to the appropriate section.
- 2) **Titles for which cataloging has already been done or started:** check the 955 tracking field(s) carefully to be sure no one has started or completed any aspect of “post-IBC” processing.
- 3) **Titles for which there is already a copy cataloging or pcc adapt record:** a resource may have been mis-slipped in previous activity or copy may have been imported later for another copy of the resource; determine also whether the copy in hand is the first copy or a duplicate.
- 4) **Titles to be done as Minimum Level Cataloging** (Enc/lvl = 7).
- 5) **Duplicates:** search the resource in hand to insure that it is still a candidate for copy cataloging and that no duplicate record exists. Search by title and/or ISBN.

Pre-Searching Before Searching for Copy: IBC Record Exists for Copy in Hand; Search by Title and/or ISBN	
Search Results	Action
Another record exists: LCCN is same as IBC record for copy in hand	Refer to ABA/POLICY to synchronize with CDS, track referral in 955 of record for copy in hand
Another record exists: LCCN differs from IBC record for copy in hand	Usually a duplicate record that needs to be canceled; track LCCN of canceled record in 010 \$z of retained record; process copy in hand according to selection decision in retained record
Another record exists: lacks LCCN	May be an “orphaned” record, possibly a copy cataloging record imported separately from an IBC record for title in hand; delete record that lacks LCCN

- 6) **Similar records:** do title search (or other search judged appropriate) to determine if the same title (or a very similar one) has been previously cataloged. Assess whether the resource in hand is an edition or is so similar to a previously cataloged resource that it is preferable to use the

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

- a) check the call number of the previously cataloged resource and determine whether it indicates that the resource in hand is out of scope for the section; if so, redistribute the resource to the appropriate section according to section practice;
 - b) otherwise, decide whether to use the MAKE A COPY feature or to search for an external record.
- 7) **Editions:** prefer the use of the MAKE A COPY feature to copy LC cataloging for an earlier edition instead of searching for outside library copy for the edition in hand.
 - 8) **Serials:** refer known or suspected serials to section serial colleagues according to section practice and DCM M4.4.
 - 9) **Added volumes:** route according to section procedures.
 - 10) **CIP verification titles:** route according to section procedures.
 - 11) **Referrals for language assistance:** re-route according to section procedures.
 - 12) **Ephemera to be referred to a Selection Librarian:** refer according to section procedures.

B13.9.3 CRITERIA FOR SELECTING RECORDS TO IMPORT

B13.9.3.1 General

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

B13.9.3.2 Language Of Cataloging

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

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

B13.9.3.3 Level Of Cataloging

To be a candidate for copy cataloging, an external record must have English as the language of cataloging and contain at least one LCSH subject heading in those cases in which LC assigns subject headings, but it need not have an LCC-based classification number. A record is likely to be a more complete record if its 042 field contains "pcc" or its Encoding level (Leader position 17) is "blank" or "4," but neither of these always constitute reliable indicators of full cataloging. An indicator of less-than-full cataloging is the absence of a crucial data element such as the 300 field. Less than full records (encl/lvl = 3, 7 or OCLC local values K, M) may be imported for use in the OrigRes cataloging stream but not for use in the copy cataloging stream. Follow section practice with respect to importing less-than-full external records.

B13.9.3.4 Format/Mode Of Issuing

Select an external record for the same format (book, map, sound recording, etc.) issued in the same mode (monograph/serial) as the resource in hand. Use the MARC 21 data elements Leader/06 (Type of record) and Leader/07 (Bibliographic level) respectively to determine these characteristics of a record.

B13.9.3.5 Exact Match

Select an external record for the same edition, publisher, etc. as the resource in hand. The phrase "matching record" in the CCM always means a record that matches exactly the resource in hand.

B13.9.3.6 Summary Of Records To Exclude

Based on the general criteria stated above, in general do not select records:

- 1) that are very brief or exemplify minimal level cataloging, i.e., one obviously lacking fields normally present in a full-level record; follow section practice with respect to whether such records are to be imported in the OrigRes cataloging stream;
- 2) that obviously lack a required field, e.g., 260, 300;
- 3) that lack subject headings in cases in which LC normally assigns them;
- 4) that contain no more data than a basic LC IBC record or an existing IBC record;
- 5) from the National Library of Canada that contain in 040 \$b a sole code "fre"; records from other sources that contain in 040 \$b a code other than "eng"; follow section practice with respect to whether such records are to be imported in the OrigRes cataloging stream;
- 6) for novels or other belles-lettres unless they contain information beyond that of an LC IBC record, e.g., a note or an LC classification number;
- 7) for resources that contain an LC "Report of Searcher Edition or Translation" slip (use the LC cataloging for the other edition).

B13.9.3.7 Importing Records--Cataloging Streams

There are currently three cataloging streams applicable to importing external records. They are identified by the codes used in field 906 (Local Processing Field), subfield \$c (Local

processing workflow) as follows (cf. DCM C16.10 and DCM E1):

copycat	LC copy cataloging stream (906 \$c = copycat; 042 = lccopycat). Indicates a record created externally that is a candidate for use for a resource LC now holds.
pccadap	PCC adapt (008/39 (Cataloging source) = c or #; 906 \$c = pccadap; 042 = pcc). Indicates a PCC record created externally that is a candidate for use for a resource that LC now holds.
origres	Indicates a record created externally that does not meet the criteria for LC copy cataloging but can, according to section practice, be a candidate for use for LC original cataloging based on that record.

When importing external records destined for these cataloging streams, certain data manipulations must be made to orient intelligibly the imported IBC record within the LCDB as well as identify the cataloging stream under which the record is being processed. These data manipulations are performed either by the staff member importing the record or by using special software as described below.

The circumstances under which an external record may be imported vary as follows:

- 1) there is no IBC record at all in the LCDB;
- 2) there is an IBC record but there may be a fuller external record;
- 3) there is a PCN record but there may be a fuller external record that now reflects the book;
- 4) there is a CIP record still in the CIP state but there may be an external record that now reflects the book;
- 5) the IBC record is an encoding level 5 lcode record from an LC overseas office but there now may be a version of the lcode record upgraded externally that reflects completed cataloging.

Records created by libraries participating in the Program for Cooperative Cataloging (PCC) are a subset of copy cataloging but are treated separately and distinctly because the headings in these records are supposed to reflect the authorized forms and any needed authority work is to have been done. There is not this predictability in non-PCC records (the headings may be authoritative but this is not known until each has been searched), and for this reason PCC records are preferred (008/39 (Cataloging source = c or # (National bibliographic agency); 042 = pcc).

B13.9.3.8 Importing Records--Methods

B13.9.3.8.1

ILS Z39.50

If an external record is imported through the ILS Z39.50 procedure (use of the Remote button on the Search screen), the data manipulations performed by the person importing the record are those described in DCM E2 for the particular cataloging stream being used.

B13.9.3.8.2

Z-Processor

Software outside the ILS developed in the Acquisitions & Bibliographic Access Directorate (ABA) that makes use of the Z39.50 protocol to search for and import records. The software has been designed to assist selection of candidate records prior to import and to minimize the data manipulations staff must do subsequent to import; see E2.6 (Appendix 1) for the guidelines for using Z-Processor.

B13.10.1 BACKGROUND

A special form of copy cataloging called "Encoding-level 7 copy cataloging" (EL7 lccopycat) was implemented beginning in March 1, 2000. It takes its name from the fact that encoding level 7 (Minimal level) is applied to records imported and done as LC copy cataloging (042 = lccopycat). This allows a section to take a flexible approach to copy cataloging without having a less-complete LC-issued record overlay an existing record in other databases, particularly in OCLC. This allows LC to adjust the complements of name and subject headings without having a negative impact on existing records in other systems. **NOTE:** do not apply this technique to PCC records.

Use of value 7 puts a record in the category ordinarily called "enhanced MLC." Nevertheless, this technique may be applied to current materials, i.e., without the cutoff period ordinarily applied to MLC. It is critically important that each cataloger following these procedures set the encoding level (Ldr/17) to "7" to prevent untoward overlay of an already existing record by an LC-issued record, particularly in OCLC. If this overlay occurs, the existing record in OCLC essentially disappears and data may be lost.

EL 7 lccopycat records may be less complete than standard copy cataloging records with respect to:

- 1) fixed fields;
- 2) authority work;
- 3) the complement of 7XX added entries;
- 4) the complement of 6XX subject headings.

The objective is still to "do no harm," i.e.:

- a) to ensure that the description of a resource accurately reflects the resource such that an observer of the record can determine whether it fits another copy of the resource that is in hand;
- b) to fit the headings on a particular record within the catalog.

Value 7 in the encoding level (instead of "blank") is the signal that some of the fixed fields may not have been checked/supplied and that some of the name headings may not be represented by authority records. While it is possible that an imported record that is a candidate for EL7 lccopycat treatment may turn out to exemplify full level cataloging, sections choosing this approach may decide, as a matter of expediency, to apply the procedures to all copy cataloging or to all copy cataloging from a particular source, since the objective is to streamline procedures in an attempt to realize increased reductions in arrearages.

B13.10.2 INDIVIDUAL DATA ELEMENTS

B13.10.2.1 Leader

When **any** aspect of these guidelines is applied, ensure that the encoding level is 7. Records imported through MARCADIA went through certain preprocessing, including setting the encoding level to 7, before they were loaded into the LCDB. (MARCADIA was an RLIN service in which candidate IBC records sent to RLIN were run against the RLIN database and any matching records

were returned to LC.) Copy cataloging records from other sources will need to have the encoding level changed manually if these procedures are applied.

B13.10.2.2 008 (Fixed Fields)

Check/supply the appropriate values in the following basic set of fixed fields:

= blank

LC ILS Name of Data Element	Action
Type of date (008/06)	Ensure code reflects type of date in field 260
Date 1 (008/07-10)	Ensure date is correct and agrees with date in field 260
Date 2 (008/11-14)	Ensure date is correct, if needed, and agrees with a 2nd date in field 260 or a possible field 500
Place of publication (008/15-17)	Ensure code reflects place of publication of item
Form of item (008/23)	# unless large print ("d") or microform (code as appropriate)
Language (008/35-37)	Ensure code reflects language of item
Modified record (008/38)	# unless "o" for a romanizing language (e.g., Bengali)
Cataloging source (008/39)	Ensure "d" (if not natl. bib. agency) or "#" if natl. bib. agency

Accept the values present in the other fixed fields, including the fill character (indicates that no attempt was made to supply a value).

B13.10.2.3 Field 040

Subfields \$a and \$c may not be present. Apply the following conventions:

if no 040 \$a and \$c are present, use "XX-XxUND" (MCLO code for "undetermined") in both subfields;

if no 040 \$a is present but an 040 \$c is, use the code in \$c also in \$a;

if an 040 \$a is present but no 040 \$c is, use the code in \$a also in \$c.

Delete subfield \$e (Description conventions) if present. Ensure the language of cataloging is English and the descriptive cataloging is AACR2.

B13.10.2.4 Field 042

Field 042 is not repeatable. If a record represents more than one condition requiring an 042 code, put them in one field with repeated \$a subfields:

```
042 ## $a nlmcopyc
042 ## $a lccopycat
```

results in

```
042 $a nlmcopyc $a lccopycat
```

B13.10.2.5 Descriptive Headings

Search each name heading according to standard procedure. If a descriptive heading is not represented by an authority record, a section may choose to apply minimal level cataloging guidelines to headings as follows.

B13.10.2.5.1

Authority work

If a search determines that there is no authority record, the form of the name must be formulated according to AACR2. Staff authorized to do authority work may judge whether to proceed to do so, using the automatic authority record generation feature of the ILS. If, for whatever reason, staff do not do the authority work, they may proceed without doing so **provided the encoding level is changed to 7**. It is the change in encoding level that will alert any subsequent observer of the record that the name/series headings may not be represented by authority records. With the change of encoding level to 7, the following MLC guidelines for authority record creation apply, including the exceptional need for authority work under certain conditions, e.g., to break a conflict:

- 1) when a conflict cannot be resolved by adding to the heading in hand, change the existing heading and do appropriate authority work for it;
- 2) when a conflict cannot be resolved, create or add to a non-unique NAR;
- 3) when a heading used differs so significantly from the form on the item in hand as to be unfindable without a cross reference, do whatever authority work is required to trace the reference;
- 4) create authority records for uniform titles in the same manner as for full cataloging, including the name heading for a name/title uniform title.

