DESCRIPTIVE CATALOGING MANUAL

Z1: NAME AND SERIES AUTHORITY RECORDS

Prepared by the

Policy and Standards Division

Library of Congress

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INTRODUCTION

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

LC staff members and libraries participating in the Name Authority Cooperative (NACO) component of the Program for Cooperative Cataloging (PCC) contribute records to the authority file.

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

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

This Introduction section covers the following topics:

- Name authority records (NARs)
- Series authority records (SARs)
- Additions and changes to authority records
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- Should an SAR be made?
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Name authority records (NARs)

A name authority record has the following basic contents: 1) the authorized form of name

chosen for use in headings (1XX), 2) the sources for this form and for variant forms (670), and 3) the cross references leading to the heading from variant forms or from related headings (4XX/5XX). Additional information may be recorded in fixed fields (008) and in note areas of the authority record (667/675). Control data and content designation are also included for proper identification and manipulation of the data.

NARs are not made for personal names when the only clue to the person's identity is a nonalphabetic or nonnumeric device, or for entities that may be used only as subjects, e.g., topical subject headings, fictional characters, animals, geographic features.

Generally, make a name authority record for any personal or corporate (including geographic) name heading that may be used as an access point, whether it is actually first used as a primary or a secondary entry (including as a subject). Under certain LC workflow procedures, e.g., Minimal Level Cataloging, authority records may not be created for all access points assigned. NACO libraries are not obligated to contribute all authorities generated by their cataloging. However, any NAR contributed to the LC/NAF must have all necessary elements of the heading established in the following cases:

> All bodies that are part of an established hierarchy; e.g., when establishing a corporate entity that is entered subordinate to its parent body, the parent body must also be established. In other words, if an NAR for the parent body or an intervening subunit is not present in the LC/NAF, it must be established. This means that more than one NAR will be created for the LC/NAF and some headings may not be used in bibliographic records.

> All bodies referred through in cross references; e.g., if a heading is entered independently and a reference is given through a higher body or bodies, the higher body/bodies need to be represented in the authority file as well. Thus, catalogers may need to create other NARs in addition to the one needed for use in the catalog.

> All names and corporate bodies used in see also references (5XXs); e.g., when establishing a name for an author who uses a pseudonym, or a corporate heading representing an earlier and later change of name, the library will need to connect the headings by means of see-also references. In order to avoid blind references, the cataloger will need to make sure that the corresponding heading is established.

> Name headings used in some qualifiers, such as geographic names used in locations on conference headings, must also be established before they can be used. Specific guidance is provided within the LCRIs as required.

> Certain elements under which uniform titles are entered; e.g., when an NAR for the collective uniform title "Works" is created under an author who is not established in the LC/NAF, an NAR for the author must be contributed as well.

> Additional guidelines for the creation of uniform titles are listed below:

LC practice: For titles or name/titles, an authority record is required <u>only</u> when one or more of the conditions listed below applies. Apply these criteria to each element of the full heading (main title, language, part, etc.) and make a separate authority record for each element that meets the criteria. Note: Currently, authority records are <u>not</u> automatically created for each element of a uniform title heading (e.g., when creating a name/title NAR for Queneau, Raymond, 1903-1978. $t Fleurs bleues. $l English it is not necessary to create an NAR for: Queneau, Raymond, 1903-1978. $t Fleurs bleues)

 (1) a reference must be traced on **that** authority record; or,

 (2) special research done to establish that heading must be recorded (Note: In this context the LC manual Official Name Catalog is treated as a reference source; so searches in that catalog should be recorded in the authority record); or,

 (3) the heading is needed for a <u>related</u> work added entry or subject entry and the work is not represented by a bibliographic record in the LC database, or, for serials, by a CONSER record in OCLC or RLIN. See specific guidelines in LCRI 21.30G for a related work added entry; apply the same guidelines when a heading is needed for a subject entry; or,

 (4) special information needs to be recorded, e.g., citation title for a law.

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

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

<u>*Series authority records (SARs)*</u>

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

PCC series practice: Transcription of the series statement is mandatory if applicable. Searching for series authority records, tracing the series, and the creation and maintenance of series authority records are optional.

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

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

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

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

In August, 2008, the PCC Steering Committee approved a recommendation to allow the creation of post-cataloging series authority records. The intent is to allow libraries to do series authority control after cataloging without the piece in hand when authority control was not done at the time of cataloging. When a title is first cataloged, the series statement in the bibliographic record is formulated while examining the piece. Post-cataloging authority records are created based on that series statement by catalogers who are fully trained and authorized to contribute series authorities. The authority file must be consulted at that time to prevent conflicts, add qualifiers, etc. It is recognized that SARs created post-cataloging may lack some references, so they are to be coded as preliminary records. They must also have a nonpublic general note indicating their origins. The authorized form is then added as a series tracing to the bibliographic record.

Additions and changes to authority records

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

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

In order to minimize the impact of database maintenance with associated bibliographic records and/or name/title authority records, catalogers are urged to refrain from making unnecessary changes to 1XXs. Although there are guidelines in the rules and/or LCRIs that indicate when changes are or are not necessary, the necessity for other changes may be evident only to the agency making the change (for example, to break a conflict when the searching universe for the changing agency and the agency observing the change are different); assume that such changes are valid.

Change an authority record when errors in headings or cross references are discovered. When the published work for an item cataloged through the CIP program shows a change in the form of name of a person, corporate body, uniform title, or series, change the authority record; add the published source after the CIP source in the 670 field to document the change. Changes in the imprint date, choice of main entry, and changes in title proper do not require changes to authority records created for CIP items.

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

NACO normalization

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

http://www.loc.gov/catdir/pcc/naco/normrule-2.html

The process of normalization removes all combining diacritics and most punctuation, and converts all letters to uppercase and all modified letters to their unmodified equivalents. Subfield delimiters and subfield codes are retained in the normalized form. The normalized form of heading differs from the authorized catalog form of the heading. For example:

Catalog form: Île-de-Montréal (Québec)

Normalized form: ILE DE MONTREAL QUEBEC

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

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

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

Catalog form:	Chung-hui
Normalized form:	CHUNG HUI

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

Headings. If headings do not differ after character normalization rules have been applied, they are considered to conflict and must be further distinguished. If personal names cannot be distinguished, create an undifferentiated personal name authority record. The heading can represent only one form of the name (it does not matter which), but the 670 fields for each person should make it clear what the catalog entry form should be, and that form, not necessarily the form in the 100 field, should be used in the entry on the bibliographic records. For example:

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

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

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

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

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


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


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

(This linking reference is permitted because the comma in the $a subfield makes the heading unique.)

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

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

4XX references are allowed to conflict across records, but a 4XX reference should not conflict with another 4XX on the same record.

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

Should an SAR be made?

Series authority records should <u>not</u> be made for the following categories:

(1)   a republication that does not include the original series statement (see "Republications" section in 64X yellow pages);

(2)   generally, a periodical (includes several separate articles by several contributors, frequency of publication more often than annual, and usually has both numeric and chronological designations) even if the issue in hand consists of a single contribution (e.g., a festschrift, proceedings of a conference) or may have a special title giving the overall theme of the issue;

(3)   a hardcover (sometimes even softcover) edition of a selected issue of a periodical.

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

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

It is not always clear, especially at CIP galley stage, whether the item in hand is an integral part of the periodical or a separate edition. Some publishers make clear statements, e.g., saying the title "has also been published as [title of journal], v. _____, no. ____." Others make ambiguous or misleading statements, e.g., saying that the edition is "Published as a special issue of the journal _____, v. _____, no. _____ and

supplied to subscribers as part of their normal subscription." The latter statement seems to indicate that the volume in hand is the only one issued and constitutes an integral part of the periodical. If the information given in the item is ambiguous, check the issue of the periodical or contact the publisher.

How many SARs should be made?

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

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

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

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

(2)   How many authority records are made if the volumes of a monographic series are in different languages? Consult LCRI 1.6, 21.14, and 25.5C.

(3)   How many authority records are made if the same volumes in a series are published separately by publishers in the same language in the United States and in another country (e.g., England)? A separate SAR is made for the series from each publisher; if the titles of the series are the same, add a LCRI 25.5B qualifier to the SAR made later.

(4)   How many authority records are made if the volumes of a monographic series switch from having numbers to lacking numbers and vice versa? Consult LCRI 25.5B.

(5)   How many authority records are made for main series and subseries?
        Consult LCRI 1.6H and LCRI 1.6.

(6)   Has there been a change in responsibility (i.e., different person/body,
        body's name changes, uniform title changes)? Consult 21.3B.

(7)   When reestablishing a series, is the apparent difference between the
        "earlier" form of title and the current title due to different transcription
        practices? If so, make only one SAR. *Optionally*, give the "earlier" form
        as a 4XX/667 old catalog heading (see 4XX yellow pages).

        Possibilities include the following:

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


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


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


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


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


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

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

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

     (pre-AACR2 form of heading:  Centre de
     recherches d'histoire ancienne.
     [Publication])
```

(e)   Evidence indicates that a word such as Bibliotheca, Collection, Edice was always present as the first word of the title but was not considered to constitute a part of the title proper.

(8)   How many series-like phrase heading SARs are made for the same phrase used by different bodies?

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

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

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

Include two 667 fields. The first should be either "Give phrase as a quoted note" or "Do not give phrase as quoted note." The second 667 should be the following: "Undifferentiated phrase record: Covers all instances when this character string used by any publisher is considered to

be a series-like phrase; if character string is considered to be a series, separate SAR has been made."

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

(1) Series is new to the Library.

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

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

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

(2) Series is already represented by an SAR.

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

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

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

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

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

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

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

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

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

Searching series

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

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

Choice of entry:
AACR 1 had a special rule for serials. Generic titles were entered under body. Titles containing name or initialism of body were entered under body.
AACR 2 has no special rule for serials. Most are entered under title per 21.1C1.

Title truncated:

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

Space-hyphen-space:

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

Subseries:

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

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

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

MARC 21 Fields Used in Serial Records

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

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

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

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

Fields which may affect series heading or treatment

010 field (LC control number)

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

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

ce prefix =   Canadian bilingual publication, English language cataloging.

cn prefix =   Unilingual Canadian publication, English language cataloging (also used for unilingual French language cataloging, but records not in the LC Database).

sf prefix =   Records authenticated by LC for titles held by LC given less than full cataloging: form card cataloging, minimal level cataloging, and other forms of cataloging for which no serial printed card existed (e.g., monographic series classified separately).

sn prefix =   Records authenticated by CONSER participants, National Serials Data Program (NSDP), United States Newspaper Program (USNP), and the former New Serial Titles Section (NST). (Prior to 1984, "sn" control

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

042 field (Authentication agency code)

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

lc descriptive and subject elements verified by LC; all name and series headings are represented by name/series authority records in the national authority file; not used after April 30, 2009

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

lcd descriptive elements verified by LC or a CONSER participant; all name and series headings are represented by name/series authority records in the national authority file or there are no headings appropriate to the record; not used after April 30, 2009

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

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

isds/c ISSN elements verified by ISSN Canada

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

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

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pcc   descriptive elements verified by LC or a CONSER participant; all name and |
        series headings are represented by name/series authority records in the national |
        authority file or there are no headings appropriate to the record; used as of May 1, |
        2009 |

premarc   code used for records converted to machine-readable form as part of LC
            retrospective conversion (source records used are printed catalog cards
            taken from the LC general shelflist and other manual LC files, or OCLC
            records that have been amalgamated with data from LC manual files);
            descriptive elements have not necessarily been verified or reverified by
            LC but the authoritativeness of the headings is indicated by the additional
            presence of code "lcd," "pcc," or "msc" |

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

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

<u>050 field (Library of Congress Class/Call Number)</u>

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

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

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

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

        UNCLASSIFIED   Same as "UNCLASSED"

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

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

        MICROFILM [no.]   Microfilm shelf number

MICROFICHE [no.] Microfiche shelf number

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

DISCARD   Retention decision

CURRENT ISSUES ONLY Retention decision

Fields showing variant and changed titles

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

246 field (Varying form of title)

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

247 field (Former title or title variations)

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

580 field (Linking entry complexity note)

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

780 field (Preceding entry)

The second indicator in this field gives the exact relationship:

> 0 =   Continues
> 1 =   Continues in part
> 2 =   Supersedes   (not used for AACR 2)
> 3 =   Supersedes in part   (not used for AACR 2)

4 =   Formed by the union of _____ and _____
5 =   Absorbed
6 =   Absorbed in part
7 =   Separated from

785 field (Succeeding entry)

The second indicator in this field gives the exact relationship:

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

Other fields of interest

310 field (Current frequency)

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

321 field (Former frequency)

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

362 field (Dates of publication and volume designation)

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

515 field (Numbering peculiarities note)

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

550 field (Issuing body note)

This field shows variations in the issuing body.

OCLC Leader/Fixed Field Conversion Table

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

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MARC 21 Fields Used in Serial Records

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

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

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

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

Fields which may affect series heading or treatment

010 field (LC control number)

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

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

        ce prefix =   Canadian bilingual publication, English language cataloging.

        cn prefix =   Unilingual Canadian publication, English language cataloging (also used for unilingual French language cataloging, but records not in the LC Database).

        sf prefix =   Records authenticated by LC for titles held by LC given less than full cataloging: form card cataloging, minimal level cataloging, and other forms of cataloging for which no serial printed card existed (e.g., monographic series classified separately).

        sn prefix =   Records authenticated by CONSER participants, National Serials Data Program (NSDP), United States Newspaper Program (USNP), and the former New Serial Titles Section (NST). (Prior to 1984, "sn" control

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

042 field (Authentication agency code)

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

lc descriptive and subject elements verified by LC; all name and series headings are represented by name/series authority records in the national authority file; not |
used after April 30, 2009 |

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

lcd descriptive elements verified by LC or a CONSER participant; all name and series headings are represented by name/series authority records in the national authority file or there are no headings appropriate to the record; not used after |
April 30, 2009 |

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

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

isds/c ISSN elements verified by ISSN Canada

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

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

pcc   descriptive elements verified by LC or a CONSER participant; all name and |
        series headings are represented by name/series authority records in the national |
        authority file or there are no headings appropriate to the record; used as of May 1, |
        2009 |

premarc   code used for records converted to machine-readable form as part of LC
            retrospective conversion (source records used are printed catalog cards
            taken from the LC general shelflist and other manual LC files, or OCLC
            records that have been amalgamated with data from LC manual files);
            descriptive elements have not necessarily been verified or reverified by
            LC but the authoritativeness of the headings is indicated by the additional
            presence of code "lcd," "pcc," or "msc" |

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

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

<u>050 field (Library of Congress Class/Call Number)</u>

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

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

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

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

       UNCLASSIFIED   Same as "UNCLASSED"

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

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

       MICROFILM [no.]   Microfilm shelf number

MICROFICHE [no.]   Microfiche shelf number

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

DISCARD   Retention decision

CURRENT ISSUES ONLY   Retention decision

Fields showing variant and changed titles

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

246 field (Varying form of title)

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

247 field (Former title or title variations)

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

580 field (Linking entry complexity note)

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

780 field (Preceding entry)

The second indicator in this field gives the exact relationship:

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        4 =   Formed by the union of _____ and _____
        5 =   Absorbed
        6 =   Absorbed in part
        7 =   Separated from

785 field (Succeeding entry)

The second indicator in this field gives the exact relationship:

        0 =   Continued by
        1 =   Continued in part by
        2 =   Superseded by   (not used for AACR 2)
        3 =   Superseded in part by (not used for AACR 2)
        4 =   Absorbed by
        5 =   Absorbed in part by
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This field gives information about first and/or last issues.

515 field (Numbering peculiarities note)

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

550 field (Issuing body note)

This field shows variations in the issuing body.

008/10 Descriptive Cataloging Rules

General

      When using 008/10 codes "c" (AACR2) and "z" (Other), LC and NACO catalogers will adhere to the *PCC Post RDA Test Guidelines* at: http://www.loc.gov/catdir/pcc/PCC-Post-RDA-Test.html and the LCPSs available in the RDA Toolkit and Cataloger's Desktop.

      As of November 1, 2011, LC catalogers participating in LC's RDA activity will use code "z" in NARs and SARs.

      NACO institutions must notify LC's Cooperative Projects Section (naco@loc.gov) before beginning to use code "z" in NARs to be contributed to the LC/NAF.

      When older NARs using codes "a", "b" or "d" are being otherwise modified, upgrade them to comply with either AACR2 or RDA and change the 008/10 code accordingly.

008/11 Subject Heading System/Thesaurus

General

   When applying RDA Chapter 10 for family names assure that the NAR 008/11 is set to "n."

Corporate headings for high government and religious officials

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

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

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

   See also DCM Z1 008/15 and the DCM Z1 667 section "NARs and subject usage."

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

008/15   Heading use – Subject Added Entry

General

When applying RDA Chapter 10 for family names, assure the NAR 008/15 code is set to "b."

Corporate headings for high government and religious officials

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

> United States. President (1789-1979 : Washington)

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

> Washington, George, 1732-1799

would be used as a subject access point.

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

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

See also DCM Z1 008/11 and the DCM Z1 667 section "NARs and subject usage."

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

008/32 Undifferentiated Personal Name

General
>   When creating an NAR for a family name assign value "n" in 008/32. |

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

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

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

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

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

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

SARs

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

PCC series practice: Transcription of the series statement is mandatory if applicable. Searching for series authority records, tracing the series, and the creation and maintenance of series authority records are optional.

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

008/33   **Level of Establishment**

NARs

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

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

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

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

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

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

      BIBCO participants and **provisional** records:

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

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

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

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

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

SARs

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

PCC series practice: Transcription of the series statement is mandatory if applicable. Searching for series authority records, tracing the series, and the creation and maintenance of series authority records are optional.

Generally, series data elements should be viewed on the publication and series authority records should be coded "a" (full). In post-cataloging authority work it is permissible to create SARs without the piece in hand; these records are coded "d" (preliminary). When a publication in the series has been examined and the preliminary authority record reviewed and updated as necessary, upgrade the SAR to full level.

008/39   Cataloging Source

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

PCC series practice: Transcription of the series statement is mandatory if applicable. Searching |
for series authority records, tracing the series, and the creation and maintenance of series |
authority records are optional. |

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

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

010   Library of Congress Control Number

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

PCC series practice: Transcription of the series statement is mandatory if applicable. Searching |
for series authority records, tracing the series, and the creation and maintenance of series |
authority records are optional. |

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

Examples:
[blank space = system-supplied space for clarity in display; "#" = space input by cataloger]

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

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

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

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

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

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

010 Guidelines for Library of Congress Staff:

<u>Generation of Library of Congress Control Numbers (LCCNs) for name authority records</u>

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

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

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

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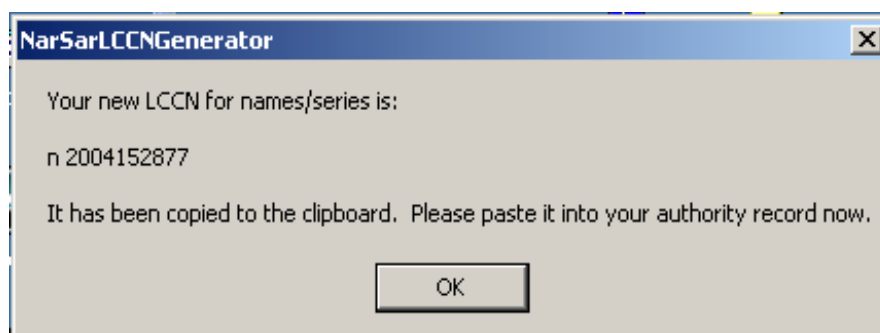
There is no need to write down the LCCN because it is automatically copied to the clipboard and is ready to paste into an authority record. Initiate creation of the authority record. However this is done, immediately paste the LCCN into field 010 to avoid accidentally erasing the LCCN from the clipboard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

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

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

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016   National Bibliographic Agency Control Number

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

PCC series practice: Transcription of the series statement is mandatory if applicable. Searching |
for series authority records, tracing the series, and the creation and maintenance of series |
authority records are optional. |

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

022   International Standard Serial Number

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

PCC series practice: Transcription of the series statement is mandatory if applicable. Searching |
for series authority records, tracing the series, and the creation and maintenance of series |
authority records are optional. |

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

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

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

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

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

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034   Coded Cartographic Mathematical Data

Recording coordinates for countries, states, counties

Coordinates for outside limits (bounding boxes or polygons) should generally be used with larger geographic entities such as countries, states, and counties to identify the coordinates of the entity. The coordinates may be recorded in either degrees/minutes/seconds, decimal degrees, decimal minutes, and/or decimal seconds. Styles should not be mixed in a single 034 field, but the field may be repeated to represent the different styles (see below for conversion utilities); the order of 034 fields when both styles are given does not matter.

Degrees/minutes/seconds : record in the form *hdddmmss* (hemisphere-degrees-minutes-seconds).

034 ##$d**W1800000**$eE1800000**$f**N0840000**$g**S0700000

Decimal degrees : record in the form hddd.dddddd (hemisphere-degrees.decimal degrees)

034 ##$d**E079.533265**$eE086.216635**$f**S012.583377**$g**S020.419532

Decimal degrees with plus and minus : record in the form +-ddd.dddddd (hemisphere[+/-]-degrees.decimal degrees) ("+" for N and E, "-" for S and W; the plus sign is optional)

034 ##$d**+079.533265**$e+086.216635**$f**-012.583377**$g**-020.419532
          (Example with +/-)
034 ##$d**079.533265**$e086.216635**$f**-012.583377**$g**-020.419532
          (Example without the optional plus sign)

Decimal minutes : record in the form hdddmm.mmmm (hemisphere-degrees-minutes.decimal minutes)
034 ##$d**E07932.5332**$eE08607.4478**$f**S01235.5421**$g**S02028.9704

Decimal seconds: record in the form hdddmmss.sss (hemisphere-degrees-minutes-seconds.decimal seconds)

034 ##$d**E0793235.575**$eE0860727.350**$f**S0123536.895**$g**S0202858.125

Recording coordinates for cities, towns, and townships

Coordinates for cities, towns, and townships should generally be recorded as center points rather than outside limits. For the 034 field, the longitude and latitude that form the central axis are recorded twice to define the center point (i.e., the contents of $d and $e are identical, the contents of $f and $g are identical).

034 ##$d**W0950500**$eW0950500**$f**N0303000**$g**N0303000
          (Example showing degrees/minutes/seconds)
034 ##$d**W119.697222**$eW119.697222**$f**N034.420833**$g**N034.420833
          (Example showing decimal degrees)
034 ##$d**-119.697222**$e-119.697222**$f**+034.420833**$g**+034.420833
          (Example showing decimal degrees with plus/minus)

Coordinate Conversion Tools

NACO institutions are encouraged to provide both degrees/minutes/seconds and decimal degrees when available. Numerous conversion tools are available on the Web to derive one from the other; here are two examples:

Degrees/minutes/seconds to Decimal degrees:
http://vancouver-webpages.com/META/DMS.html

Decimal degrees to Degrees/minutes/seconds:
http://vancouver-webpages.com/META/DD.html

Sources

Subfield $2 has been defined for recording the source of the coordinate information– codes for commonly used sources are available from: *Cartographic Data Source Codes.*

A 670 citation to the source would not be required if the only information from the source is recorded in field 034; a 670 citation should be made if necessary to record information beyond coordinates, such as variant names, hierarchy, time period of applicability, etc.

035   System Control Number

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

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

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

040 Cataloging Source

Subfield $b – Language of cataloging
> Add subfield $b eng when otherwise modifying NARs or SARs that do not contain this subfield.

Subfield $d – Modifying agency
> Add subfield $d [MARC 21 code] when modifying NARs or SARs unless your institution's is already the last MARC subfield $d in the 040 field.

Subfield $e – Description conventions
> Use subfield $e rda in NARs and SARs when fixed field 008/10 (Rules) is set to "z" (Other).

NACO institutions must notify LC's Cooperative Projects Section (naco@loc.gov) before beginning to use 008/10 "z" and 040 subfield $e rda.

042   Authentication Code

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

046 Special Coded Dates

General
        Best practice: When encoding date information, give the fullest information about the date that is readily available (the date in 046 may be more precise than a date used in the 100 subfield $d). When revising existing authority records, record dates in 046 even if the heading itself does not have dates in 100 subfield $d, when the information is readily available.

        When supplying dates in field 046, use ISO 8601 and supply dates using the pattern yyyy, yyyy-mm, or yyyymmdd. For probable, uncertain, and approximated dates use the Extended Date Time Format (EDTF) schema, specifying that source in subfield $2
(edtf). See date table in LCPS 9.3.1.3.

                Examples:

```
046 ## $f 18900101 $g 19850308
100 1# $a Ramdohr, Paul,$d 1890-1985
670 ## $a Wichtige neue Beobachtungen an Magnetit, Hämatit,
        Ilmennit und Rutil, 1939: $b t.p. (Paul Ramdohr)
        preface (b. Jan. 1, 1890; d. Mar. 8, 1985)

046 ## $s -0199~ $2edtf
100 0# $a Hellanicus $c (Grammarian),$d active
        approximately 200 B.C.
670 ## $a Brill's new Pauly online, Aug. 2, 2011 $b
        (Hellanicus; Alexandrian grammarian; ca. 200 BC)

046 ## $f 1946-06
100 0# $a Vickers, Roy Henry, $d 1946-
670 ## $a Solstice, c1988: ‡b t.p. (Roy Henry Vickers) jkt.
        (native Indian artist; b. June, 1946, Greenville,
        British Columbia)
```

Subfield $2 - Source of date scheme
        When using the EDTF schema, add subfield $2 edtf

        Note that the 046 field must be repeated when subfield $2 does not apply to all dates.

Subfield $u - Uniform Resource Identifier and Subfield $v - Source of the Information
        The following represents PCC practice on recording sources of information in $u and $v in fields where they are defined, and/or in field 670:

        1. 670s must be used to support information used as part of a heading in 1XX and 4XX.

        2. For 046, 37X, 381:

                a. use of $v is optional if the same information/source is already cited in the 670

b. use $v if the information/source is not cited in a 670

c. use of $u is optional, and should always be preceded by $v.

Subfield $v – Source of the Information

Follow the same basic citation principles when recording data in subfield $v (Source of information) of fields 046, 37X and 381 that currently apply to field 670 subfield $a (Source citation).

Supply specific citation information (page number, sub-page of website) in subfield $v if, in the cataloger's judgment, this greater specificity is needed to find the information within the source cited.

If the information in 046, 37X, 381 is in the same form as found in the source, there is no need to cite usage information. If the information recorded in 046, 37X, 381 is in a different form from that in the source, use 670 $b (Information found).

For tangible sources:

If the information was derived from a tangible source (e.g., a print book, removable digital media) subfield $v should contain sufficient information for a cataloger to find the item cited in a catalog or bibliographic database. This can usually be limited to title proper and imprint or date. If that combination is not unique, the title citation may be preceded by the preferred access point form of the creator's name.

For online resources:

Provide information sufficient to find the resource via a search engine. Include either title and publication date (if it is a formally-published resource, such as an e-book) or a suitable description of the document and date accessed (for a less formal resource). Optionally include subfield $u.

For example:

```
100 1# $a Lazzarini, Sérgio G.
372 ## $a Industrial relations $2 lcsh $v Lazzarini, Sergio G.
CV-English, viewed Feb. 22, 2012 $u
http://www.sergiolazzarini.insper.edu.br/indexelazza.html
670 ## $a Capitalismo de laçeos, 2011: $b t.p. (Sergio G.
Lazzarini)
```

050   Library of Congress Call Number

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

PCC series practice: Transcription of the series statement is mandatory if applicable. Searching |
for series authority records, tracing the series, and the creation and maintenance of series |
authority records are optional. |

Punctuation

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

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

Use of "subser."

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

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

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

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

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

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

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

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

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

Numbered multipart items classified with main or another series

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

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

item in hand: "vypusk 5" of the multipart item constitutes "tom 17" of the main series

data base: pre-AACR 2 analytic record for "vypusk 1" of the multipart item shows that it constitutes "tom 6" of the main series and "t. 6" has been added as an integral part of the call number of the analytic record

add in 050:   t. 6, etc.

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

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

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

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

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

        multipart collected set record:

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

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

Unnumbered multipart item classified with main or another series

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

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

<pre>
main/other series SAR: 050 $a Q11 $b .K84 $5 ___
                              646    $a c $5 ___

unnumbered multipart item SAR: 050 $a Q11 $b .K84 $5 ___
                                646   $a m $5 ___

multipart analytic record: 050 $a Q11 $b .K84 no. 47
                              4XX $a [main/other series title] ; $v
                                     no. 47
                              4XX $a [multipart item title]
</pre>

Exceptions to use of call number

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

<pre>
main series SAR:
     050 $a ___ $b ___ $d all vols. except [title of subseries]
          $5 ___
     646 $a c $d all vols. except [title of subseries] $5___
     646 $a s $d [title of subseries] $5 ___

subseries SAR:
     646 $a s $5 ___

series SAR:
     050 $a ___ $b ___ $d [title of serial] $5 ___
     646 $a s $d all vols. except [title of serial] $5 ___
     646 $a c $d [title of serial] $5___
</pre>

053   LC Classification Number

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

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

<u>Verification of LC classification numbers for literary authors</u>

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

<u>Use and order of 053 fields</u>

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

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

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

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

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

X00   Personal Names – First Indicator Value for Surnames

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

PCC series practice: Transcription of the series statement is mandatory if applicable. Searching |
for series authority records, tracing the series, and the creation and maintenance of series |
authority records are optional. |

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

LC practice for bibliographic records:

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

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

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

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

1XX   Headings

General

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

NARs

Canadian Headings

Through a cooperative agreement between the Library of Congress (LC) and Library and Archives Canada (LAC), efforts will be made to keep the LAC and LC/NACO Authority File in synch as much as possible. When creating an authority record for the LC/NAF for a name found on Canadian imprints, both personal and corporate names may be accepted from information found in Canadian CIP data or access points on current LAC bibliographic records without further searching. LC and LAC strive to harmonize usage of personal name headings, but all headings for Canadian corporate bodies used in current cataloging must be in the LAC authorized form except in the cases noted below. Uniform titles and series are not covered by the agreement. LCRI 23.2 contains more information for formulating Canadian geographic names.

When the LAC heading is found in Canadian CIP data or access points on current LAC bibliographic records, use the LAC heading to create an NAR unless modifications are called for by NACO procedures as stated below. Add/keep all references found in the LAC authority record even if the LAC 670 does not provide any justification. When the name to be established is not found in these sources, search the LAC name authority file in the VIAF http://viaf.org and proceed according to the guidelines below. Note that catalogers may choose to continue to search via AMICUS or by using the Canadiana database at:
http://collectionscanada.gc.ca/canadiana-authorities/index/index?lang=eng

Personal Names:

Search the LAC name authority file in VIAF to find the LAC authorized form. When an authorized LAC heading is found, use the LAC form to create an NAR unless modifications are called for by NACO procedures as stated below. Add a 670 citation "LAC in VIAF" with the usual conventions for 670 citations of source information found in databases.

LC catalogers will create an LAC authority record based on the resource being cataloged and verify the name in VIAF, according to the guidelines in the DCM Z1 *Appendix for LC Staff*.

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

In the event that a Canadian personal name conflicts with an established name in the LC/NAF make the appropriate modifications to assure uniqueness and record the LAC form in a 670 citation.

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

Corporate Names:

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

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

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

Note:

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

- As of May 2011 LAC will apply LCRI 24.1. *Forests, Parks, Preserves, etc.* to Canadian parks and forests when LC/PCC catalogers need these as descriptive access points. Continue to search for the LAC authorized form. If a heading is found adjust the heading to comply with LCRI 24.1. Notify LAC that the heading has been adjusted in the same manner as notifying LAC when a new heading is created by using the form at:

  http://www.loc.gov/catdir/pcc/naco/LAC-nacohdgform.html

● Canadian First Nation names are considered corporate names (110); accept the LAC coding and do not establish as jurisdictions (151s).

When an authorized form for a Canadian corporate heading is not found in VIAF, both LC and PCC catalogers should create and contribute an NAR based on the information found in the resource being cataloged and then contact LAC for verification of the Canadian corporate name by using the Web form found at: http://www.loc.gov/catdir/pcc/naco/LAC-nacohdgform.html

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

SARs

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

PCC series practice: Transcription of the series statement is mandatory if applicable. Searching for series authority records, tracing the series, and the creation and maintenance of series authority records are optional.

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

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

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

Choosing a monographic series title proper:

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

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

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

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

Establishing an SAR heading:

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

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

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

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

(4)   If you found a CONSER record,

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

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

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

100 Heading - Personal Name

Family names

When following RDA Chapter 10, LC/NACO catalogers will use first indicator 3 when creating NARs and SARs for family names. 008/11 should be set to value "n" and 008/15 should be set to "b".

Per LCPS 10.0, when creating family names add a 667 noting subject usage:

```
667##$a SUBJECT USAGE: This heading is not valid for use as a
                       subject; use a family name heading from
                       LCSH.
```

Subfield $g – Miscellaneous Information

When giving the name of the prominent member of the family in subfield $g, give the form for the person as found in the NAR for the person. Do not include any internal subfield coding in subfield $g.

NACO institutions must notify LC's Cooperative Projects Section (naco@loc.gov) before beginning to use first indicator 3.

Fictitious and non-human entities

When applying LCPS 9.0 for fictitious entities and non-human entities assure that 008/11 is set to value "n" and that 008/15 is set to value "b". Add a 667 noting subject usage:

```
667##$a SUBJECT USAGE: This heading is not valid for use as a
                       subject; use a fictitious character heading
                       from LCSH.
```

SARs

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

336 Content Type

General

      Do not supply. Pending outcome of report/recommendations from the PCC Access Point for Expressions Task Group.

368 Other Corporate Body Attributes

General

      Prefer controlled vocabulary for terms, recording the source in subfield $2. For consistency, capitalize the first term in each subfield $a, $b and $c.

370 Associated Place

General

　　　Use the established form of the geographic place name as found in the LC/NAF, with the same adjustments as when using the place name as a parenthetical qualifier to names:

　　a)　Omit the type of jurisdiction (see LCPS 11.3.1.30).
　　b)　Do not enclose a larger jurisdiction in parentheses; but instead separate it from the place name by comma-space.

　　　　　Example:
```
                Geographic name in LC/NAF:
                        151 ## $a Shiner (Tex.)
                Form of name in 370:
                        370 ## $a Shiner, Tex.
```

　　　If the place name is not found in the LC/NAF, formulate it according to the current cataloging guidelines being used. It is not necessary to create a NAR for the name used in the 370.

Subfield $2 – Source of term
　　　If the place is not a jurisdiction, indicate the source of the place name in subfield $2.

　　　When using subfield $2, repeat the 370 if subfield $2 does not apply to all place names.

Subfield $u - Uniform Resource Identifier and Subfield $v - Source of the Information
　　　Follow the LC/PCC practice for subfield $u and subfield $v provided in the 046 field.

SARs

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

371 Address

General

Best practice:
- Supply based on cataloger's judgment, if the information is readily available and not already being recorded in field 370 subfield $e (Place of residence/headquarters).
- In cases where subfield $a is not recorded, include at a minimum subfield $m (Electronic mail address) or subfield $b (City).
- Do not record physical addresses for living people.
- Catalogers are not required to maintain address information when updating a record that contains an address.

    Repeatability: In choosing between repeating a field vs. repeating a subfield: If the only addition to an existing field is an additional term from the same vocabulary, repeat the affected subfield. If the vocabulary source differs, or if another associated element differs (such as a range of dates), repeat the field. Overall best practice: repeat the field when needed for clarity.

Subfield $u - Uniform Resource Identifier and Subfield $v - Source of the Information
        Follow the LC/PCC practice for subfield $u and subfield $v provided in the 046 field.

372 Field of Activity

General

   When recording a term indicating the field, prefer controlled vocabulary, such as LCSH or MeSH, recording the source in subfield $2. For consistency, capitalize the first term in each subfield $a.

Repeatability:
    In choosing between repeating a field vs. repeating a subfield: If the only addition to an existing field is an additional term from the same vocabulary, repeat the affected subfield. If the vocabulary source differs, or if another associated element differs (such as a range of dates), repeat the field. Overall best practice: repeat the field when needed for clarity.