Special note regarding treatment of series/multipart item: Follow the pertinent guidelines in B13.3.4.23 (4XX Fields (Series Statement)) and B13.3.4.29 (8XX Fields (Series Added Entries)). These guidelines are based on the exceptional policy stated in DCM M5.1.2.2, namely, although LC series policy since June 1, 2006 is not to provide controlled access points for series in LC original cataloging, accept the series fields as given in records used for copy cataloging. Do not, however, search such series to determine if they are represented by an SAR.

B13.10.2.5.2

Complement of 7XX added entries

If a record contains added entries that LC would ordinarily not make, one or more may be deleted, **provided the encoding level is changed to 7**. This is **VERY IMPORTANT** because it is necessary to prevent the LC-issued record from overlaying an already existing record, particularly in OCLC, and thereby "zapping" the added entries that LC did not use.

B13.10.2.6 LC Call Number

Provide an LC call number in all instances, i.e., do not use an MLC shelf number. When a new class number or topical Cutter number is needed, propose one according to section practice.

B13.10.2.7 Subject Headings

Accept the subject headings that are present (except for any that are egregiously in error, e.g., the book is about Australia, but the subject heading is for Austria) and ensure they are constructed according to current practice.

B13.10.2.7.1

Validation of LC subject headings

The overall objective is to take the actions needed to validate subject strings labeled as Library of Congress Subject Headings (6XX second indicator = 0). "Validate" in this context means checking to see that:

- 1) for field 650, the term in subfield \$a is represented by a subject authority record;
- 2) for field 651, any non-jurisdictional geographic entity in subfield \$a is represented by a subject authority record;
- 3) non free-floating subject subdivisions, e.g., chronological subdivisions, non-jurisdictional geographic names used as subdivisions, are represented by subject authority records;
- 4) the configuration of free-floating subject subdivisions will be left to cataloger's judgment in following the SCM's instructions;
- 5) for fields 600, 610, 611, 630, and names of jurisdictions in 651 fields, the MLC conventions apply, i.e., search the entity and if represented by a name authority record (NAR) use that form; if not represented by a NAR, ensure the entity is formulated according to AACR2; only do the authority work required by MLC guidelines (see B13.10.2.5.1 above); any subject subdivisions associated with such names/titles used as subjects should represent valid strings.

B13.10.2.7.2

Method of proceeding

Use the authority validation aspect of the LC ILS to determine the validity of subject strings. Turn on the validation that takes place when a record is saved to the database. (It is also possible to validate particular subject headings by right-clicking on the subject heading as it occurs in a bibliographic record.) If a subject heading or a part thereof that needs to be represented by subject authority records is declared to be invalid, do the following:

- 1) if a 650 topical subject heading or a 651 non-jurisdictional geographic subject heading is the first of multiple subject headings or is the sole subject heading in the record, do the necessary subject authority work done according to section practice; this is to ensure the relationship between the first/sole subject heading and the classification number to be assigned; note that such authority work may be required either for the main part of the heading (subfield \$a) or for a non-free floating subdivision (subfield \$x or \$y or \$z) or for both a heading and a

- non-free floating subdivision;
- 2) if there are multiple subject headings and any one subsequent to the first is a 650 topical subject heading or a 651 subject heading for a non-jurisdictional geographic entity in which the term in subfield \$a or in any non-free floating subdivision is declared invalid, delete the field.

B13.11.1 GENERAL

Depending on the source of imported records or the technique used to import them, there may be some variations from the standard order of fields. The values in some fields may be set programmatically and therefore need to be examined during the course of copy review.

B13.11.2 MARCADIA

Records imported automatically through RLIN's MARCADIA service contained the following variations from standard LC cataloging records.

1) Identification:

955 field at the top of the record: \$a marcadia import

985 field at the bottom of the record:\$a rlin \$c rlin \$e marcadia

2) Variant order of fields:

923 field (vendor information) at top (between 906 and 925): leave as is

new 955 field (tracking) at top of record: add all new 955 data here

old 955 field at bottom of record: leave as is; do not add to it

985 field (record history) added at bottom: do not change

3) Values set by program:

Encoding level:

non-pcc adapts: encoding level set to "7": change or not according to section practice

pcc adapts: encoding level set either to:

"5" (PCC library has done as full cataloging): change to "#" at end-stage processing)

"4" (PCC library has done as core): retain "4,"do not change

925 field (selection decision): prior to May 2004 subfield \$b (Number of shelf copies/sets desired) was set by program to "1 shelf copy"; change or retain according to section practice. After April 2004 subfield \$b from the existing IBC record is retained at the time of merge; change or retain according to section practice.

950 field (RLIN local LCC-based call number): prior to February 2004 retained in merged record if present in RLIN record; convert to 050 or 097 or delete; record cannot be saved with this field present. Since February 2000 the pre-processing software converted 950 \$a and \$b (if present) to 097 \$a and \$b. If no \$a subfield was present (meaning no class number was present), the field was not retained.

B13.11.3 Z-PROCESSOR

Records imported through the Z-PROCESSOR program contain the following variations from standard LC cataloging records.

1) Identification:

955 field at the top of the record: \$a [code] [date] z-processor

2) Variant order of fields:

In records imported from OCLC, the 0XX fields will not necessarily reflect strict tag number order. This order reflects that of the imported record and does not result from any manipulations done by Z-Processor. Staff may, but are not required to resequence this block of fields.

3) Duplicate fields resulting from merge

Any fields that Z-Processor generates that are also retained as the result of the merge profile will be duplicated in the resulting merged record unless the content of the fields is exactly the same. This duplication will most frequently occur with fields 906, 925, and 955.

906 - if more than one is present, the first one reflects the latest workflow and other information as formulated by Z-Processor; retain the first one and delete any others

925 - if more than one is present, the first one reflects the default 925 added by Z-Processor and any other is the one from the original record; judge which accurately reflects the selection decision and delete the other one; move the retained one to the standard position for 925 as needed

955 - the one at the top of the record reflects the one added by Z-Processor; any other is the one from the original record and is usually at the bottom of the record; retain both but only add new 955 data to the one at the top

B13.12.1 INTRODUCTION

An imported record may contain data that reflect an obsolete practice, usually related to cataloging or content designation. Therefore, it is necessary to determine how to treat these data. This appendix summarizes in one place the guidelines that have been identified so far and that are stated at various places in the CCM. Records issued from LC should reflect AACR2 rules and ISBD punctuation. Therefore, prefer imported records that reflect these conventions. In other aspects, whereas previously the approach was to keep to a minimum the requirement to change to current practice (there was always the option to do so according to section practice), under the LC ILS the system usually does not allow a record to be saved if it contains an obsolete value. Indicator values are a good example of this condition. Certain changes that can be done easily in support of consistent treatment with minimum overall impact may be required, e.g., deleting dates from analytical added entries.

B13.12.2 SUMMARY OF GUIDELINES ON OBSOLETE PRACTICES

- 1) **050 field, second indicator position (Source of call number)**
Change the obsolete value blank (Undefined) to 0 (Assigned by LC).
- 2) **100 field, second indicator position (Main entry/subject relationship)**
Change the obsolete value 0 (Main entry/subject relationship irrelevant) to a blank (Undefined). Change the obsolete value 1 (Main entry is subject) to a blank and add the 1XX entity as a 6XX.
- 3) **260 field, first indicator position (Presence of publisher in imprint)**
Change the obsolete value 0 (Publisher, distributor, etc. is present) to a blank (Undefined). Change the obsolete value 1 (Publisher, distributor, etc. not present) to a blank and add the publisher, etc. as appropriate in the \$b subfield.
- 4) **700, 710, 711, 730, fields, second indicator position (Type of added entry)**
Change the obsolete values 0 (Alternative entry) and 1 (Secondary entry) to a blank (No information provided).
- 5) **700-730 fields, second indicator position (Type of added entry), value 2 (Analytical entry), subfield \$f (Date of a work)**
Delete dates of a work from analytical added entries except when occurring in added entries for the Bible, for "Works," and for "Selections" (cf. LCRI 21.30M).
- 6) **740 field (Variant title)**
Change the obsolete values 0 (Alternative entry) and 1 (Secondary entry) to a blank (No information provided). In field 740 the most likely obsolete value to occur is value 1.

As the result of format integration, beginning in 1995 variant titles heretofore carried in this field are carried in field 246. It is not mandatory to change existing 740 fields to 246 fields. Since new fields added at LC exemplify current practice, this results in a mixed practice within a single record.

B13.12.3 DATA NEWLY ADDED TO IMPORTED RECORDS

Follow current practice.

**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) ABA Serials Manual: LC Local Fields Used in Serial Bibliographic Control (www.loc.gov/staff/idt/ABADoc-Final/SER/SER-CAT/CATGEN-LocalFields.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.] (See appropriate documentation, e.g., AACR2, LCRIS, DCMs, etc. for specific order)
5XX	Note fields	
6XX	Subject access fields	
7XX	Added entry fields	
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, such as a variant used by a vendor or a title used locally for bibliographic production. *LC monograph and integrating resource catalogers:* Generally do not change or delete 249 fields found in existing records.

```
249 0# $i ACQUIRE Title: $a Alberta statutes and rules of court  
judicially considered
```

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 multipart: 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.)  
590 ## $a LC set incomplete: Manitoba lacking.  
      (Contents note in 505 lists titles of all volumes.)
```

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.

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.

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)

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/eshtml.0004 $q u
```

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

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

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)
Used for a code that controls whether the Cataloging Distribution Service distributes the record outside LC or not.

0 : Do Not Distribute Record.
Used in IBC records and others not being distributed outside LC.

7 : Distribute Record.
Used in completed records ready for distribution outside LC.

p : Never Distribute Record.
Used in classified map records and some visual material records.

C16.10.2.2 \$b Local record completion state (NR)
Used for a code that indicates (a) the state of the record with respect to whether its cataloging has been completed or not or (b) support of a function other than cataloging.

acq : Acquisition Support Record.
Indicates record supports acquisitions but not cataloging or circulation.

- bbc** : Basic Bibliographic Control.
Indicates (a) a completed less-than-full record for a serial that LC does not retain or retains non-permanently or (b) a former SERLOC record that failed to merge with a serial bibliographic record.
- cbc** : Completed Bibliographic Control.
Used for completed full, core, or minimal level bibliographic records and for completed CIP pre-publication cataloging.
- cbu** : Completed Bibliographic Control (Unverified).
Indicates completed cataloging in a record that was “unverified” in MUMS before it migrated to LC ILS. Changed to “cbc” when the record is updated.
- cir** : Circulation Support Record.
Indicates a record supports circulation but not acquisitions or cataloging.
- ibc** : Initial Bibliographic Control.
Indicates a record is still in its “initial” state, with all or some of its intended cataloging not yet completed.
- par** : Partial Bibliographic Control.
Indicates descriptive cataloging in an LC CONSER serial record is complete, but call number and perhaps other subject elements are not yet completed.
- rip** : Revised CIP Cataloging/Revised CIP Data.
Indicates CIP cataloging revised prior to the resource’s publication for which revised CIP data **should** be sent to the publisher.
- rix** : Revised CIP Cataloging/No Revised CIP Data.
Indicates CIP cataloging revised prior to the resource’s publication for which revised CIP data **should not** be sent to the publisher.
- vip** : CIP Verification in Process.
Indicates CIP verification is in process or will be done for a published resource that has been received. Changed to "cbc" when that is completed.
- und** : Undetermined.

C16.10.2.3

\$c Local processing workflow (NR)

Used for a code that indicates the "cataloging stream" in which the record was created or that ABA needs to count for statistics.

acqwork : Acquisition Processing Stream

copycat : LC Copy Cataloging Stream.
Code "**lccopycat**" is in field 042.

gpocoop : GPO Cooperative Cataloging Stream (*obsolete*).
See DCM E1.7.1.

muzenew : Compact Disc Workflow (IBCRs using MUZE data)

nccpada : NCCP Adapt.
Code "**lnccp**" is in field 042. Used for a resource **in LC**. See DCM E1.6.

nccpuna : NCCP Unadapt.
Code "**lnccp**" is in field 042. Used for a resource **not in LC**. See DCM E1.6.

nucmaps : NUC Maps Stream.
Code "**lnuc**" is in field 042. Used for cartographic resource based on National Union Catalog record.

oclrpl : OCLC Replacement Record.
Used for a record obtained from OCLC to replace a less complete record from PREMARC. Before evaluation, has code "**premarc**" in field 042 to block record from reloading into OCLC. That 042 is deleted when record is evaluated and updated based on LC's source card and headings are changed to current forms, as necessary.

origcop : LC Copied from LC.
Used for record with LC original cataloging based on another LC record.

orignew : LC Original Cataloging.
Used for LC original cataloging created from scratch.

origode : LC Original ODE Cataloging.
Used for LC original cataloging created in an overseas office. Code "**lcode**" is in field 042.

origres : LC Original Resource-File-Based Cataloging.
Used for LC original cataloging based on a record in an

internal or external resource file.

- pccadap** : PCC Adapted Cataloging.
Code “**pcc**” is in field 042. Used for a Program for Cooperative Cataloging record adapted for a resource **in LC**.
- pccunad** : PCC Unadapted Cataloging.
Code “**pcc**” is in field 042. Used for a Program for Cooperative Cataloging record for a resource (a) not in LC or (b) in LC but not yet completely processed.
- premunv** : PREMARC Unverified Record.
Used for a record (excluding “**oclcrlpl**” records) that was “unverified” in PREMARC before it migrated to LC ILS and that **has not yet** been evaluated and updated based on LC’s source card or had headings changed to current forms, as necessary.
- premver** : PREMARC Verified Record.
Used for a record (excluding “**oclcrlpl**” records) that was “unverified” in PREMARC before it migrated to LC ILS and that **has** been evaluated and updated based on LC’s source card. (Headings may be flagged with “[from old catalog],” if not yet evaluated for currency, or have had that removed when they were evaluated and changed to current forms, as necessary.)
- serasst** : Non-CONSER Copy
Used for an LC CONSER record based on an OCLC record that was CONSER-authenticated for the first time by the LC cataloger.
- sercoop** : CONSER Copy
Used for an LC CONSER record based on an OCLC record that was already CONSER-authenticated previously by another CONSER participant outside LC.
- serials** : Serial Bibliographic Record.
Used for LC CONSER and non-CONSER serial records, if no other ser***** code applies (or before other codes were adopted). Used also for LC integrating resources records with Leader/07 “i” created in OCLC.
- serissn** : ISSN Record Created/serial not selected or not yet selected by LC
Used for a record created to register ISSN assignment for a US resource and for which LC has not yet made a

selection decision or has made a decision not to acquire the resource.

serorig : Originally Cataloged Serial
Used for an LC CONSER record cataloged originally and CONSER-authenticated by an LC cataloger.

serlocs : SERLOC Serial Control Record.
Used for a serial control record from SERLOC, containing selection and location information.

serprem : PREMARC Serial Record.
Used for a serial bibliographic record that was a monograph record in PREMARC, with 008 elements converted to those for a serial by LC ILS migration.

srrepla : Sound Recording Replacement.
Used for an IBC record for a sound recording, created for OCLC batch matching. Changed when cataloging is completed to “**copycat**” (if OCLC had copy) or “**orignew**” (if LC did original cataloging).

undeter : Undetermined

C16.10.2.4

\$d Priority (NR)

Used for the priority assigned to the processing of the resource.

1-4 : Priorities 1-4
5 : Priority 5 (*No longer assigned*)
u : Undetermined

C16.10.2.5

\$e CIP/PCN flag (NR)

Used for a code indicating whether LC’s Cataloging in Publication (CIP) or Preassigned Card Number (PCN) programs created the record.

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)

Used for a code indicating the century of the year portion of the LCCN in 010 \$a of the record. This resolves ambiguity in LCCNs with two digits in the year portion. Always included in field 906, even when the LCCN has a four-digit year portion.

18 : 1800-1899

19 : 1900-1999

20 : 2000-2099

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

C16.10.2.7.1 **General**

Used for a two-part code consisting of a one-letter maintenance prefix separated by a hyphen from an eight-letter stakeholder code.

C16.10.2.7.2 **Maintenance prefix**

Indicates whether or not to do maintenance of the record completely within the LC ILS system (depending on where the “master” bibliographic record resides).

n- : Indicates staff do not do maintenance completely within the LC ILS, usually because the “master” record is in another system (for example, LC CONSER serials in OCLC) and staff do maintenance there.

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

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

Nonroman record maintenance: Follow the instructions in DCM M3.3.2.5 for maintaining monograph records with data in nonroman scripts, regardless of whether 906 \$g has “**n-rlinjack**,” “**y-rlinjack**,” or “**y-nonroman**” (see C16.10.2.7.3). **Nonroman cataloging staff** change code “**n-rlinjack**” in 906 \$g to “**y-rlinjack**” if they update the record; other staff do not (see DCM M3.3.2.5).

C16.10.2.7.3 **Complete Stakeholder Code**

Indicates, by an eight-letter stakeholder code, the service area that has main responsibility for the bibliographic record.

ilsserca : Should be **z-ilsserca**.

n-geogmaps : Geography and Map Division, LC Local (*Obsolete*).
Use “**y-geogmaps**” in new records.

n-oclserc : Acquisitions and Bibliographic Control, serials cataloging and integrating resources cataloging staff, Record created and maintained in OCLC.
Indicates an LC CONSER serial record or an

integrating resources record with Leader/07 “i,” with the national level information created and maintained in OCLC and local data elements in LC ILS.

n-rlinjack : Acquisitions and Bibliographic Control, JACKPHY Record Maintained in RLIN 21 until August 18, 2007.

Indicates a record for a JACKPHY language resource initially input in RLIN 21 but **now maintained in the LC ILS**, despite the “n-” prefix. Changed to “y-rlinjack” in Chinese and Japanese records reloaded during JACKPHY migration to LC ILS, but KHAPY language records may still have “n-rlinjack.” See guidelines in DCM M3.3.2.5 for maintaining records and in C16.10.2.7.2 for updating the 906 \$g code.

n-undeterm : Stakeholder Undetermined, No Regular Maintenance

y-folklife : American Folklife Center.

y-gencatlg : Acquisitions and Bibliographic Control, General Cataloging.
Indicates general cataloging by LC staff not covered by any of the other stakeholder codes.

y-gencompf : Acquisitions and Bibliographic Control, electronic resources cataloging staff.
Indicates a non-serial record created for an electronic resource by ABA staff who catalog electronic resources.

y-genmicro : Acquisitions and Bibliographic Control, microforms cataloging staff.
Indicates a non-serial record that contains an 007 field for microforms (that is, with value “h” in 007/00).

y-genmusic : Music Division, Bibliographic Access Section.
Indicates a record created by LC music catalogers, with one of the following “type of record” values in Leader/06: “c” (printed music), “d” (manuscript music), “i”

(nonmusical sound recording), or “j”
(musical sound recording).

y-genrareb : US/Anglo Division, Rare Materials Section.
Indicates a record created by LC rare materials catalogers or linked with some holdings record(s) for location **c-RareBook**.

y-geogmaps : Geography and Map Division.
Superseded “**n-geogmaps**.”

y-ilsserca : Acquisitions and Bibliographic Control, serials cataloging staff, LC Non-CONSER (Record NOT Created/Maintained in OCLC, but Subject to Regular Maintenance).
Indicates a record for a serial that migrated from PREMARC or is a merger of records from PREMARC and SERLOC. Not used currently in new records.

y-manuscri : Manuscript Division

y-movingim : Motion Picture, Broadcasting, and Recorded Sound Division, Moving Image Section Processing Unit.
Indicates a record with value “g” (projected medium) in Leader/06.

y-nonroman : Acquisitions and Bibliographic Control, Nonroman Record Maintained in LC ILS.
Indicates (a) a monograph record containing nonroman script initially input in LC ILS and maintained in LC ILS or (b) an existing LC ILS record to which nonroman script has now been added. Used after LC JACKPHY cataloging migrated from RLIN to LC ILS on August 20, 2007. See DCM M3.3.2.5 for guidelines on maintaining records.

y-printpho : Prints and Photographs Division.
Indicates a record with value “k” (two dimensional nonprojectable graphic) in Leader/06.

y-rlinjack : Acquisitions and Bibliographic Control, JACKPHY Record Maintained in LC ILS.
Indicates a JACKPHY language record initially input in RLIN 21 but now maintained in the LC

ILS. Used after LC JACKPHY cataloging migrated from RLIN to the LC ILS on August 20, 2007. See guidelines in DCM M3.3.2.5 for maintaining records and in C16.10.2.7.2 for changing the code from “n-rlinjack” to “y-rlinjack.”

y-soundrec : Motion Picture, Broadcasting, and Recorded Sound Division, Recorded Sound Section Processing Unit

y-undeterm : Stakeholder Interest Undetermined, Regular Maintenance.
Indicates regular maintenance is done by usual procedures.

z-acqworks : Acquisitions and Bibliographic Access, acquisitions use

z-cadworks : Copyright Acquisitions Division (CAD)

z-ilsserca : Acquisitions and Bibliographic Control, LC Local Serials Acquisition Control (Record NOT Subject to Regular Maintenance)
Indicates a non-CONSER serial record created in the LC system for basic bibliographic control and recording LC selection and location information. Also, serial IBC records have this code until cataloged.

z-noregmai : No Regular Maintenance

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 or for the note "LC HAS REQ'D # OF SHELF COPIES" as part of processing added copies.

Examples of former practice (Do not imitate):

```
920 ## $a Keep 1
920 ## $a sgl8 10-17-94; DO NOT ACQUIRE per Law Library Selection
Office; retained for vertical file only 12-13-95
920 ## $a ** LC HAS REQ'D # OF SHELF COPIES **
```

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.

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, other acquisition information, or code "lccopycat" for some former copy cataloging pilots.

Examples of past practice (Do not copy):

```
922 ## $a ax [source = Exchange]
922 ## $a NOT AVAILABLE VIA PURCHASE OR EXCHANGE
922 ## $a lccopycat
```

Do not input new 922 fields. Generally do not change or delete 922 fields found in existing records.

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, including an acquisition shipment and/or invoice number, an identification of the supplier, and the date. Multiple 923 fields may appear if copies or parts of a resource are supplied in different shipments, on different invoices, or by different suppliers.

Some batch loading places field 923 at the beginning of the record, along with the 906 and 925 fields; it is not necessary to reposition the 923 fields in those cases.

```
923 ## $d 20050214 $s 990013095
923 ## $d 20040616 $n 92165084 $s RuMoEVP
923 ## $d 20020710 $n Invoice no. 23088 $s Batthyány Kultur-
Press Kft
```

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. Generally do not create a new 925 field for the same selection decision as in a 920 field already present in a **completed** record. Input a new 925 field with an "Acquire" decision in an IBC record that has a 920 field with "Keep" but no 925 field.

Changes in selection information: LC staff most often record changes in selection information by modifying the existing 925 field for the current decision. The fact that field 925 is repeatable and the existence of first indicator "current decision" and "former decision" values make an approach using paired 925 fields for changed selection decisions a possibility; but that is an option applied selectively, when considered useful in individual cases, and not prescribed practice.

C16.14.2 Subfields

C16.14.2.1 \$a Selection decision for LC (NR)

Contains a mandatory, standard statement of the decision to retain the resource or not in LC.