```
        Example: 372 ## $a Poetry $a Education

        Occupation used in 374: 374##$a Poet $a Educator
```

Subfield $u - Uniform Resource Identifier and Subfield $v - Source of the Information
   Follow the LC/PCC practice for subfield $u and subfield $v provided in the 046 field.

373 Associated Group

General

      For personal names, prefer a controlled vocabulary, such as the LC/NACO Authority File. For corporate/conference names, follow the instructions in RDA 11.5.

      Repeatability
      In choosing between repeating a field vs. repeating a subfield: If the only addition to an existing field is an additional term from the same vocabulary, repeat the affected subfield. If the vocabulary source differs, or if another associated element differs (such as a range of dates), repeat the field. Overall best practice: repeat the field when needed for clarity.

Subfield $u - Uniform Resource Identifier and Subfield $v - Source of the Information
      Follow the LC/PCC practice for subfield $u and subfield $v provided in the 046 field.

374 Occupation

General

Prefer controlled vocabulary, such as LCSH or MeSH, recording the source in subfield $2. For consistency, capitalize the first term in each subfield $a. When terms do not come from a controlled vocabulary, use a singular form.

Repeatability
In choosing between repeating a field vs. repeating a subfield: If the only addition to an existing field is an additional term from the same vocabulary, repeat the affected subfield. If the vocabulary source differs, or if another associated element differs (such as a range of dates), repeat the field. Overall best practice: repeat the field when needed for clarity.

Subfield $u - Uniform Resource Identifier and Subfield $v - Source of the Information
Follow the LC/PCC practice for subfield $u and subfield $v provided in the 046 field.

375 Gender

General

Prefer use of RDA gender terms over the ISO 5218 codes.

Repeatability:
In choosing between repeating a field vs. repeating a subfield: If the only addition to an existing field is an additional term from the same vocabulary, repeat the affected subfield. If the vocabulary source differs, or if another associated element differs (such as a range of dates), repeat the field. Overall best practice: repeat the field when needed for clarity.

376 Family Information

General

      Family names cannot be contributed to the LC/NAF using AACR2 (008/10 set to "c"); therefore, field 376 may only be used with NARs coded for RDA (008/10 set to "z" and 040 contains subfield $e rda).

Subfield $b – Name of Prominent Member
      When giving the name of the prominent member of the family in 376 subfield $b, give the form for the person as found in subfield $g of the 100 field of the NAR for the family. Do not include any internal subfield coding in subfield $b.

Subfield $u - Uniform Resource Identifier and Subfield $v - Source of the Information
      Follow the LC/PCC practice for subfield $u and subfield $v provided in the 046 field.

377 Associated Language

General

   Prefer language codes over language terms, using codes from the MARC Code List for Languages available at: http://www.loc.gov/marc/languages/langhome.html as the source for language codes. Use subfield $l (Language term) only to provide information not available in the MARC Code List for Languages. Encode multiple languages for a person or corporate body only if more than one language is used for publication, communication, etc.

Subfield $2 – Source of the code
   Subfield $2 is not required when the *MARC Code List for Languages* is used as the language source code (second indicator value "#"). NACO institutions may supply an additional 377 field from another language code list by using second indicator value "7," with subfield $2 containing a code for a language source list taken from the list of MARC-registered language lists in *Language code and term source codes*: http://www.loc.gov/standards/sourcelist/language.html

   For example:
```
377 ## $a myn
377 #7 $a acr $2 iso639-3
```
(ISO 639-3 code for Achi (acr); assigned a collective code (myn) for Mayan languages in the MARC Code List for Languages)

378 Fuller Form of Personal Name

General

   Best practice: Encode the fuller form of name in the 378 field when this information is readily available, even if the same information is already present in the 100 field.

Subfield $u - Uniform Resource Identifier and Subfield $v - Source of the Information
   Follow the LC/PCC practice for subfield $u and subfield $v provided in the 046 field.

380 Form of Work

General

      Prefer controlled vocabulary, such as LCSH, LCGFT, or MeSH. For consistency, capitalize the first term in subfield $a. When terms do not come from a controlled vocabulary, use a singular form.

381 Other Distinguishing Characteristics of Work or Expression

Subfield $u - Uniform Resource Identifier and Subfield $v - Source of the Information
        Follow the LC/PCC practice for subfield $u and subfield $v provided in the 046 field.

382 Medium of Performance

General

Best practice: Formulate according to RDA. If a required term is not listed in RDA, use a term from a controlled vocabulary, such as LCSH.

383 Numeric Designation of Musical Work

General

Best practice: Encode when available. Create separate 383 fields for different numbering schemes associated with a single work.

384 Key

General

      Best practice: Encode when available for works. In case of doubt, do not encode. Do not encode for expressions.

383 Numeric Designation of Musical Work

General

       NACO institutions must notify LC's Cooperative Projects Section (naco@loc.gov) before beginning to add field 383 in NARs and SARs, and follow the guidelines in the document: _MARC 21 encoding to accommodate new RDA elements 046 and 3XX in NARs and SARs_ at: http://www.loc.gov/aba/pcc/rda/PCC%20RDA%20guidelines/RDA%20in%20NARs-SARs_PCC.pdf

384 Key

<u>*General*</u>

      NACO institutions must notify LC's Cooperative Projects Section (naco@loc.gov) before beginning to add field 384 in NARs and SARs, and follow the guidelines in the document: *MARC 21 encoding to accommodate new RDA elements 046 and 3XX in NARs and SARs* at: http://www.loc.gov/aba/pcc/rda/PCC%20RDA%20guidelines/RDA%20in%20NARs-SARs_PCC.pdf

Tracings and References − General Information − 4XX Fields

<u>General</u>

Do not use subfield $i and subfield $w code "r" in 4XX fields.

When otherwise modifying NARs or SARs that contain obsolete codes such as subfield $w position zero (0) code "d," LC/NACO catalogers should upgrade the NAR to either AACR2 or RDA as appropriate.

4XX   See From Tracings

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

PCC series practice: Transcription of the series statement is mandatory if applicable. Searching for series authority records, tracing the series, and the creation and maintenance of series authority records are optional.

General

NARs: Consult AACR2 Chapters 22-26 and its rule interpretations for guidelines on which 4XX references to make. Consult RDA chapters 9-16 for guidelines for possible variants for persons, families, and corporate bodies.

SARs: Consult LCRI 26.5A or LCPS 6.27.4 for guidelines on making 4XX references.

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

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

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

Best practice guidelines for RDA:
- Record variants found in the manifestation being cataloged:
  - o   Use cataloger's judgment;
  - o   No limitation on the number or form of references
- Establish additional headings needed to support elements used in 4XX references (e.g. parent body associated with subordinate body being established)
- Trace a former heading as a cross-reference in all cases, unless the former heading was egregiously incorrect
- Use the established form of components in 4XX references, except for non-Latin script references
- If a form found on the manifestation being cataloged includes a variant form of a component of a 4XX reference, that form may be used in its entirety as an additional 4XX reference, provided that it is not divided into its component parts through the use of subfields.

Example 1
```
100 1# $a Faulkner, William, $d 1897-1962. $t Short stories. $k
Selections
400 1# $a Faulkner, William, $d 1897-1962. $t Uncollected stories
of William Faulkner
430 #0 $a Uncollected stories of William Faulkner
```

Example 2
```
110 1# $a United States. $b Bureau of Labor Statistics
410 2# $a Estados Unidos de América, Buró de Estadísticas Laborales
```
not
```
410 2# $a Estados Unidos de América. $b Buró de Estadísticas Laborales
```

Example 3
```
110 2# $a Zhongguo yi ked a xue. $b Fu shu di 1 yi yuan
410 2# $a China Medical University, First Affiliated Hospital
```
not
```
410 2# $a China Medical University. $b First Affiliated Hospital
```

When changing the form of a superordinate body, a geographic name, or a personal name in a 1XX, update all of the existing NARs that use that component in a 4XX, unless the 4XX represents the former heading (e.g., $w/4=e).

Linking references for NARs and SARs

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

      (1)   the reference would normalize to the same form as the heading or another reference on the same record or to the same form as a heading on another record. Instead, give the form in a 667 field: "Old catalog heading: _____;"

      (2)   there is no one-to-one correspondence between the pre-AACR2 heading and the AACR 2 heading, i.e., two or more pre-AACR2 headings will be treated as one heading under AACR2, or one pre-AACR2 heading will be split under AACR2. Instead, in a 667 field give the appropriate information. For the former, use "Includes the old catalog headings: _____; and, _____." For the latter, use "Previous to AACR2 covered by the heading: _____;"

      (3)   for SARs, the series was previously untraced and it is not clear what form should be considered the old catalog heading.

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

<u>*SARs*</u>

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

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

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Tracing and References − General Information − 5XX fields

General

    NACO catalogers may use subfield $i (Relationship information) in either AACR2 or RDA NARs to provide relationship information between authorized access points.

    As of November 1, 2011, LC catalogers applying RDA instructions may use $i to provide relationship information in either AACR2 or RDA NARs, except for pseudonymous relationships and corporate name earlier/later relationships.

    Reciprocal 5XXs may not be needed for all relationships, such as when relating an employee (personal name) to an employer (corporate entity).

    Subfield $w code "r" in the zero (0) position must be present when subfield $i is used.

    When otherwise modifying a NAR that contain obsolete codes such as subfield $w position zero (0) code "d" or "f," LC/PCC catalogers should upgrade the NAR to either AACR2 or RDA as appropriate.

5XX   See Also From Tracings

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

PCC series practice: Transcription of the series statement is mandatory if applicable. Searching |
for series authority records, tracing the series, and the creation and maintenance of series |
authority records are optional. |

General

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

Subfield $w (control subfield)

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

> $w a = to indicate a reference from an earlier heading
> $w b = to indicate a reference from a later heading
> $w nnnc = to indicate a complex see also reference (record also contains a
>   663 field)

NARs

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

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

SARs

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

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

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

500 See Also From Tracing - Personal Name

General

Until further notice LC catalogers should not use subfield $i and code "r" in subfield $w when recording pseudonymous relationships for personal names. When recording multiple pseudonyms continue to follow the guidance provided in the _FAQ – LC/NACO AACR2 Practice for Creating NARs for Persons Who Use Pseudonyms_ available at: http://www.loc.gov/catdir/cpso/pseud.pdf

LC/NACO catalogers may use subfield $i with subfield $w coded "r" when providing relationship links between a personal name and the name of another person, family, or corporate body. When using a term from Appendix K in subfield $i, use a capital letter for the first letter of the term and follow the term with a colon.

NACO institutions must notify LC's Cooperative Section (naco@loc.gov) before beginning to use subfield $i with subfield $w code r.

SARs

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

510 See Also From Tracing - Corporate Name

<u>*General*</u>

      NACO catalogers may use subfield $i with subfield $w coded "r" when providing relationship links between corporate entities and the names of other persons, families or corporate bodies. In subfield $i use a capital letter for the first letter of the term and follow the term with a colon.

      As of November 1, 2011, LC catalogers using RDA will continue to use codes "a" and "b" in subfield $w to provide earlier/later relationship links between corporate entities

      Catalogers should use judgment in making reciprocal 5XXs, for instance in the case of employer to employee relationship it is only necessary to add the 510 see also from tracing to the NAR for the personal name NAR (100) and not add a 500 see also tracing to the NAR for the corporate name (110).

      NACO institutions must notify LC's Cooperative Projects Section (naco@loc.gov) before beginning to use subfield $i with subfield $w code "r."

<u>*SARs*</u>

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

511 See Also From Tracing - Meeting Name

General

NACO catalogers may use subfield $i with subfield $w coded "r" when providing relationship links between corporate entities. In subfield $i use a capital letter for the first letter of the term and follow the term with a colon.

NACO institutions must notify LC's Cooperative Projects Section (naco@loc.gov) before beginning to use subfield $i with subfield $w code "r."

SARs

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

530 See Also from Tracing – Uniform title

General

   NACO catalogers may use subfield $i with subfield $w coded "r" when providing relationship links between authorized access points for works or expressions. When supplying Appendix J terms in subfield $i use a capital letter for the first letter of the term and follow the term with a colon.

   As of November 1, 2011, LC catalogers using RDA will continue to use codes "a" and "b" in subfield $w to provide earlier/later relationship links.

   NACO institutions must notify LC's Cooperative Section (naco@loc.gov) before beginning to use subfield $i with subfield $w code "r."

SARs

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

551 See Also From Tracing – Geographic Name

Do not use subfield $i or subfield $w codes until relationship designators for places are developed. (Currently RDA has a placeholder for Appendix L).

64X   Series Treatment - General Information

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

PCC series practice: Transcription of the series statement is mandatory if applicable. Searching |
for series authority records, tracing the series, and the creation and maintenance of series |
authority records are optional. |

This 64X section covers the following topics:

- National-level PCC default decisions for newly-established SARs for
  monographic series and multipart items
    - General policy
    - Recording PCC local treatment decisions in new SARs
    - Recording PCC local treatment decisions in existing
      SARs
    - Existing SARs and non-LC analytic records
    - SARs for serials other than monographic series

- Republications
- Document series in general
- U.S. federal document series
- United Nations documents
- Treaty series
- BIBCO tracing practice

Also see specific 64X yellow pages.

<u>National-level PCC default decisions for newly-established SARs for monographic series and
multipart items</u>

General policy

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

<u>A PCC library can vary from the default analysis or classification practice</u> for
reasons of local needs/preferences/resources. If a BIBCO library varies from the national default

classification practice, any resulting analytic record may be a BIBCO record without a "class separately" number also being supplied. If an analytic record is created, the default tracing practice is mandatory.

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

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

The "DPCC" code will <u>not</u> be given in subfield $5 in either field 644 (analysis) or field 646 (classification).

Recording PCC local treatment decisions in new SARs

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

Recording PCC local treatment decisions in existing SARs

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

Existing SARs and non-LC analytic records

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

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

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

SARs for serials other than monographic series

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

History of LC/PCC treatment decisions recorded in SARs

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

Republications

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

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