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+
```

Note: Bibliographic records with current “do not acquire” decisions are suppressed from LC’s OPAC and have other properties described in DCM C7.2.1. Changing a decision from “do not acquire” to “acquire” also necessitates “unsuppressing” the record from LC’s OPAC, adding subfield \$b in field 925, creating holdings and item records, and other changes for normal processing.

C16.14.2.2 *\$b Number of shelf copies/sets desired (NR)*

Contains a statement of the number of copies of the resource LC has decided to retain. Mandatory when subfield \$a has an “acquire” decision. Absent when subfield \$a has “do not acquire” or “undetermined.”

```
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.
```

C16.14.2.3 *\$c Acquisition conditions (NR)*

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)*

Contains 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 ...
```

C16.14.2.5 *\$e Comment related to selection decision (R)*

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)*

Contains a mandatory statement of who is responsible for making the selection decision recorded in subfield \$a (preferably followed by a date).

“policy default” : if the decision is based on general LC policy and 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 (see recommending officers' initials at: www.loc.gov/staff/cpc/recommending.html)

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

C16.14.2.7 *\$y Office copy request (R)*

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. (Does not cause acquisition; only indicates the desire for an unwanted copy if one is received.) 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

If you are unable to input the request in the LC ILS, send a request to input one to ABA Policy and Standards Division. The next copy received is sent to ABA/POLICY, where staff process it for the requesting location and delete 925 \$y.

C16.14.2.8 *\$z Reference assignment request (R)*

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. (Does not cause acquisition; only indicates the desire for an unwanted copy if one is received. 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

If you are unable to input the request in the LC ILS, send a request to input one to ABA Policy and Standards Division. The next copy received is sent to ABA/POLICY, where staff process it for the requesting location and delete 925 \$z. (Reference staff do not use subfield \$z when selecting an extra copy already awaiting discard for a reference collection. They send the piece and a request to ABA/POLICY, where staff process it for the requesting reference location.)

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

| 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. See DCM B9 for instructions on using 952 fields and cataloger's
| permanent notes in LC bibliographic records.

C16.16 955 FIELD: LOCAL FUNCTIONAL IDENTIFYING INFORMATION (R)
[High use]

C16.16.1 General

C16.16.1.1 Content designation summary

First and second indicators

: Undefined

Subfields

- a** : Tracking information (R)
- b** : IBC/BBC processing (R)
- c** : Descriptive cataloging (R)
- d** : Subject cataloging (R)
- e** : Shelflisting and ordinary end-stage processing (R)
- f** : CIP verification (R)
- g** : Serials end-stage processing (R)
- h** : Minimal level cataloging (MLC) (R)
- i** : Whole item cataloging (R)
- j** : ISSN pre-publication assignment (R) *[ISSN assignment staff only]*
- k** : ISSN post-publication assignment (R) *[ISSN assignment staff only]*
- l** : Holdings conversion and inventory (R) *[Serial holdings conversion and inventory use only]*
- m** : Bibliographic record cancellations (R) *[Serials holdings conversion and inventory use only]*
- t** : Added copy (R)
- w** : Dewey Decimal Classification (R)

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 information of two kinds:

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

For the latter, field 955 has separate subfields (\$b-\$m, \$t, and \$w) defined for different stages of the cataloging workflow that have been completed (see C16.16.6). 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/identifying information in a record. Input additional, temporary 955 fields for special added copy and added volume tracking 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 elements in the following order:

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

Following those, when appropriate, also input:

- 3) information about where the item was sent and the action for which it was sent there.

```
... jg00 2004-01-14 ...  
    (Code with "00" indicates a section rather than an  
    individual)  
... xz05 2008-11-15 to ABA/POLICY for class proposal ...
```

ABA staff input different charge statements in separate subfields and do not also input semicolons for separation. Units outside ABA that do not use subfields \$b-\$m, \$t, and \$w may input all 955 charges in one subfield \$a and separate them by semicolons.

```
955 ## $b 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)  
  
955 ## $a kklo 2001-07-18 in P&P; kklo 2001-07-23 to aale; aale  
    2001-07-30 to P&P storage  
    (Acceptable practice outside ABA)
```

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)
```

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/section code at the *beginning* of the charge statement; or
- 2) the location TO which an item is sent for custody, assistance, etc.—represented by “to” and an identification of the destination (for example, “to BCCD”) at the **end** of the charge statement.

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

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- ... \$e jj93 2005-03-16 to Dewey
(After end-stage processing, someone **mandatorily** tracked sending the item out for Decimal classification)
- ... \$d jj10 2005-02-07 to shelflisting ...
(After subject cataloging, someone **optionally** tracked submitting the item for shelflisting by someone else in the same section)
- ... \$d zq03 2005-04-06 \$e zq99 2005-04-11 to BCCD
(After subject cataloging, someone did not track submitting the item for shelflisting in the same section; after shelflisting/end-stage processing, someone **mandatorily** tracked sending the item 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.

Example

955 ## \$b zz12 2008-10-18 \$i zz03 2008-10-25 to BCCD
(Someone created an IBC record. Someone else in the section did whole cataloging, shelflisting, and end-stage processing and then sent the item to BCCD)

C16.16.3 Tracking Added Copies

An “added copy” in these instructions is a copy of a resource received after another copy has already been received for processing (as tracked in the record’s first 955 field). Track the receipt of an added copy in subfield \$a in an additional, temporary 955 field with a message about where it is sent for processing as shown in the following example:

955 ## ... \$c sh27 2004-02-12 ...
955 ## \$a pv10 2002-08-03 ADDED COPIES: another copy to [code]

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) were already received for processing (as tracked in the record’s first 955 field). Track the receipt of added volumes in subfield \$a in additional, temporary 955 fields with messages about where they are sent for processing as shown in the following example:

955 ## ... \$c jf03 2003-11-22 ...
955 ## \$a pv11 2004-01-28 ADDED VOLS: v. 2 to [code]
955 ## \$a px02 2004-02-04 ADDED VOLS: v. 3 to [code]

Delete temporary 955 fields for added volumes at end-stage processing and input an additional subfield \$c for the volumes that were added in the permanent 955 field, as shown in the following example:

955 ## ... \$c jf03 2005-03-22 \$c jf16 2004-03-04 v. 2-3 added
(Temporary 955 fields with “ADDED VOLS:” deleted)

C16.16.5 Identifying 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 \$b-\$m, \$t, and \$w in C16.16.6).

When one person completes multiple functions, input an “umbrella” subfield combining those functions if one exists (for example, subfield \$i) and is applicable.

```
... $i cc17 2005-01-16 ...  
not ... $c cc17 2005-01-16 $d cc17 2005-01-16 ...
```

(The same person did whole item cataloging, that is, descriptive and subject cataloging)

There is **no** 955 subfield defined for review during the cataloging process and there is no requirement to record it in field 955. If sections **choose** to record reviewers’ identities, they may do so informally in subfield \$a following the 955 subfield for the work reviewed.

```
... $c zz92 2005-02-14 $a zz90 2005-02-16 (rev.) ...  
(Someone did descriptive cataloging only. Someone else reviewed that)
```

Note: Some 955 subfields have context-sensitive definitions and identify different functions in different workflows (for example, CIP versus non-CIP cataloging).

Examples

```
955 ## ... $i sb15 2004-05-14 $e sb21 2004-05-20 ...  
(Someone did whole item cataloging. Someone else in that section did shelflisting and end-stage processing)
```

```
955 ## $a ... $i le03 2002-04-23 $e le02 2002-04-23 ... $f le28  
2003-06-03 to BCCD  
(Someone did whole item cataloging and someone else in that section did shelflisting. When LC received the item, someone did CIP verification and CIP verification end-stage processing, then sent the item BCCD)
```

C16.16.6 Subfields

C16.16.6.1 \$a Tracking information (R)

Used in ABA for location tracking, for messages about processing, or for processing not covered by other 955 subfields, such as reviewing work by someone in training. (Before October 2008, also used in ABA for IBC processing, added copies, and Dewey Decimal Classification. Before other 955 subfields were defined, used in ABA for all functional tracking information now covered by those subfields.)

May be used outside ABA for all identifying information, instead of \$b-\$m, \$t, and \$w (see C16.16.1.3).

955 ## \$b zz17 2008-10-24 \$a zz00 2008-10-24
(Someone in a section created an IBCR. The item is located in that section awaiting processing)

955 ## \$b zz21 2008-11-01 \$i zz07 2008-11-05 \$a zz01 (rev.) 2008-11-06 ...
(After someone in a section created an IBCR and someone else there did whole item cataloging, someone reviewed the whole item cataloging)

955 ## \$a marcadia import ...
(Message identifies source of cataloging copy)

C16.16.6.2 *\$b IBC/BBC processing (R)*
Used for Initial Bibliographic Control (IBC)/Basic Bibliographic Control (BBC) processing by any means, such as creating a new IBC/BBC record in the LC ILS, deriving one from an existing record, adapting a vendor record, or importing a record from an external source.

C16.16.6.3 *\$c Descriptive cataloging (R)*
Used for descriptive cataloging when only that is done. Also used for added volumes processing and the descriptive aspect of copy cataloging.

C16.16.6.4 *\$d Subject cataloging (R)*
Used for subject cataloging, along with any shelflisting and end-stage processing done at the same time. Also used for subject cataloging related to added volumes processing. Used for Annotated Cataloging processing of juvenile materials. May also be used for the subject aspect of copy cataloging when a section does not choose some other means of identifying that activity.

955 ## ... \$c lf06 2001-09-08 \$d lf07 2001-10-05 to lb00 \$d lb04 2001-11-30 ...
(The charge in the first subfield \$d tracks completion of subject cataloging; that in the second subfield \$d tracks completion of AC subject cataloging)

C16.16.6.5 *\$e Shelflisting and ordinary end-stage processing (R)*
Used for shelflisting, along with ordinary non-serial end-stage processing, when those things are all the person does (that is, not when the same person does those things along with subject cataloging or whole item cataloging).

Exceptions: Subfield **\$f** is used for **CIP** end-stage processing done in conjunction with CIP verification. Subfield **\$g** is used for end-stage processing of **serials**, in addition to subfield **\$e** if shelflisting is also done.

955 ## ... \$i vl15 2008-09-10 \$e xz34 2008-10-16 to USPL/CL ... \$f xz17 2008-12-27 to BCCD
(The charge in subfield \$e tracks CIP pre-publication shelflisting; subfield \$f tracks CIP verification and end-stage processing)

C16.16.6.6 *\$f CIP verification (R)*
Used for verification of bibliographic data in a CIP record after LC receives the published item, along with any end-stage processing done at the same time.

C16.16.6.7 *\$g Serials end-stage processing (R)*
Used for end-stage processing of **serials** in LC workflows. **Used in addition to 955 \$e** if both shelflisting and end-stage processing for the serial are done.

C16.16.6.8 *\$h Minimal level cataloging (MLC) (R)*
Used for minimal level cataloging of any kind of resource.

955 ## ... *\$h sj05 2004-11-30* \$e sj11 2004-11-30 to shelf
(The charge in subfield *\$h* tracks completion of minimal level cataloging)

C16.16.6.9 *\$i Whole item cataloging (R)*
Used for a combination of descriptive and subject cataloging, along with any shelflisting and end-stage processing, done by the same person at the same time. Also used for whole item copy cataloging.

955 ## ... *\$i v119 2002-01-31* ...
(The charge in subfield *\$i* tracks completion of descriptive and subject cataloging done together by the same person)

955 ## ... *\$i xz15 2008-11-02* to USPL/CL \$d yq09 2008-11-15
...
(The charge in subfield *\$i* tracks completion of descriptive and subject cataloging done together by the same person; a separate subfield *\$d* tracks completion of *ac* subject cataloging by another person)

C16.16.6.10 *\$j-\$m [Used only for serials]*
Used only for serials. See field 955 section of ABA Serials Manual: LC Local Fields Used in Serial Bibliographic Control (www.loc.gov/staff/idt/ABADoc-Final/SER/SER-CAT/CATGEN-LocalFields.pdf).

C16.16.6.11 *\$t Added copy (R)*
Used for processing done to add a holdings record and item record(s) for another **copy** to an existing LC record. **Not** used for added **volume** processing (which is recorded in subfield \$c).

955 ... *\$i zz06 2007-11-07* ... *\$t zz12 2008-10-29*
(The charge in subfield *\$i* is for completion of whole cataloging, shelflisting, and end-stage processing for the first copy of a resource. The charge in subfield *\$t* is for processing the addition of a second copy.)

C16.16.6.12 *\$w Dewey Decimal Classification (R)*
Used for assignment and inputting of a Dewey Decimal Classification (DDC) number.

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

Contains temporary data used in CIP and PCN records. Deleted when the published item is received and CIP verification is done, 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 section or division practice.

Roman numeral “II” in subfield \$b of field 963 plus a note in field 952 signals that a cataloger wants to see a CIP item when LC receives it.