```
646    $a s $5 ___  $5 ___  photo-offset reprint

050    $a ___  $b ___
646    $a c $5 ___
646    $a s $5 ___  microfiche

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

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

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

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

            (a) In the 643 field, indicate in subfield $d the type of republication of the item for which the SAR is being made.

            (b) Begin the 670 field with the term for the type of republication and a slash.

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

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

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

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

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

  (3) Adding a republication to an existing SAR:

    (a) Add treatment decisions for the republication.

    (b) Do not add 643 and 670 fields for the republication.

    (c) Do not delete any existing 643 and 670 fields for any republication(s).

Example showing addition of photoreproduction to existing SAR for original:

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

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

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

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

any republication added to SAR for original):

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

Document series in general

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

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

U.S. federal document series

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

United Nations documents

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

Treaty series

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

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

BIBCO tracing practice

SAR already exists in the national authority file

• If the SAR was established before September 1989 and LC's 644 has value f" and LC's 645 has value "n," do not trace the series; code the bibliographic record (either full or core) as a BIBCO record. Do not add the "DPCC" 642/645 fields to an existing SAR.

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

SAR doesn't exist in the national authority file

For a full-level bibliographic record:
• contribute an SAR* to the national authority file, and
• trace the series in the analytic record.

For a core-level bibliographic record,

either:
• contribute an SAR* to the national authority file, and
• trace the series in the analytic record;
or:
• don't contribute an SAR to the national authority file, and
• don't trace the series in the analytic record.

* New SAR would have "$5 DPCC" in 642 and 645 fields.

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

640   Series Dates of Publication and/or Volume Designation

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

PCC series practice: Transcription of the series statement is mandatory if applicable. Searching |
for series authority records, tracing the series, and the creation and maintenance of series |
authority records are optional. |

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

642   Series Numbering Example

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

PCC series practice: Transcription of the series statement is mandatory if applicable. Searching |
for series authority records, tracing the series, and the creation and maintenance of series |
authority records are optional. |

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

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

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

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

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

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

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

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

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

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

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

PCC participants: new SAR

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

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

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

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

PCC participants: existing SAR

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

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

```
642 $a [form of number] $5 DPCC $5 CoDU
642 $a [form of number] $5 DPCC $5 DLC $5 IRA
642 $a [form of number] $5 DLC $5 IRA
642 $a [form of number] $5 WaU
```
(examples represent single fields in different SARs; "DPCC"
already in the first and second SARs)

643   Series Place and Publisher/Issuing Body

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

PCC series practice: Transcription of the series statement is mandatory if applicable. Searching |
for series authority records, tracing the series, and the creation and maintenance of series |
authority records are optional. |

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

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

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

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

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

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

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

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

644   Series Analysis Practice

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

PCC series practice: Transcription of the series statement is mandatory if applicable. Searching |
for series authority records, tracing the series, and the creation and maintenance of series |
authority records are optional. |

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

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

Recording PCC local analysis decisions

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

Exception to analysis practice

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

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

Change of decision

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

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

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

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

existing SAR:
       644   $a f $5 ___
       646   $a s $5 ___

revised SAR:
       644   $a n $d no. 17-    $5 ___
       644   $a f $d no. 1-16 $5 ___
       646   $a c $d no. 17-    $5 ___
       646   $a s $d no. 1-16 $5 ___
```

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

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

existing SAR:
       644   $a f $5 ___
       646   $a s $5 ___

revised SAR:
       644   $a n $d no. 5, 8-    $5 ___
       644   $a f $d no. 1-4, 6-7 $5 ___
       646   $a c $d no. 5, 8-    $5 ___
       646   $a s $d no. 1-4, 6-7 $5 ___


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

existing SAR:
```
644   $a f $5 ___
646   $a s $5 ___
```

revised SAR:
```
644   $a n $d v. 24, 26, 33-    $5 ___
644   $a f $d v. 1-23, 25, 27-32 $5 ___
646   $a c $d v. 24, 26, 33-    $5 ___
646   $a s $d v. 1-23, 25, 27-32 $5 ___
```

Non-analyzable volumes

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

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

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

645   Series Tracing Practice

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

PCC series practice: Transcription of the series statement is mandatory if applicable. Searching |
for series authority records, tracing the series, and the creation and maintenance of series |
authority records are optional. |

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

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

General policy for tracing practice

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

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

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

Recording national-level and PCC local tracing decisions

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

        PCC participants: new SAR

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

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

        (2) Optionally, add your own local decision.

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

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

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

two fields in one SAR:
```
645 $a t $5 DPCC
645 $a n $5 WaU
```

PCC participants: existing SAR

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

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

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

```
645 $a t $5 DPCC $5 WaU
645 $a t $5 DPCC $5 DLC $5 CoDU
645 $a t $5 DLC $5 CoDU
645 $a t $5 IRA
```
(examples represent single fields in different SARs; "DPCC" already in the first and second SARs)

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

two fields in one SAR:
```
645 $a t $5 DPCC
645 $a n $5 IRA
```

single field in one SAR:
```
645 $a n $5 WaU
```

646   Series Classification Practice

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

PCC series practice: Transcription of the series statement is mandatory if applicable. Searching |
for series authority records, tracing the series, and the creation and maintenance of series authority |
records are optional. |

National-level PCC default classification practice = classified separately.

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

General guidance

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

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

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

subseries SAR:
    646  $a s $5 ___

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

"Classified with main or other series"

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

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

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

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

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

Recording PCC local classification decisions

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

Unnumbered volumes in a collected set series

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

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

Change of decision -- numbered monographic series

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

Even if some volumes are not in the library, give the cut-off information for the earlier classification decision using definite beginning and ending numbers. For example, v. 1-35 are represented by classified separately analytic bibliographic records. The classification decision has

changed with the processing of v. 38. Do not show gaps in the subfield $d; the person handling one of those "missing" volumes later needs to know what treatment to use.

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

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

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

existing SAR:
```
646  $a s $5 ___
```

revised SAR:
```
646  $a c $d no. 14, 19-   $5 ___
646  $a s $d no. 1-13, 15-18 $5 ___
```

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

existing SAR:
```
646  $a s $5 ___
```

revised SAR:
```
646  $a c $d t. 6, 12, 14-   $5 ___
646  $a s $d t. 1-5, 7-11, 13 $5 ___
```

663   Complex See Also Note

General

The 663 field contains the explanatory text and authorized access points for relationships
between a 100 (established name) and other 100s (established names) that cannot be adequately
conveyed by one or more simple see-also references generated from 500 *See Also From Tracing
Fields*.

Generally, this situation occurs when a person uses more than one identity, when more than
one person shares an identity with one or more others, or when multiple persons use the same
pseudonym independent of each other or as a result of some other arrangement.

Only two identities

When only two headings are created for a person, do not use the 663 note technique;
connect the names with simple *500 see also references*.

More than two identities - "basic" headings and references

When more than two authorized access points are created for the same person, LC will
identify a "basic" authorized access point using the 663 field technique. This decision is based
on the desire to simplify the reference structure and to assist LC catalogers in determining which
name to use as the subject of biographical or critical works. The "basic" authorized access point
should be determined by the predominantly used form of name or, lacking sufficient evidence,
by choosing the real name of the person as the "basic" form.

On the authority record for the "basic" name authority record add 500 see also references
with a subfield w coded "nnnc" from all other names used. Justify the 500 in 670 citations
according to normal practice. Provide a 663 field listing all the other names with the following
text:

```
663 $a For works of this author entered under other names, search
also under: $b [name] $b [name]
```

On each of the other name authority records, trace a 500 see also reference with subfield
$w coded "nnnc" from the "basic" name, justifying that reference in a 670 citation, according to
normal practice. Other names may be mentioned in the 670 if it is convenient to do so. Provide a
663 field with the following or similar text:

```
663 $a Works by this author are entered under the name used in the
item. For a listing of the names used by this author, search also
under: $b [basic heading]
```

When the author uses another new name, create a new name authority record for that
name and also add it to the reference structure and 663 listing on the authority record for the

"basic" name; do not add the same information to the authority records for the other names.

Example:

"Basic" name authority record

```
100 1# $a Harris, John, $d 1916-
500 1# $w nnnc $a Hennessy, Max, $d 1916-
500 1# $w nnnc $a Hebden, Mark, $d 1916-
663 ## $a For works of this author entered under other
        names, search also under $b Hebden, Mark, 1916- $b
        Hennessy, Max, 1916-
670 ## $a Corporal Cotton's little war, 1979: $b t.p.(John
        Harris)
670 ## $a Contemp. au., v. 93-96 $b (Harris, John, 1916-;
        pseuds.: Mark Hebden, Max Hennessy)
```

Name authority record for 500 on "basic" NAR

```
100 1# $a Hebden, Mark, $d 1916-
500 1# $w nnnc $a Harris, John, $d 1916-
663 ## $a 663 ## $a Works by this author are entered under
        the name used in the item.  For a listing of other
        names used by this author, search also under $b
        Harris, John, 1916-
670 ## $a Pel under pressure, 1983: $b t.p.(Mark Hebden)
670 ## $a Contemp. au., v. 93-96 $b (Harris, John, 1916-;
        pseuds.: Mark Hebden, Max Hennessy)
```

Name authority record for 500 on "basic" NAR

```
100 1# $a Hennessy, Max, $d 1916-
500 1# $w nnnc $a Harris, John, $d 1916-
663 ## $a Works by this author are entered under the name
        used in the item.  For a listing of other names used
        by this author, search also under $b Harris, John,
        1916-
670 ## $a Back to battle, 1980: $b t.p.(Max Hennessy)
670 ## $a Contemp. au., v. 93-96 $b (Harris, John, 1916-;
        pseuds.: Mark Hebden, Max Hennessy)
```

Example:

Shared identity name authority record

```
100 1# $a Corder, Zizou
500 1# $w nnnc $a Young, Louisa
500 1# $w nnnc $a Young, Isabel Adomakoh
663 ## $a Joint pseudonym of Louisa Young and Isabel
        Adomakoh Young. For works of these authors written
        under their own names, search also under: $b Young,
        Louisa $b Young, Isabel Adomakoh
670 ## $a The chase, 2004: $b ECIP data view (Zizou Corder
        is the joint pseudonym of Louisa Young and Isabel
        Adomakoh Young)
```

Name authority record for 500 on shared identity NAR:

```
100 1# $a Young, Louisa
500 1# $w nnnc $a Corder, Zizou
663 ## $a For works of this author written in collaboration
        with Isabel Adomakoh Young, search also under: $b
        Corder, Zizou
670 ## London's churches, 1986: $b t.p. (Louisa Young)
670 ## $a The chase, 2004: $b ECIP data view (Zizou Corder
        is the joint pseudonym of Louisa Young and Isabel
        Adomakoh Young)
```

Name authority record for 500 on shared identity NAR

```
100 1# $a Young, Isabel Adomakoh
500 1# $w nnnc $a Corder, Zizou
663 ## $a For works of this author written in collaboration
        with Isabel Adomakoh Young, search also under: $b
        Corder, Zizou
670 ## $a The chase, 2004: $b ECIP data view (Zizou Corder
        is the joint pseudonym of Louisa Young and Isabel
        Adomakoh Young)
```

The text of the 663 may be adjusted to fit extraordinary situations; however, keep the text as simple as possible, allowing the MARC fields and coding to convey the information desired.

Exceptions

Do not use the 663 note technique to show relationships between corporate bodies. In situations when a corporate name is considered to be an alternate identity for a person or persons and that corporate name is listed as a 510 on the NAR containing a 663 note, do not use a subfield $w coded "nnnc" for the 510. On the corporate name authority record (110) do not use a 663 note; connect the personal name (500) with a simple see also (i.e., do not use subfield $w coded "nnnc").

This page intentionally blank

667   Nonpublic General Note

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

PCC series practice: Transcription of the series statement is mandatory if applicable. Searching for series authority records, tracing the series, and the creation and maintenance of series authority records are optional.

<u>General</u>

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

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

<u>NARs for persons with identities not established</u>

Generally, for contemporary authors with multiple identities, name authority records are created for each name, including in some cases, the possible unused real name; however, in the interest of efficiency, if research indicates that a person has numerous pseudonyms which are not likely to appear on separately published works, LC catalogers may choose not to create separate headings for each pseudonym.   In this case, list in the 670 field all the known pseudonyms; list the unestablished pseudonyms in a 667 field following the phrase: "Pseudonyms not found on published works: [list names not established]"

Note: Do not make references from the unestablished pseudonyms.

Example:

```
667  $a Pseudonyms not found on published works: Miz
     Scarlett, SCC, Stevenopolis.
```

NARs and subject usage

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

(a) *Heads of state, etc.*

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

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

Example:

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

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

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

(b) *Earlier/later linear jurisdictional name changes*

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

Example:

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

```
                    under Sri Lanka.
```

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

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

PCC optional practice:

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

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

Example:

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

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

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

MESSAGE notes |
In an authority record that contains non-Latin script references use the 667 field with a |
note stating: "Non-Latin script reference not evaluated." If there are multiple non-Latin script |
references the sentence may be modified to reflect that condition. Assure that 008/29 is set to |
"b" to indicate that the reference is not evaluated. |
                                                                                             |

MESSAGE notes (LC practice)

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

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

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

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

SARs

(1) Notes on the title proper:

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

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

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

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

```
667   $a Subtitle: [title of subtitle]
```

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

(2) Notes on the relationship to other series/records:

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

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

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

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

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

```
667   $a Old catalog heading: _____
```
[Use if the reference would normalize to the same form as the heading or another reference on the same record or to the same form as a heading on another record.]

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

```
667   $a Previous to AACR 2 covered by the heading:
         _____
```
[Use if one pre-AACR 2 heading will be split under AACR 2.]

(3) Notes on the publisher/issuing body:

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

```
667   $a Imprint varies
667   $a Publisher varies
```

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

(4) Notes on the type of publication:

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

```
667    $a Document
```

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

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

(5) Notes on the handling of series-like phrase:

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

(6) Notes on an undifferentiated phrase record

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

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

```
                      SAR has been made.
```

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

(7) Notes on the post-cataloging authority records

When creating a post-cataloging SAR, that is, one established without the piece in hand, give a 667 note with the wording below.

```
667 $a Series authority record created without piece in
        hand.
```

When a preliminary record with this note is upgraded to full level, delete the note.

(8) Miscellaneous notes:

```
667  $a Previous to AACR 2 subsumed under made-up set for UN
        documents
```
[See 64X yellow pages for more information about
UN documents]

```
667  $a First printing of vol. 8 of the Princeton
        theological monograph series erroneously carried the
        series statement:  Pittsburgh theological
        monographs
667  $a Phone call to Borgo Press 1-20-84:  Starmont Press
        series; Borgo reprints all titles generally 6 months
        to a year later in cloth
667  $a Lacked analyzable titles until v. 9
667  $a Indexed in:  Social sciences index
```
[for series not being analyzed]

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

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670   Source Data Found

This 670 section covers the following topics:
- General
- Transcription of names and titles
- Internet resources
- Recording dates
- Justifying references
- Transcription of other data
- Special types of citations

LC–PCC: practice: Follow the best practice guidelines for using subfield $u *(Uniform Resource Identifier)* and subfield $v *(Source of the Information)* provided in the 046 field.

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

PCC series practice: Transcription of the series statement is mandatory if applicable. Searching for series authority records, tracing the series, and the creation and maintenance of series authority records are optional.

General

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

Functions of the 670 field:

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

Note that the examples given throughout the following text have different conventions in regard to punctuation and style. These conventions are not prescriptive and should be considered as best practices to facilitate the exchange of information in a shared database environment.

Catalogers are expected to use judgment and common sense. Punctuation and style need not be consistent from record to record as long as the information is clear and accurate.

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

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

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

A 670 field should include the following:

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

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

> (2)   The date of publication. Also see the guidelines below for specific categories:

• Multipart items. If the part is the first part, give the date of publication as an open date.

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

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

        670 $a Studies in Confederate history, No. 1 (1966),
            surrogate $b cover ([data])
not     670 $a Studies in Confederate history, 1966,
            surrogate $b cover ([data])
```

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

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

• MARC characters. With the exception of the eszett, the Euro, and the spacing circumflex (cf. LCRI 1.0E) any characters found in the MARC code table at: http://www.loc.gov/marc/specifications/specchartables.html, are valid for use in authority records contributed to the LC/NACO Authority File. Note that LC catalogers will generally continue to substitute the letters 'p' and 'c' rather than use the phono copyright or copyright symbols when transcribing publication, distribution, etc., dates in 670 $a.

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

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

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

        PCC series practice:

        In post-cataloging authority work without the piece in hand, use the location "resource not in hand." If the piece is examined again and the authority record is updated, it is allowable to edit the corresponding 670 field to provide a location and additional forms of series titles as needed.

```
670 $a From child to adult, 1970: $b resource not in
    hand (American Museum sourcebooks in anthropology)
```

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

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

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

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

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

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

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

Transcription of names and titles

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

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

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

```
670 $a Workers' compensation law of the state of North Carolina,
```

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

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

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

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

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

Data must be given in romanized form. Normally it is understood that the cataloger has provided the romanization; therefore, when transcribing romanization found in the source, add after it the bracketed phrase **[in rom.]**. If a cataloger chooses to provide nonroman script references, the 670 $b should contain both the nonroman script transcription(s) found in the source, and the systematically romanized form(s).

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

Internet resources

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

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

Catalogers may _optionally_ provide a uniform resource identifier (URI) in the 670 citation to link to the cited resource if it contains significant information related to the established heading that cannot be cited succinctly in the authority record. Note that use of a URI in the 670 $u does not take the place of the requirement to cite relevant data in subfields $a and $b of the 670 field needed to support the heading or references (this information will continue to be available if the site changes or disappears). Do not provide URIs for general reference sources and/or web-based reference sources that are included in the LCRIs (e.g., Contemporary Authors online, GNIS, GEOnet). If a URI is included, it must be given in subfield $u.

```
670 $a British Oceanographic Data Centre, 23 Nov. 2009 $b about
       us (British Oceanographic Data Centre, National Environment
       Research Council; BODC, is a national facility for looking
       after and distributing data concerning the marine
       environment) $u http://www.bodc.ac.uk/

670 $a N.Y. times (online), Apr. 13, 2003 ‡b (Seymour Lubetzky;
       librarian; b. Shmaryahu Lubetzky in Zelva, now Belarus; d.
       last Saturday [Apr. 5, 2003] in Los Angeles, aged 104)

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

670 $a BNF in VIAF, Nov. 12, 2009 $b (hdg.: Gaulle, Charles de,
       1890-1970)

670 $a Nat. Lib. Israel (Cyrillic), in VIAF, viewed Nov. 12, 2009
       $b (hdg.:СЕРВАНТЕССААВЕДРА, МИГЕЛЬДЕ, 1547-1616)
```

Subfield $u - Uniform Resource Identifier and Subfield $v - Source of the Information
    Follow the LC/PCC practice for subfield $u and subfield $v provided in the 046 field.

Recording dates

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

Justifying references

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

(1)   References justified by rules or rule interpretations only, usually because the reference is derived from inverting, shortening, etc., the heading or giving a substitute form in the heading.

(2)   References made on the basis of the cataloger's awareness of different romanizations or orthographies.

(3)   Name/title cross references derived from the work being cataloged, from other works cataloged under the same heading, or from information in standard reference sources.

(4)   References made on the basis of information from the Library and Archives, Canada (cf. DCM Z1 1XX).

(5)   References to earlier/later headings of corporate bodies reflecting changes due to national orthographic reform, changes in government headings due to an official language change, or changes involving only a parent body to which the body being established is subordinate.

(6)   References made on the basis of information from the British Library as part of the English Short Title Catalogue project.

(7)   Optional references from pre-AACR 2 forms on SARs and on retrospective NARs.

Transcription of other data

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

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

Special types of citations

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

LC/NAF. When converting information found in obsolete or non-active MARC fields (e.g., 664, 665, 666) into a 670 note, cite the LC/NAF in a citation such as those provided in the examples below:

```
670 $a Info converted from 665 field in this record, [date
       of conversion] $b ([data converted from 665 field])

670 $a 665 info formerly in this record $b ([data moved
       from 665 field])
```

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

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

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

If different forms of the name exist in the bibliographic records, record the heading and also any forms found, including usage identical to the heading. Separate the heading from the other forms, and preface the other forms with an appropriate label, e.g., **usage:**[1] or **variant:.**[2] Do not normally cite specific bibliographic records or the exact location of the variations found.