```
963 ## $a Frank Calderon, 908-827-2684, Random House
963 ## $a Andrew R. Dodge; phone: (202) 226-1300; fax: (202)
      226-4635; email: andrew.dodge@mail.house.gov; bc:
      andrew.dodge@mail.house.gov
963 ## $c CONGRESSIONAL LOAN
963 ## $a Anthony Simon, 215-259-1864; $c CONGRESSIONAL LOAN

952 ## $a II check ills. lb10 10-31-03
963 ## $a Cindy Howle; phone: 212-414-3646; email:
      Cindy.Howle@us.penguin.com $b II
```

C16.18 984 FIELD: LOCAL SHEFLIST 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
sryf : Serial Record visible file

b : Note (NR)

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

C16.18.1.2 General description and instructions

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 *Classification and Shelisting Manual, ILS Supplement*, Appendix A: <http://www.loc.gov/staff/catdir/cps0/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
```

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

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)

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 occurrence of that field got maintenance. (For example, “7002cd” indicates content designation checked in the *second* 700 field of the record.) Blank spaces separate multiple codes.

- cd** Content Designation Checked (*appended to a MARC field tag*). Indicates that only content designation in the indicated *field* has been checked.

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- dv** Data Validated (*appended to a MARC field tag*).
Indicates that the data in the indicated *field* has been checked.
- dvc** Data Validated as Current.
Indicates that the data in the *record* or indicated *field* is more current than information on any manual file card, thus explaining discrepancies between source card and online record.
- enh** Enhanced.
Indicates the PREMARC *record* has gone through the complete upgrade process; final upgrade has been completed.
- fed** Full Content Designation Checked.
Indicates that content designation of all fields in the *record* has been checked.
- fdv** Full Data Validated.
Indicates all data in the *record* has been 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

```

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 (NR)
- d** : Status code (NR)
- e** : Version of conversion program used (NR)
- f** : Note (NR)

C16.20.1.2 General description and instructions

Contains temporary information about the conversion status of MARC 21 records, for purposes of the Pinyin Conversion Project and potential future projects.

For the Pinyin Conversion Project, enables machine conversion programs to exclude records already using pinyin romanization (because created that way or because already converted). Used as a pinyin marker in new records containing romanized Chinese data. (See www.loc.gov.catdir/pinyin for more information on this project.)

Generally, do not delete or change a 987 field found in an existing record.

```
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
```

C16.20.3 Subfields

C16.20.3.1 \$a Romanization/conversion identifier (NR)
Contains an identification of the project (“PINYIN” for the Pinyin Conversion Project).

C16.20.3.2 \$b Agency that converted, created, or reviewed romanization/conversion (NR)
Contains MARC Code List for Organizations code for the agency that performed or reviewed the conversion of data in the record.

C16.20.3.3 *\$c Date of conversion or review (NR)*
Contains date when the conversion was performed or reviewed, in the form **yyyymmdd** (with no hyphens).

C16.20.3.4 *\$d Status code (NR)*
Contains a mandatory code indicating the degree to which the project has converted or reviewed the information in the MARC 21 record.

c Record Fully Romanized
All eligible data converted (by cataloger or machine process).

n Record Processed but Not Converted
No eligible data detected in record by machine process.

r Record Requires Manual Review
Some data perhaps not converted by machine process.

C16.20.3.5 *\$e Version of conversion program used (NR)*
Contains an identification of the version of the conversion program applied to the record, when machine conversion was done.

C16.20.3.6 *\$f Note (NR)*
Contains free text information about the status of conversion of data in the record.

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

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
```