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

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

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

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

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

Minimal level cataloging records and less than fully authenticated serial records. Authority work normally has not been done for headings used in minimal level cataloging records and less than fully authenticated serial records (authentication field 042 does not contain any one of the codes lc, lcd, nlc, or gpo). It may be necessary to reconsider the formulation of the heading. If the established heading is different, do necessary bibliographic file maintenance. Also, an MLC or less than fully authenticated serial record might provide useful information, such as a birth date not given elsewhere or usage not otherwise available. Do not routinely cite MLC headings. However, when the information is useful, document its source in the 670 field, e.g., **MLC hdg.:** or **Less than fully authenticated serial usage:**

---

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

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

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

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

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

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

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

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

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

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

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

---

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

superscript zero) to show degrees, use the miagkii znak (modifier letter prime) for minutes and
the tverdyi znak (modifer letter double prime) for seconds. Note: In the published gazetteers the
short form is shown with the use of boldface type.

```
            670 $a GEOnet, June 13, 1989 $b (Coast [short form]
                   Province; ADM1, 3°00'S 39°30'E)
    or      670 $a BGN $b (Coast [short form] Province; ADMD, 3°00'S
                   39°30'E)


            670 $a GEOnet, July 7, 1992 $b (Varese [short form]
                   Provincia di; ADM2, 45°48'N 8°48'E)
    or      670 $a BGN $b (Varese [short form], Provincia di; PROV,
                   45°48'N 8°48'E)


            670 $a GEOnet, Apr. 31, 1996 $b (Geneva [conventional];
                   Genève [native], PPL, 46°12'N 6°10'E; variants:
                   Ginevra, Genf)
    or      670 $a BGN $b (Genève [French], Geneva [conventional];
                   POPL, 46°12'N 6°10'E)


            670 $a GEOnet, Sept. 28, 2001 $b (Cambridgeshire [short
                   form = Cambridge]; ADM1, 52°12'N 0°07'E)
```

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

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

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

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

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

675   Source Data Not Found

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

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

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

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

678 Biographical or Historical Note

General
        When supplying biographical or historical data in a 678 note field, construct the note in concise but complete sentences, keeping in mind that the information will be used in public displays.

        Example:

```
678 0# $a Joseph Smith, Jr. (1805-1844) was a Mormon prophet
           and founder of the Church of Jesus Christ of Latter-
           day Saints.
```

The 678 field was previously used to preserve useful biographical/historical information pertaining to the 1XX when manual NARs and SARs were converted to machine-readable form. When adding biographical or historical information to NARs, the 678 note field should be upgraded to contain full sentences.

7XX   Heading Linking Entries

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

PCC series practice: Transcription of the series statement is mandatory if applicable. Searching
for series authority records, tracing the series, and the creation and maintenance of series
authority records are optional.

General

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

Indicators

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

Subfield $2

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

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

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

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

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

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

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

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

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

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

Sample record

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

Current status of the 7XX in the NAF

NACO records containing 7XX fields are distributed by the LC Cataloging Distribution Service as part of the LC/NAF. The 7XX fields have been implemented in the LC ILS, but LC does not yet use the 7XX fields in its own cataloging.

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

781   Subdivision Heading Linking Entry–Geographic Subdivision

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

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

Examples:

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

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

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

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

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

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

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

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

952   Cataloger's Permanent Note

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

<u>Content Designation</u>

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

<u>General</u>

This is a local LC field.

This field is repeatable.

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

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

952     $a eb02 consulted
```

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

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

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

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

|

953   Local Staff Codes

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

Content Designation

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

General

This field is a local LC field.

This field is not repeatable.

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

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

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

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

958   Note -- Confidential Information

Content Designation

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

General

This is a local LC field.

This field is not repeatable.

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

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

985   Record History

<u>*Content Designation*</u>

Indicators: Both indicators are undefined.

Subfield codes: $a   Agency that keyed record/Record history
                          $b   Network used for first level of keying
                          $c   Network transmitting record to LC
                          $d   Date record entered in original or transmitting net-
                                 work
                          $e   Responsible LC application

<u>*General*</u>

This field is a local LC field.

This field is repeatable.

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

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

Do not change or delete this field.

APPENDIX 1: HEADINGS FOR AMBIGUOUS ENTITIES

Headings for Ambiguous Entities

1   INTRODUCTION

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

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

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

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

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

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

1.2.   General guidelines
          a) These guidelines relate primarily to the family of problem cases, not to the ones
that are clear-cut. For example, the tagging decisions appended include some entities that are

within the concept "corporate body" but are also judged to exemplify the concept "geographic" and, therefore, are tagged 151. (Note that when entities tagged 151 in the authority file are used as main or added entries in bibliographic records (110, 710, 810), the first indicator is set to the value 1.) Care should be taken, however, that a name containing one of the terms noted in one of the lists is indeed a member of that category, e.g., Xavier Ranch Corporation is not a ranch in the sense of the Group 2 list.

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

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

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

e) *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 SHM H 193.

f) *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.

g) *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 the Policy and Standards Division (PSD).

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

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

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

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

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

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

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

```
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
```

---

        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.

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 record as directed in: *Subject Headings Manual, 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 Headings Manual* (SHM)); 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 establishing and maintaining Group 2 headings rests entirely with those
                        performing subject cataloging. See SHM H 405.

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 PSD. Catalogers should then refer changes to PSD, 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 PSD to move the heading. Send the item to PSD 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 PSD 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 PSD 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 SHM.

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
Armories	110
Art works, Individual	100, 110, 130
Artificial satellites	110
Arsenals	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
Business parks	110
Cathedrals	110
Cemeteries[4]	110
Chambers of Commerce	110
Chapels	110
Churches (In use or ruins)	110
Circuses	110
City sections[5]	151

---

[2]See 2.2

[3]See 2.3

[4]See 2.4

[5]See 2.5

Collective settlements[6]	151
Colleges	110
Comic strips[7]	130
Communes[6]	151
Competitions[8]	111
Computer programs and software[7]	130
Concentration camps[4]	110
Concert halls	110
Conservation districts[6]	151
Contests[8]	111
Convents	110
Correctional institutions	110
Country clubs[4]	110
Crematories	110
Dance halls	110
Denominations, Religious (Individual)	110
Dispensaries	110
Ecclesiastical entities that are also names of places, e.g., Basel (Switzerland : Ecclesiastical principality); Constantinople (Ecclesiastical patriarchate)	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

---

[6]See 2.6

[7]Although 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.

[8]See 2.7

Forests districts	110
Funds	110
Funeral homes, mortuaries	110
Galleries	110
Games (Events)[8]	111
Halfway houses	110
Helplines, hotlines	110
Herbariums[3]	110
Hospitals	110
Hotels	110
Housing projects	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 companies	110
Orphanages	110
Parades[8]	111
Park districts[6]	151
Parks (as agencies)[10]	110
Planetariums[3]	110
Planned communities	151
Plans (Programs)[11]	110

---

[9]See 2.9

[10]See 2.8

[11]See 2.10

Poorhouses	110
Port authorities	110
Prisons	110
Projects, plans, etc.[10]	110
Public celebrations, pageants, anniversaries[8]	111
Publishers' imprints	110
Pueblos	151
Races (Contests)[8]	111
Radio programs	130
Railroads	110
Recreation districts[10]	151
Religious denominations	110
Research stations	110
Reserves (as agencies)	110
Restaurants	110
Sanitoriums	110
Sanitation districts[6]	151
Satellites, Artificial	110
School districts	110
Schools	110
Service stations	110
Ships	110
Shipyards	110
Shopping centers	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
Web sites	130
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
Aqueducts	151
Arches	150
Arenas	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
Cemeteries, Archaeological	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

---

[12]For instructions on establishing and applying headings for extinct cities, see SHM H 715.

Computer systems	150
Convention centers	110
Courthouses	110
Customhouses	110
Details, Building	150
Docks	151
Doors	150
Dwellings[9]	110
Estates	151
Events[13]	150
Exhibition buildings	110
Fairgrounds	151
Families	100
Farms	151
Feasts	150
Ferry buildings	110
Fire stations	110
Forests (Geographic entities)	151
Fortresses (Structures)	151
Fountains	150
Gangs	150
Gardens	151
Gates	150
Golf courses	151
Grain elevators	110
Gymnasiums	110
Hazardous waste sites	151
Highways	151
Historic sites (Including historic districts not in cities)	151
Immigration stations	110
Islands, Non-jurisdictional	151
Land grants	151
Lighthouses	110
Locks (Hydraulic engineering)	151
Manors	110
Mansions	110
Market buildings	110
Military installations (Before 1900 *and* inactive)	151
Mine buildings	110

---

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

Mines	151
Mints	110
Monuments (Structures, statues, etc.)	150
Music halls	110
Office buildings	110
Official residences	110
Opera houses	110
Palaces[9]	110
Parks (Geographic entities)	151
Pavilions	110
Pipelines	151
Playgrounds	151
Plazas (Open spaces, squares. etc.)	151
Police stations	110
Pools, Public	151
Ports (Physical facilities)	151
Post offices	110
Posthouses	110
Power plants	110
Presidential mansions	110
Public comfort stations	110
Racetracks	110
Railway stations	110
Ranches	151
Recreation areas	151
Refugee camps	151
Remote-controlled vehicles	150
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 (*not* 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
Wells	151

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APPENDIX FOR LC STAFF

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APPENDIX FOR LC STAFF

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

- Subfield $z when classifying "as a collection"

- "acq" records for collected sets

- Analytic record needed for multi-part item

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

- Technical report monographic series

- Multiple 050 fields in bibliographic records

- Catalog for cataloging purposes

- New headings matching entries with "[from old catalog]"

- Saving bibliographic records in LC ILS

- Authority generation/templates

Subfield $z When Classifying "As a Collection"

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

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

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

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

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

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

"acq" Records for Collected Sets

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

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

The presence of an "acq" collected set record does not affect the cataloging decision on classification of the monographic series or multipart item.   Classify separately unless the resource is covered by one of the exception categories in LCRI 13.3.   However, if the cataloging decision is to classify as a collection, use that "acq" record for the collected set record instead of creating another record.
    (1) Add/modify fields in the record.
    (2) Change "acq" in 906 $b to "ibc."
    (3) Change "acqwork" in 906 $c to the appropriate value.
    (4) Change "z-acqworks" in 906 $g to "y-gencatlg" or other
          appropriate value.
    (5) "Unsuppress" the record so that it is searchable in the OPAC.

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

Analytic Record Needed for Multipart Item

If parts of a new multipart monograph were sent for cataloging without analytic

bibliographic records for the parts, and the person doing the cataloging decides the parts should be analyzed, follow section practice for creating the needed "ibc" analytic bibliographic records.

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

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

Holdings records (**HR**):
There should be holdings records for <u>all</u> bibliographic records (analytic records and collected set records) regardless of analysis decision.
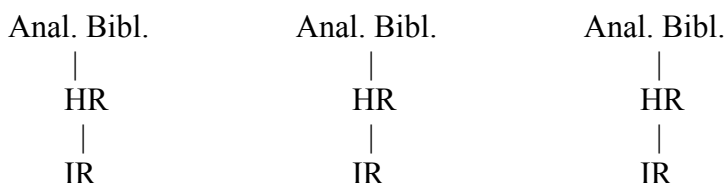
Item records (**IR**):
There should be an item record for <u>every part of a multipart item</u> and for <u>every monograph volume of a monographic series</u>, regardless of analysis decision or classification decision.
At time of shelflisting, there should be an item record for every volume of a <u>serial published annually or less often</u> in a monographic series. At time of shelflisting, there will probably not be an item record for any volume of a serial published more often than annually in a monographic series.

Classification decision = classified separately

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

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

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

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

```
                         Coll Set. Bibl.
                               |
                              HR