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

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
```

C16.23 LEADER, 008, AND 006 FIELDS

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. For more information, see the *MARC 21 Format for Bibliographic Data*, available in Cataloger's Desktop, in print, and via the Internet (<http://www.loc.gov/marc/bibliographic/ecbdhome.html>).

For staff who choose to read character strings for Leader, 008, and 006 directly from LC ILS record displays (rather than opening their dialog boxes for more detailed information), a set of interpretation examples that may serve as reference aids are available on ABA/Policy's staff Web site (www.loc.gov/staff/catdir/cps/).

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."

C16.23.3 006 Field in LC Integrating Resource Records

In records for **non-textual** (Leader/06 not “a”) integrating resources that are continuing in nature, input 006 fields with selected elements coded as instructed in the following table, to record data related to that “continuing” nature.

<i>Position</i>	<i>Element</i>	<i>Instruction for LC Non-textual Integrating Resources</i>
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	<i>Updating database or updating Web site:</i> Use MARC 21 code “s” (“electronic”) <i>Updating loose-leaf:</i> 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	<i>[Unused]</i>	
006/16	Original alphabet	Do not code. Accept prompted “no attempt to code.”
006/17	Entry convention	Use MARC 21 code “2” (“integrating entry”).

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Bibliographic and Authority Database Maintenance in the LC ILS *rev. Nov. 2008*

M3.1 SUMMARY

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

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

For guidelines on maintaining subject heading and classification authority records and subject elements in bibliographic records, see LC's subject cataloging manuals, with special attention to the following:

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

M3.2 GENERAL GUIDELINES ON MODIFYING RECORDS

M3.2.1 **Basic Policy**

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

See M3.3.1 and M3.4.1 for guidance on who performs record maintenance. Use the procedure in M3.2.2 when modifying any records within the LC ILS. Restrict modifications of certain record elements as instructed in M3.3.2, M3.3.5-M3.3.6, M3.4.2, and M3.4.4.

M3.2.2 **Basic Procedure**

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

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

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

M3.3 BIBLIOGRAPHIC RECORD MAINTENANCE

M3.3.1 Distribution Of Responsibility For Maintenance

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

Address the following decision points in the following order when determining whether **you** should carry out modifications in a particular record yourself or get cooperation from colleagues with needed expertise or resources to do it.

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

- 2) **Responsibility** Can you do the maintenance needed in this record yourself? Or should you get cooperation from someone with necessary expertise to do it?

- 3) **Workload** Do you absorb maintenance into your local workload? Or do you send maintenance requests to ABA/POLICY/DATA?

Default: If in doubt concerning who should do maintenance on a record or group of records, send a maintenance request to ABA Policy and Standards Division, Data Integrity Section (ABA/POLICY/DATA), as instructed in M3.3.1.3.

M3.3.1.1 Determining eligibility

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

<p>906 \$g Maintenance Prefix</p>	<p><i>Instruction to catalogers:</i></p>		
<p>n-</p>	<p>The record is not eligible for maintenance modifications within the LC ILS.</p> <p><i>Background:</i> The “master” record is in another system (usually, OCLC). Staff maintain the record there. CDS gets the changed record for distribution from there, not from the LC ILS database.</p> <p><i>Exception:</i> See DCM C16.10.2.7.2-C16.10.2.7.3 about code “n-rlinjack” in monograph records with data in nonroman scripts after August 20, 2007.</p>		
	<p>906 \$g code</p>	<p><i>Request cooperation from:</i></p>	<p><i>Identifies:</i></p>
	<p>n-oclserc</p>	<p>ABA serials cataloging (Leader/07 = “s”) or integrating resources (Leader/07 = “i”) cataloging staff</p>	<p>Bibliographic record created and maintained in OCLC</p>
<p>z-</p>	<p>Cataloging staff do not do maintenance in the record.</p> <p><i>Background:</i> The record supports a function other than cataloging (for example, acquisitions) and staff serving that function do maintenance as necessary.</p>		
<p>y-</p>	<p>The record is eligible for maintenance modifications within the LC ILS.</p> <p>Determine next whether maintaining the record fits your expertise or requires cooperation from other staff (see M3.3.1.2). See instructions in M3.3.2.5 on maintaining monograph records with data in nonroman scripts.</p>		
<ul style="list-style-type: none"> • <i>Note:</i> If a serial record lacks 906 \$g, assume the code is “n-oclserc”. • <i>Note:</i> If a serial record has only “ilsserca” in 906 \$g, assume the code is “y-ilsserca”. • <i>Note:</i> If any other bibliographic record lacks 906 \$g and needs maintenance, send a request to ABA/POLICY. 			

M3.3.1.2

Determining responsibility

If a bibliographic record is eligible for modification within the LC ILS (see M3.3.1.1), determine next whether **your** expertise is appropriate for doing maintenance in **that** record. Make the following decisions in the following order.

Heading-only or non-heading maintenance?: If the record requires **maintenance only in headings**, generally you (individual/unit) can do the maintenance

yourself (see also M3.3.2.1). If the record requires **changes in other record elements** (in addition to or instead of heading changes), proceed to the next decision point, considering the record's processing status.

In-process record or previously cataloged?: If the record is still an **in-process record** (that is, 906 \$b has "ibc" or "vip") and you (individual/unit) have the ability to complete it as well do any maintenance, generally you should do so. If you are not able to do that, give the record and a maintenance request to the individual or unit working on it, as identified in field 955. If there is difficulty identifying any such individual or unit, give the record and a maintenance request to ABA Policy and Standards Division.

If the record is a **previously completed record** (that is, 906 \$b has any other value than "ibc" or "vip"), proceed to the next decision point, considering whether your (individual/unit) expertise and resources are sufficient for doing the maintenance required in that record.

Do it yourself or get someone's cooperation?: If you (individual/unit) have expertise and resources appropriate for performing the non-heading maintenance in the previously cataloged record, generally you can do so. Decide whether to absorb the maintenance workload or send a maintenance request instead to ABA/POLICY/DATA (see M3.3.1.3).

If doing the maintenance needed in the record requires expertise or resources that you (individual/unit) cannot provide, get the cooperation of colleagues with the necessary expertise and resources. Stakeholder codes in 906 \$g indicate likely sources of cooperation, as shown in the following table. If in doubt about where to get the cooperation you need, send a maintenance request to ABA/POLICY/DATA.

Code in 906 \$g:	<i>Good sources of cooperation to do non-heading maintenance:</i>
y-geogmaps	Geography and Map Division, Technical Services Section
y-folklife	American Folklife Center
y-gencompf	ABA electronic resources cataloging staff
y-gencatlg	ABA cataloging staff
y-genmicro	<i>United States materials:</i> USAN, US Serials and Microforms Section <i>Non-US materials:</i> ABA microforms cataloging staff in appropriate divisions
y-genmusic	Music Division, Bibliographic Access Section
y-genrareb	USAN, Rare Materials Section
y-manuscri	Manuscript Division

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Code in 906 \$g:	<i>Good sources of cooperation to do non-heading maintenance:</i>
y-movingim	Motion Picture, Broadcasting, Recorded Sound Division, Moving Images
y-nonroman y-rlinjack n-rlinjack	ASME or GS division, appropriate sections
y-printpho	Prints and Photographs Division, Technical Services Section
y-soundrec	Motion Picture, Broadcasting, Recorded Sound Division, Recorded Sound
n-ocleserc	ABA serials cataloging staff (if Leader/07 has “s”) or integrating resources cataloging staff (if Leader/07 has “i”)
y-ilsserca ilsserca	ABA serials cataloging staff
y-undeterm n-undeterm	ABA Policy and Standards Division, Data Integrity Section

*M3.3.1.3**Distributing workload*

Do record maintenance as needed within the local unit or send maintenance requests for the records to ABA/POLICY/DATA. Units determine their own criteria for that decision. Number of records affected is not necessarily a deciding factor.

If keeping the maintenance work within the local unit, expedite completion of the record maintenance through the local workflow as soon as possible. If sending maintenance requests for it to ABA/POLICY/DATA, submit such requests promptly, as instructed below.

Include the following information in every database maintenance request submitted to ABA/POLICY/DATA:

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

Submit maintenance requests to ABA/POLICY/DATA by using the electronic Database Maintenance Request form available on www.loc.gov/staff/catdir/cpsa. If circumstances make them more practical, other methods of communication (such as email to dbiu@loc.gov or internal mail to ABA/POLICY/DATA, mail stop 4261) are also acceptable, provided they include all necessary information, as described above.

M3.3.2 Guidelines For Doing Record Maintenance

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

M3.3.2.1 *Heading maintenance guidelines*

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

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

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

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

In all other cases apply regular maintenance procedures.

M3.3.2.2.1

General procedures

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

M3.3.2.2.2

Notification of CIP pre-publication changes

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

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

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

M3.3.2.3

Specific elements

Bibliographic record element	<i>Instructions</i>
Leader/06 (Record type)	See M3.3.5.
Leader/07 (Bibliographic level)	See M3.3.6.
010 \$a (LCCN)	<p>Do not change the LCCN in 010 \$a of a bibliographic record.</p> <p><i>Exception:</i> LC/CONSER serials catalogers, following procedures in <i>CONSER Editing Guide</i> C2.2.2 and working in OCLC, are able to delete a bibliographic record from the CONSER distribution database, change the LCCN in 010 \$a, and re-add the record with the new LCCN to the CONSER database, when that is appropriate.</p> <p>Do not re-use LCCNs from canceled bibliographic records in new records.</p> <p><i>Exception:</i> Designated CIP staff are authorized and trained to determine individual cases when CIP- or PCN-assigned LCCNs should be re-used in new records—generally to preserve LCCNs printed in resources at LC’s instruction—and apply special procedures for doing so without disrupting record distribution.</p>
050/051 (LC call numbers)	See M3.3.2.4.
906 \$g (Local processing data / Stakeholder code)	See DCM C16.10.2.7.2-C16.10.2.7.3 about code “n-rlinjack” in monograph records with data in nonroman scripts after August 20, 2007.
991 (Local location information)	<p>Do not modify 991 fields found in existing records.</p> <p><i>Exceptions:</i> Staff in some areas, such as Geography and Map Division and certain LC reference staff, add, delete, and change 991 field data and are trained to do so.</p>

*M3.3.2.4**Call numbers*

Change the information in field 050 or 051 of a bibliographic record when maintenance requires doing so (for example, to correct a typographical error or because of reclassification). Also follow instructions for maintaining holdings records and item records in *Classification and Shelving Manual, ILS Supplement, Workflow #20* (www.loc.gov/staff/catdir/cps0/WF20.PDF) and DCM C8 (Procedures Applicable to Materials Stored at Ft. Meade).

*M3.3.2.5**Maintaining monograph records with nonroman data*

Do maintenance **in the LC ILS** system for monograph records that include data in nonroman scripts (in JACKPHY languages, etc.). Before August 20, 2007, those were maintained in the RLIN 21 database, because their “master” records resided there. Records of this kind processed before then may have “n-rlinjack” or “y-rlinjack” in 906 \$g; those created after then (in the LC ILS) have “y-nonroman” in 906 \$g. (See DCM C16.10.2.7.)

All staff do necessary maintenance in these records if all the changes are in fields that **do not begin with subfield \$6** (used to link fields that are different script representations of each other; see *MARC 21 Format for Bibliographic Data*, Appendix A). **Only nonroman cataloging staff** with appropriate language/script knowledge do maintenance in fields beginning with subfield \$6. General cataloging staff request cooperation from nonroman cataloging staff when maintenance requires changes in any of those.

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

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

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

M3.3.4 Canceling Records

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

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

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

Request the cooperation of local serials cataloging staff to cancel serial bibliographic records. (Doing that may require deleting records from the CONSER database in OCLC as well as from the LC ILS database.) Serials catalogers may also cancel or annotate monograph records, as necessary, when recataloging a resource from monograph to serial, following instructions in the ABA Serials Manual when doing so.

M3.3.4.1 Inputting cancellation message

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

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

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

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

M3.3.4.2 Retrieving items in LC collections

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

- *copies in reference locations:* See *Classification and Shelisting Manual, ILS Supplement, Workflow #20* (www.loc.gov/staff/catdir/cps0/WF20.PDF) for instructions on handling call number changes affecting reference copies.

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

M3.3.4.3 *Tracking canceled LCCN*

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

M3.3.4.4 *Transferring holdings data and item records*

Where applicable and as necessary, transfer or re-link any holdings data and item records from an unwanted bibliographic record to the one retained in the LC ILS database before deleting the bibliographic record or requesting its deletion, according to your local workflow. Delete-authorized staff should confirm that necessary data have been moved before carrying out a deletion. (The LC ILS system requires first deleting any remaining item records and holdings records linked to a bibliographic record (for example, ones lacking data or created in error) before finally deleting the bibliographic record itself.)

M3.3.4.5 *Preparation for re-labeling*

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

M3.3.4.6 *Deleting record or requesting deletion*

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

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

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

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

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

M3.3.5.1 *General*

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

which changing Leader/06 in the same record is permissible.

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

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

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

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

M3.3.5.2

Exceptional changes permitted in bibliographic Leader/06

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

Change Leader/06 in the existing bibliographic record <i>only if</i> :	<i>Identification:</i>
1) CDS has not received or queued the record yet.	a) Field 005 in the LC ILS database record has all zeros . <i>or</i> b) The record was first saved in the LC ILS on the <i>same day</i> when you are changing Leader/06 (determine this from “History” in the LC ILS bibliographic display).
2) The record is in the CDS “manuscripts” distribution set, which includes all Leader/06 types.	906 \$g = y-manuscri

Change Leader/06 in the existing bibliographic record <i>only if</i>:	<i>Identification:</i>	
3) The change is from one code to another within certain groups, which have 008 elements in common and correspond to CDS distribution sets:	<i>Group:</i>	<i>includes Leader/06 types:</i>
	a) Books 008	“a” (language material) “t” (manuscript language material)
	b) Maps 008	“e” (printed cartographic material) “f” (manuscript cartographic material)
	c) Music 008	“c” (notated music) “d” (manuscript notated music) “i” (nonmusical sound recording) “j” (musical sound recording)
	d) Visual Materials 008	“g” (projected medium) “k” (two-dimensional nonprojectable graphic) “o” (kit) “r” (three-dimensional artifact/naturally occurring object)

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

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

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

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

Request the cooperation of local serials cataloging staff to change the cataloging of a resource from non-serial to serial, observing the guidelines in DCM M4.

M3.4 AUTHORITY RECORD MAINTENANCE

M3.4.1 Distribution Of Responsibility For Maintenance

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

Default: If in doubt concerning who should do maintenance on a record or group of records, send a maintenance request to ABA Policy and Standards Division, Data Integrity Section (ABA/POLICY/DATA).

M3.4.1.1 *Determining eligibility*

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

M3.4.1.2 *Determining responsibility*

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

If you lack necessary expertise to do authority maintenance that originates from an outside request, request cooperation from a unit/individual that has the resources to do it. When you are uncertain where to request such help, send a maintenance request to ABA/POLICY/DATA.

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

M3.4.1.3 *Distributing workload*

Apply the same guidelines as in M3.3.1.3 when deciding whether to do authority record maintenance work locally or send a maintenance request to ABA/POLICY/DATA.

M3.4.2 Guidelines For Doing Record Maintenance

M3.4.2.1 *Coding records as "Being updated"*

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

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

M3.4.2.2 *Specific elements*

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

See DCM Z1 and *MARC 21 Format for Authority Data, LC Guidelines* for other information on LC's use and maintenance of specific elements in authority records.

M3.4.3 Canceling Records

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

Follow your local division/unit workflows and routines for canceling and deleting name, title, and name/title authority records in the LC ILS or requesting their deletion. Divisions and units may have different local operations with respect to division of responsibilities, workflow details, and who has authorization to delete records from the LC ILS database, but must satisfy the requirements of M3.4.3.1-M3.4.3.4 in any local workflows.

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

M3.4.3.1 *Inputting cancellation message*

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

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

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

before deleting a record.)

M3.4.3.2 Tracking canceled LCCN

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

M3.4.3.3 Deleting record or requesting deletion

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

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

M3.4.3.4 Determining and expediting needed database maintenance

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

| Do maintenance or request that maintenance be done in affected
| bibliographic records as instructed in M3.3.

| Do maintenance or request that maintenance be done in affected
| authority records as instructed in M3.4.

M3.4.4 Changing Kind Of Authority Record

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

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

M3.5 APPENDIX 1: UPGRADING BRIEF JACKPHY RECORDS

M3.5.1 General

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

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

- 1) adding volumes to incomplete multipart item records (see DCM C12.3);
- 2) correcting erroneous attribution to the wrong person/body in the main entry heading.

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

M3.5.2 Procedure

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

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

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

M3.6 APPENDIX 2: FORMER UPGRADING PROCEDURES

M3.6.1 Upgraded Less Than Full Records

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

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

M3.6.2 Inactive CIP Records

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

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

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M4.1 SUMMARY

DCM M4 presents guidelines for resolving questions about serial versus non-serial cataloging treatment of resources in LC. It primarily addresses the concerns of LC staff seeking to obtain resolutions of such questions, rather than those of the serials expert staff whose cooperation they request to resolve them. It summarizes the LC policy making serial versus non-serial questions necessary and the bases for serial versus non-serial decisions. It distinguishes “known LC serials” and “possible serials,” provides guidance for dealing with each, and briefly describes processing that occurs in conjunction with each.

M4.2 LC GENERAL POLICY

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

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

- 1) **Rarely**, LC creates a separate non-serial record for an individual serial issue when the issue's individual importance for user needs is sufficient that a recommending officer requests separate cataloging.
- 2) Since April 25, 2006, when LC catalogs a resource collectively as a serial after it earlier **completed** cataloging some volumes individually as monographs, it **keeps the existing completed monograph records** and does

not cancel them, reclassify them, or re-label items. (Before this policy, LC catalogers routinely canceled monograph records covered by new LC serial records.) LC catalogers add notes to the serial and non-serial bibliographic and holdings records affected, in order to help users and staff locate and process LC holdings. For example:

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

Instructions for this are in ABA Serials Manual: Monograph-to-Serial Cataloging in the LC ILS (www.loc.gov/staff/idt/ABADoc-Final/SER/SER-CAT/CATTYPE-MonoToSerial.pdf).

If LC monograph records get **completed** (despite policy) **after** the LC serial record already exists, LC follows the same procedures and keeps those records. *Note:* **In-process** monograph records covered by LC serial records **do** get canceled.

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

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

The policy described in the preceding paragraphs **does not apply to monographic series** and is distinct from LC’s policies for series analysis and classification decisions (see LCRI 13.3 and DCM M5). For series that LC gave “analyze, classify as a collection” decisions in the past, the LC catalog intentionally has both serial records for the monographic series and monograph records for analytics.

M4.3 BASES FOR SERIAL VERSUS NON-SERIAL

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

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

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

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

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

M4.4 RESOLVING SERIAL VERSUS NON-SERIAL QUESTIONS

Obtain the cooperation of local staff with serials cataloging or serials processing expertise (those in your section or others who help your division with such problems) in order to resolve questions about whether a resource will be treated as a serial or not in LC and to ensure that the resource is processed correctly. If there is difficulty resolving the matter locally, consult ABA Policy and Standards Division.

Request cooperation from serials expert staff by whatever method is mutually agreeable and effective (for example, email, meeting, or using a Materials Routing slip). Best practices are to provide your expert colleagues with record IDs for any serial or non-serial records involved and access to any physical items in hand, along with concise information about what you want them to do.

If it is clear, recognize whether the resource you have is a “known serial” or a “possible serial” and take appropriate steps according to M4.4.1 and M4.4.2.

Note: Look for any note in a non-serial record for the resource indicating LC already made a serial versus non-serial decision and does not need to make one again:

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

M4.4.1 Known LC Serials

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

Leader/07 (bibliographic level” with code “s” identifies a bibliographic record that you found as being for a serial. It helps to recognize, additionally, whether the serial record has a nonpermanent retention decision or an “acquire” decision in LC.

Serials with nonpermanent retention in LC: The 925 field with the current selection information has subfield \$a with a “do not acquire” decision or one that includes “CIO” (current issues only), such as “acquire-CIO” or “acquire-CIO until microfilm.” The record generally has “bbc” (basic bibliographic control) in 906 \$b, indicating the record follows LC local guidelines but not necessarily other cataloging standards.

Cooperate with local colleagues who process serials in order to get serial items with nonpermanent retention decisions checked-in (“CIO” decisions) or discarded (“do not acquire”).

If there is doubt about the selection decision or whether the serial record covers the item in hand, request help in resolving the matter from local colleagues who catalog serials. Also work with them if the item in hand has a monograph IBC record with an LCCN and, therefore, the monograph LCCN needs to be tracked in the serial bibliographic record’s 010 \$z when the monograph record is canceled.

Serials with “acquire” decisions in LC: The 925 field with the current selection information has “acquire” in subfield \$a. The record generally has “cbc” or “cbu” in 906 \$b, indicating cataloging was completed, or “par,” indicating descriptive cataloging was completed but subject cataloging or shelflisting is in process. The record follows cataloging standards (such as AACR2) that applied at the time of the record’s creation.

Field 050 should be present and have first indicator "0" (item is in LC). If it has first indicator "1" (item not in LC), handle the item according to the selection decision in the record.

Field 050 should not contain a message "UNC" or "CLASSED SEPARATELY," which indicates the serial record remains in the LC ILS database from earlier practices and represents a **monographic series analyzed and classed separately** in LC (so LC is not controlling the series by means of that record.) If field 050 has either of those messages, proceed with processing the analytic item in hand as a separate resource.

Field 050 should not contain a message "ISSN record," which indicates the serial record was created for registration of an International Standard Serial Number but LC (a) has decided not to acquire the serial or (b) has made no selection decision yet. If field 050 has that message, handle the item according to the selection decision in the record. If there is no selection decision yet, cooperate with local serials cataloging colleagues and selection officers to obtain one and initiate processing consistent with that decision.

Field 042, if present, should not contain "xlc," indicating LC decided not to treat the resource as a serial (although other institutions may do so).

If the serial record found meets the above criteria, cooperate with local colleagues who process serials in order to get "acquire" serial items checked-in.

If there is doubt about whether the serial record covers the item in hand, request help in resolving the matter from local colleagues who catalog serials. Also work with them if the item in hand has a monograph IBC record with an LCCN and, therefore, the monograph LCCN needs to be tracked in the serial bibliographic record's 010 \$z when the monograph record is canceled.

Processing of "known LC serials" after resolution of questions: Local staff and serials experts may divide tasks in a way that is convenient and effective for them, but need to accomplish the following things, using procedures in the ABA Serials Manual (www.loc.gov/staff/idt/ABADoc-Final/SER/).

- Items are checked-in on serial records, as appropriate.
- If a significant change in a serial is noticed (such as a new publisher or a minor change in title), staff who catalog serials modify the serial record as necessary.
- If there are LC completed monograph records for some parts that are stored in Ft. Meade, staff do processing according to DCM C8.2. Otherwise, if there are LC completed monograph records for some parts, cataloging staff add explanatory notes as described in M4.2.
- LCCNs from any canceled monograph records are tracked in 010 \$z in the serial bibliographic record.

- Barcoded item records from any canceled monograph records get re-linked to the serial record and updated appropriately.
- Canceled monograph records get deleted from the LC ILS database. (If there is much delay expected between the decision to cancel the records and their deletion, input 955 cancellation messages, as instructed in DCM M3.3.4.1.)

M4.4.2

Possible Serials

Definition and identification: A “possible serial” for the purposes of these instructions is a resource that **you believe is or possibly may be a serial** for LC cataloging purposes (based on available facts and application of the standards described in M4.3) **and that does not fit the criteria for a “known LC serial”** in M4.4.1.

Often there is no serial bibliographic record found in the LC ILS database for a “possible serial.” In some circumstances, however, there is a serial record in the LC ILS database that covers the resource but it appears LC has not cataloged the serial yet. Handle such cases as “possible serials,” too, for practical purposes. Those circumstances include **at least** the following:

- Field 906 has “ibc” or “acq” in subfield \$b (even if the record has an “acquire” decision), indicating the record is in a pre-cataloging state.
- Field 050 has “ISSN RECORD” and the record does **not** have “xlc” in field 042, indicating the record so far is for ISSN registration and LC has not yet processed the resource as a serial **but** has not decided **not** to treat it as a serial in LC.

Also handle an item as a “possible serial” if you are not sure whether a serial record you found in the LC ILS database covers it or not.

If you find serials cataloging for a resource in a bibliographic source outside LC, that may be a clue that it is a “possible serial.” Observe whether the record has field 042 with the code “**xlc**.” Only LC serials catalogers input that code. It indicates that LC has seen the record and decided **not** to catalog the resource as a serial in LC. In that case, generally do not handle the resource as a “possible serial” (unless you have new information that you believe calls for a new decision.)

Cooperate with local staff who catalog serials in order to resolve how LC will treat a “possible serial.” If there is difficulty resolving the treatment locally, consult ABA Policy and Standards Division.

It is helpful to provide for the serials experts from whom you request help any information you found that makes you think the resource may be a serial (such as records found in another bibliographic source or information from a publisher’s Web site).

Processing of “possible serials” after resolution of questions: Local staff and serials experts may divide tasks in a way that is convenient and effective for them, but need to accomplish the following things, using procedures in the ABA Serials Manual (www.loc.gov/staff/idt/ABADoc-Final/SER/).

- Serials experts determine whether the resources are serials for LC cataloging purposes or not, applying the standards cited in M4.3, CONSER documentation, ABA Serials Manual instructions, etc.
- Resources rejected as serials in LC return for non-serial processing. If there is a serial record in the LC ILS database already, guidelines in M4.5 are applied.
- Resources accepted as serials get serial IBC records and serial selection decisions (which are separate from any prior decisions for items as non-serials).
- Serials with “do not acquire” or nonpermanent retention decisions (such as “acquire-CIO”) get basic bibliographic control records. Items are discarded or checked-in nonpermanently, depending on the decision.
- Serials with “acquire” decisions get Purchase Orders processed, as necessary. Then they continue as IBC records and enter the cataloging process. Serial bibliographic records are processed in OCLC for the CONSER database and merged with the serial IBC records in the LC ILS. LC local data are completed in the LC ILS.
- Items are checked-in on serial records, as appropriate.
- If there are LC completed monograph records for some parts that are stored in Ft. Meade, staff do processing according to DCM C8.2. Otherwise, if there are LC completed monograph records for some parts, cataloging staff add explanatory notes as described in M4.2.
- LCCNs from any canceled monograph records are tracked in 010 \$z in the serial bibliographic record.
- Barcoded item records from any canceled monograph records get re-linked to the serial record and updated appropriately.
- Canceled monograph records get deleted from the LC ILS database. (If there is much delay expected between the decision to cancel the records and their deletion, input 955 cancellation messages, as instructed in ABA Serials Manual: Monograph vs. Serial Treatment Decisions: www.loc.gov/staff/idt/ABADoc-Final/SER/SER-GEN_MISC/GENMISC-Mono-vs-Serial-Decisions.pdf.)

M4.5 NON-SERIAL INSTEAD OF SERIAL

If there is a serial bibliographic record (IBC or completed) already in the LC ILS database but it is determined that the resource should be cataloged as a non-serial in LC instead (based on the criteria in M4.3), colleagues with the necessary serial and non-serial expertises cooperate to get the resource processed for LC with the correct treatment.

Catalogers resolving such a situation take the actions instructed in ABA Serials Manual: Monograph vs. Serial Treatment Decisions (under “Publications rejected as serials”). Those steps include the following:

- Add “xlc” in 042 in any CONSER serial record in OCLC for the resource, indicating LC decided not to treat the resource as a serial.
- Annotate any existing non-serial LC ILS bibliographic record for an item in hand by adding 955 \$a “[code date] Rejected as serial.” (A brief explanation of the rejection may also be noted, if it seems helpful.)
- See that appropriate Purchase Order changes are made, as necessary.
- Cancel the serial bibliographic record in the LC ILS database (and in the CONSER database, if appropriate).

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M5. 1. GENERAL POLICY

Abbreviations used:

BR = bibliographic record

SAR = series authority record

The LC policy on series, implemented on June 1, 2006, is to analyze in full, classify separately, and not provide a controlled series access point. The pertinent LCRI and DCM Z1 (*Name and Series Authority Records*) have been updated to reflect this policy.

M5.1.1 *Series Authority Records*

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

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

M5.1.2 *New Cataloging*

M5.1.2.1 *BR is original LC cataloging*

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

M5.1.2.2 *BR is not original LC cataloging*

Accept the series fields as given.

M5.1.2.3 *File maintenance and other matters*

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

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

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M5. 2 MONOGRAPHS AND INTEGRATING RESOURCES

If the resource being cataloged is covered by a category in the exceptions identified in DCM M5.8, follow the instructions there. Otherwise, follow the instructions as given in the following table.

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

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Category	Series Fields	042	050
New LC copy cataloging (excluding origres records); 040 \$a is a single code other than a DLC code	Accept as given in record (correct any typos and add any missing data elements). If entire series statement is missing, add as 490 0#.	If a pcc adapt record, retain "pcc" code; otherwise, give "lccopycat" code. In either case, add in repeated \$a if another code present (e.g. "ukblsr").	Assign "classified separately" number. If other library gave a "collected set" call number (series number at end of \$b), retain but change to 050 14.

M5.3 SERIALS

If the resource being cataloged is covered by a category in the exceptions identified in M5.8, follow the instructions there. Otherwise, follow the instructions as given in the following table.

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

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

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

M5.5 CHANGE IN HEADINGS FOR PERSONS OR BODIES

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

M5.6 JACKPHY RECORDS

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

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

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

(1) Original cataloging: full; core; MLC

490 0# roman
880 0# nonroman

(2) Copy cataloging

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

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

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

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

M5.7 SERIES AND LC AND OTHER LIBRARIES

LC catalogers serving as NACO liaisons, the Cooperative Programs Section, and ABA Policy and Standards Division will answer questions from PCC participants about creating and updating series authority records. The PCC participants, rather than LC staff, should create and update the authority records.

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

M5.8 EXCEPTIONS TO THE GENERAL LC SERIES POLICY

M5.8.1 Not Analyzed/Classified As A Collection

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

M5.8.1.1

Numbered multipart monographs with all parts lacking analyzable

titles

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

M5.8.1.2

2A cataloging

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

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

M5.8.1.3

Auction and sales catalogs

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

M5.8.1.4

Legal multipart monographs identified by LC’s Law Library

- 1) create and update collected set record for the multipart monograph as a whole;
- 2) give author-title added entries;
- 3) classify together.

M5.8.2

Not Analyzed/Not Classified

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

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

M5.8.3

Analyzed In Full/Classified As A Collection

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

M5.8.3.1

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

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

M5.8.3.2

“Web access to monographic series” project for social sciences resources

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

M5.8.3.3

Microform sets

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

M5.8.3.4

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

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

M5.8.3.5

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

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

M5.8.4

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

Complete editions of collected works of individual composers (classified as M3) will be analyzed in full: applies to analyzable parts and will be classified as a collection;

series authority records will not be consulted, created, or updated.

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

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

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

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

M5.8.6 BRs Not Yet In LCDB

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

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M7.1 SUMMARY

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

DCM M7 supersedes former Bibliographic Workflow Training Document #33.

M7.2 CONCISE VALIDATOR INSTRUCTIONS

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

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

M7.3 APPENDIX 1: BACKGROUND AND SCOPE

M7.3.1 Background

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

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

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

Validator checks:

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

History: Gary Strawn at Northwestern University originally developed the Validator program. David Williamson adapted it for the LC ILS environment.

ABA/POLICY coordinates the addition of new checks to be incorporated into Validator.

Information here is current for Validator version 2.5.0 (April 2008).

M7.3.2 How Validator Operates

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

Before Validator:

Bib [record no.]: *245 data*

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

Auth [record no.]: *IXX heading*

After Validator:

VALID.BIB: *245 data*

VALID.HLD: *852 location & call no.*

VALID.AUT: *IXX heading*

M7.3.3 Scope: Types Of Record

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

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

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

M7.3.4 Scope: Status Of Record Input/Update

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

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

M7.3.5 Levels Of Validation

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

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

M7.4 APPENDIX 2: POLICY FOR VALIDATOR USE

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

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

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

M7.5 APPENDIX 3: DETAILED INFORMATION ON USING VALIDATOR

M7.5.1 Starting Validator

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

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

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

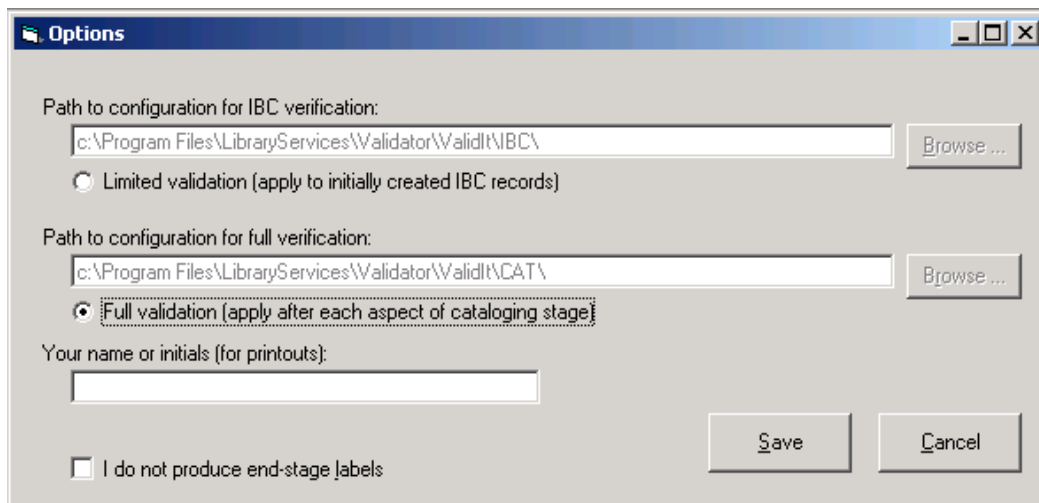
Shortcut: (a) Find the Validator icon by either of the above methods. (b) Using instructions at <http://www.loc.gov/staff/idt/shortcuts/shortcut1.html>, create a shortcut for your desktop. (c) Double click the shortcut on your desktop to start Validator.

Starting Validator opens the Record Validator window.



M7.5.2 Setting Validator Options

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



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

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

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

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

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

M7.5.3

Applying Validator

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

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

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

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

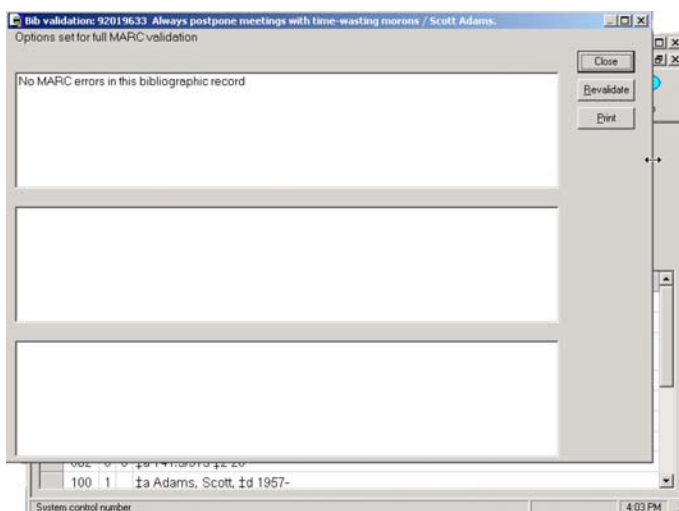
Macro: Input “Ctrl + Left arrow” to activate a macro that starts and applies Validator. *Note:* This does not require starting Validator first in a separate step, but also works if Validator is already open.

M7.5.4 Interpreting And Acting On Validator Results

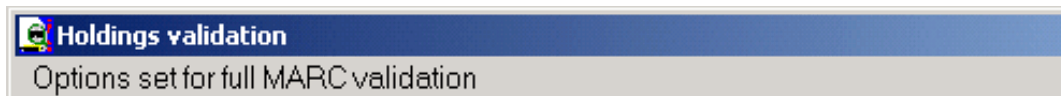
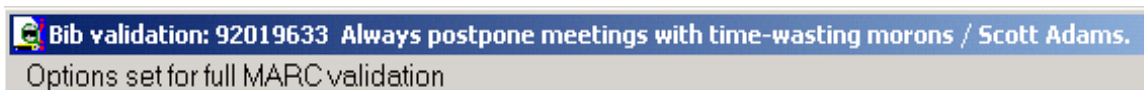
Validator displays a response whether applying it discovers errors or not, either in a “validation results” window (see M7.5.4.1) or in a box with a system error message (see M7.5.4.2).

M7.5.4.1 “Validation results” window

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



The title bar reflects what kind of record was validated.



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

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

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

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

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

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

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

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

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

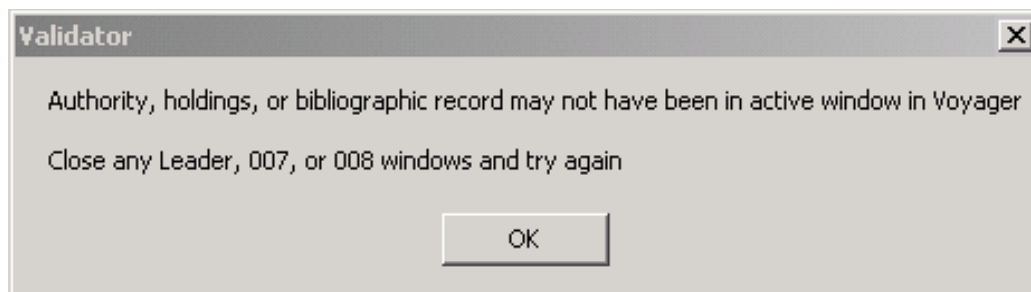
- 5) When you have resolved all messages as necessary, close the results window and continue working.

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

M7.5.4.2

Validation system error message box

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



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

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

M7.6

APPENDIX 4: TROUBLESHOOTING SPECIFIC PROBLEMS

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

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

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

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

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

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

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

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

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

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

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

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

6) *Very slow Validator operation*

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

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

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

APPENDIX 1: HEADINGS FOR AMBIGUOUS ENTITIES

Headings for Ambiguous Entities

1 INTRODUCTION

1.1 Background

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

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

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

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

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

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

1.2. General guidelines

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

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

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

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

e) *LC Catalogers*: If a Group 2—Subject Authority Group heading is being used as a main or added entry, create a name authority record according to subject cataloging rules. Add a 667 note to the NAR with the statement “Subj. Cat. Manual/AACR2” If a Group 2 Heading for the same entity exists in the LCSH Authority File create an NAR (cf. DCM Z1 Appendix 1: Ambiguous Entities, Section, 3.1) and send a notification to SHED to delete the subject authority record, per SCM H193.

PCC Catalogers: If a Group 2—Subject Authority Group heading is being used as a main or added entry, create a name authority record according to subject cataloging rules. Add a 667 note to the NAR with the statement “Subj. Cat. Manual/AACR2” If a Group 2 Heading for the same entity exists in the LCSH Authority File create an NAR (cf. DCM Z1 Appendix 1: Ambiguous Entities, Section, 3.1) and send a notification to your PCC liaison to delete the existing subject authority record.

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

1.3 Specific procedures

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

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

2.1 Implementation

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

2.2 *Airports*

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

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

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

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

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

2.4 *Cemeteries, concentration camps, country clubs*

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

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

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

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

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

2.5 *City sections*

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

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

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

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

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

2.7 *Events*

If a name is for an event that is formally convened, directed toward a common goal, capable of being reconvened, and has a formal name, location, date, and duration that can

be determined in advance of the date, establish the name according to the provisions of chapter 24, AACR2 (see LCRI 24.7 and 24.8).

- 111 2# \$a Rose Bowl (Football game)
- 111 2# \$a Tournament of Roses
- 111 2# \$a Miss America Pageant
- 111 2# \$a World Cup (Soccer)
- 111 2# \$a Tour de France (Race)
- 111 2# \$a International Henryk Wieniawski Violin Competition
- 111 2# \$a World Jamboree of Boy Scouts
- 111 2# \$a Athens Black-eyed Pea Jamboree
- 111 2# \$a National Folk Media Festival \$d (1988 : \$c Nairobi, Kenya)
- 111 2# \$a Fiesta San Antonio

2.8 *Forests, parks, preserves, etc.*

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

- 110 2# \$a Chugach National Forest (Agency: U.S.)
(*Needed as added entry—Group 1*)
- 151 ## \$a Chugach National Forest (Alaska)
(*No intellectual content responsibility—Group 2*)

2.9 *Named buildings/museums*

If a heading is needed for an entity in the category of a named building/museum, judge whether or not the entity is a museum or not. If it is a museum, treat it as a Group 1 heading and establish it accordingly; if not, treat it as a Group 2 heading and have it established as a subject authority record as directed in the guidelines for Group 2 headings in 3.1 below.

- 110 2# \$a Albrecht-Dürer Haus
(*museum—Group 1*)
- 110 2# \$a Simson African Hall (California Academy of Sciences)
(*building—Group 2*)

2.10 *Plans, programs, and projects*

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

2.11 *Railroads*

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

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

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

3.1 **Characteristics**

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

- a) The 4XX reference structure reflects subject cataloging practice. Linking references to old catalog headings are not used except for records residing in the name authority file and if supplied for subject

cataloging purposes at the time the heading is requested to be established for descriptive cataloging use. (At the point Group 2 headings go into the name authority file, they must also carry the descriptive cataloging reference structure.)

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

3.2 Use of these headings in descriptive cataloging

Note the following:

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

GROUP 1—NAME AUTHORITY GROUP HEADINGS

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

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

²See 2.2

³See 2.3

⁴See 2.4

⁵See 2.5

⁶See 2.6

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

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

⁸See 2.7

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Appendix 1: Headings for Ambiguous Entities

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

⁹See 2.9

¹⁰See 2.8

¹¹See 2.10

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

GROUP 2—SUBJECT AUTHORITY GROUP HEADINGS

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

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

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

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

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

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

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

008/06 Direct or indirect geographic subdivision

NACO:

Generally use code n. Certain corporate names (110), such as religions or religious orders, used as subject access points may be subdivided by place; such corporate names may use code i in byte 008/06. Consult the LC Subject Cataloging Manual instruction sheet H 475 for a list of these corporate bodies.

SACO:

Use i or blank as appropriate for "May Subd Geog" or "Not Subd Geog" respectively. If neither code is appropriate use the fill character.

Do not use codes:

d

LC:

NAMES/SERIES:

Generally use code n. Certain corporate names (110), such as religions or religious orders, used as subject access points may be subdivided by place; such corporate names may use code i in byte 008/06. Consult the LC Subject Cataloging Manual instruction sheet H 475 for a list of these corporate bodies.

Do not use codes:

d, fill character

SUBJECTS:

Do not use codes:

d