   Anal. Bibl.          Anal. Bibl.          Anal. Bibl.
        |                    |                    |
       HR                   HR                   HR
        |                    |                    |
       IR                   IR                   IR
```
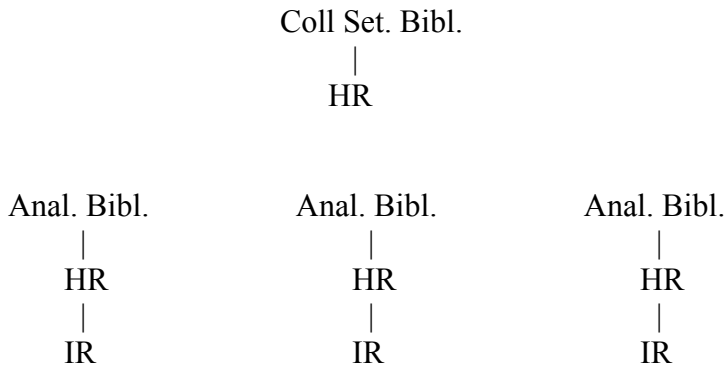
Classification decision = classified as a collection and analysis decision = analyzed in part

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

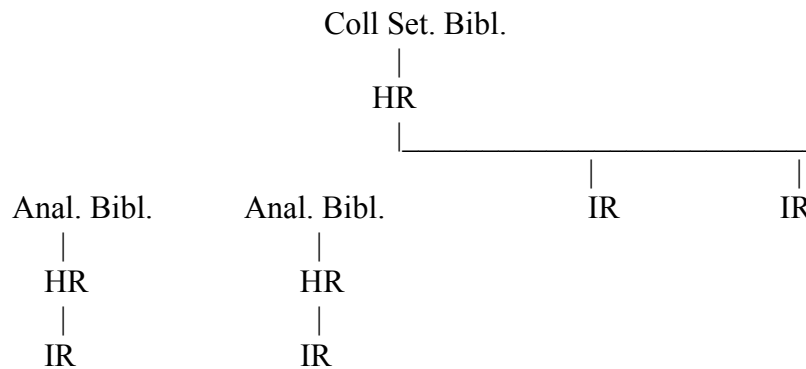   For the parts/volumes that are analyzed, each item record will be linked to the holdings record which is attached to the specific analytic bibliographic record.

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

Classification decision = classified as a collection and analysis decision = not analyzed
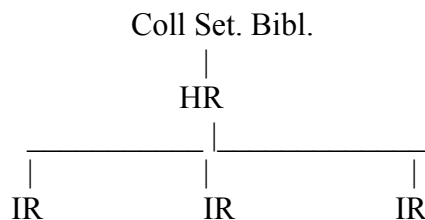
     The holdings record for the collected set bibliographic record for the multipart item/monographic series will have linked to it the item records for all the parts/volumes because there will be no analytic records.

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

Analytic is a multipart item

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

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

Anal. MPI Coll. Set Bibl.   Anal. Bibl.   Anal. Bibl.
        | | |
       HR   HR   HR
                                  | |
Anal. Bibl.   Anal. Bibl.   IR   IR
  | |
 HR   HR
  | |
 IR   IR
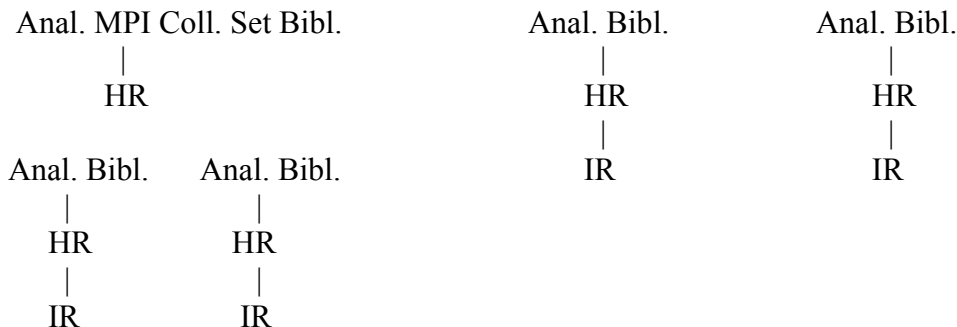
Technical Report Monographic Series

Decisions and series authority record

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

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

to items in Japanese also, even though the items will be in the custody of the Asian Division.)

The Germanic and Slavic Division (GS) will have internal procedures for handling known and possible technical report issues.

Local serial bibliographic record

ST&B staff (and occasionally ASME catalogers) will process new technical report series by creating brief local serial records by using (a) acquisitions records if they are available, or (b) a technical report local serial record template.

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

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

Workflow for creation of a local serial bibliographic record

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

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

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

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

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

b. Accept 008 as coded.
c. Add a missing 130 field if series title needs a qualifier to break a conflict.
d. Add/adjust 260 $ab; delete 260 $c if it is present even if first issue is in hand.
e. Add 500 "Technical report" note via macro "Alt+Shift+F5."
f. As the last note, add 500 "Description based on:" via macro

"Alt+Shift+F4." Use information from the issue to complete the numbering in the 500 note.

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

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

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

       i. Add/adjust 92X field to read:

         (1) $a = acquire
         (2) $b = 1 shelf copy
         (3) $x = policy default

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

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

    2. Modify the holdings record for that bibliographic record.

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

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

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

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

    5. Send publication(s) to custodial location.

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

  C. No serial bibliographic record in the LC Database:

    1. Create serial bibliographic record by using bibliographic template "Techreport.tem."

       a. Code following 008 information (ignore others):

         (1) Place of publication

(2) Language

     b. Give the series title in the 245 field. If a qualifier is needed to break a conflict, add a 130 field with the series title plus a qualifier.

     c. Input 260 $ab; there will be no 260 $c even if first issue is in hand.

     d. Supply height in 300 $c. Do not supply number of volumes in $a and do not supply $b.

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

     e. In 500 "Description based on" note, add information from the issue to give the numbering to complete the note.

     f. Add 710(s) for body(ies).

     g. Complete 955 field by adding appropriate location with cataloger's code and date.

    2. Create holdings record for the bibliographic record.

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

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

    3. Do not create item record(s).

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

    5. Send publication(s) to custodial division.

Contents of template for technical report local serial bibliographic record:

Leader:
  Status =n
  Type = a
  Bib/l = s
  Arch = blank
  Enc/l = 3
  Form = a

008:
  Publication status = u
  Date 1 = uuuu
  Date 2 = uuuu
  Place of publication = ||| [to be filled in by cataloger]
  Frequency = blank
  Regularity = u
  ISSN Center = |

Type of serial = m
Original item = blank
Form of item = blank
Nature of entire work = blank
Nature of contents = blank for all three boxes
Govt. publication = |
Conf. publication = |
Alphabet = |
Type of entry = 0
Language = ||| [to be filled in by cataloger]
Modified record = blank
Cataloging source = blank

906	$a 0 $b bbc $c serials $d u $e ncip $f 19 $g y-gencatlg
92_	$a acquire $b 1 shelf copy $x policy default
955	$a To
130 0	$a
245	$a
260	$a $b
300	$a v. $c
500	$a Technical report
500	$a Description based on:
710	$a

Multiple 050 Fields in Bibliographic Records

In order to have all the assigned call numbers in the shelflist browse index and to have a consistent policy for all multipart item records, multiple 050 fields will be used in all multipart item collected set records when the parts have different call numbers. Serial records already use multiple 050 fields in such situations. The following information, from the CSM: Shelflisting, explains the procedures for multiple 050 fields.

From CSM ILS Supplement Workflow #4 for a new multipart item classified as a collection:

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

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

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

item/monographic series based on those volumes.

        (c) In the multipart item record:

          (i) Give multiple 050 fields containing the different call numbers for the volumes, with the 050 fields in call number order.

          (ii) Ensure that the call number for each collected larger multipart item/monographic series is also given in $l of the 490 for each larger multipart item/monographic series."

From CSM ILS Supplement Workflow #8 for an analytic of a multipart item or monographic series:

    "2.c. Analytics in more than one multipart item/monographic series

      ...

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

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

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

        (c) In the multipart item analytic record:

          (i) Give multiple 050 fields containing the different call numbers for the volumes of the multipart item analytic, with the 050 fields in call number order.

          (ii) Ensure that the call number for each collected larger multipart item/monographic series is also given in $l of the 490 for each larger multipart item/monographic series.

        (d) In the serial analytic record:

          (i) Give multiple 050 fields containing the different call numbers for the volumes of the serial analytic, with the call number for the most current volume as the first 050 field.

          (ii) Ensure that the call number for each collected monographic series is also given in $l of the 490 for each series."

The "Catalog" for Cataloging Purposes *

For all LC catalogers establishing new name, title, and name/title headings, the local

catalog (or "catalog for cataloging purposes") includes authority records and the bibliographic records in the LC database (including old PREMARC records) which have cbc, cbu, rip, rix, par, or vip in 906 $b. For LC catalogers working in OCLC, the "catalog for cataloging purposes" includes the above plus the bibliographic records in the OCLC database.

*The "catalog" is defined as the database against which searching is performed in order to determine conflicts.

New Headings Matching Entries With "[from old catalog]"

If searching in the local catalog in conjunction with establishing a new name, title, or name/title heading finds entries in old PREMARC records for what looks like the same heading plus "[from old catalog]," determine whether the new heading represents the same entity as the old heading with "[from old catalog]."

If the new heading represents the same entity as the old heading with "[from old catalog]":

- Establish the new heading according to the appropriate standards, instructions, and procedures
- Modify the entries in the old PREMARC records as necessary to have the newly established heading and remove the "[from old catalog]" labels.

If the new heading represents a different entity from the old heading with "[from old catalog]":

1. Establish the new heading, including qualifying information to break the conflict between it and the old heading, according to the appropriate standards, instructions, and procedures.
2. Do not modify the entries with "[from old catalog]" in the old PREMARC records.

LC ILS Authority Validation

Saving Bibliographic Records in LC ILS

The prescribed "Bypass Authority Control Validation" setting on the Validation tab of Session Defaults and Preferences in the LC ILS cataloging module (see DCM M6) is "**not checked**" (that is, authority control validation **not** bypassed).

Consequently, the LC ILS runs authority validation on a new or modified bibliographic record before saving it in the LC ILS database and the result is a display like the following:

Authority Validation

Heading	Tag(s)	Validation	Bib Heading	Near Heading
Name	710	Nonexistent Heading	‡a North American Milk Bottle Association.	
Subject	650	Partial Heading Validation	‡a Milk bottles ‡x Collectors and collecting ‡z United States.	‡a Milk bottles [2]
Subject	651	Nonexistent Heading	‡a Untied States.	
Subject	651	Heading Validated	‡a Canada.	‡a Canada

[Create auth] [Retrieve auth] [Copy] [Search...] [Continue] [Close]

Do not rely on this LC ILS authority validation or on information in this display as satisfactory confirmation that headings in the bibliographic record are valid and under authority control. Instead, do that by finding and looking at the authority records for each heading individually and by consulting descriptive cataloging guidelines and subject heading instructions, as necessary. (In many cases, this validation is done in the course of preparations for the new record or modifications.)

This authority validation display can be of assistance in the following ways:

●   If LC ILS authority validation matched a heading with an authority record (fully or partially, through an established heading or through a reference), you can retrieve the authority record and look at it by selecting the heading's line in the authority validation display and clicking "Retrieve auth."

●   In some cases, "Nonexistent Heading" under Validation may be a clue that there is a typographical error in the heading in the bibliographic record. If you determine that is the case, correct the error.

●   In other cases, "Nonexistent Heading" may signal that you need to create an authority record or ask a cataloger to create one. Search to confirm that before initiating creation of an authority record

●   If you are creating the new name authority record, you can initiate the NAR process by selecting the heading's line in the authority validation display and clicking "Create auth." (Also see guidelines in DCM Z1, Appendix for LC Staff, "Authority Generation/Templates/Macros.")

Right-Click Validating Single Headings in LC ILS

You can get a validation message from LC ILS for a single heading field in an LC ILS bibliographic record by selecting the field (that is, by putting the cursor in the gray box to its left), "right clicking" the mouse, and clicking "Validate Heading in this field" from the

resulting choices. Possible results are "This heading is validated" or a browse list of headings from bibliographic and authority records (none exactly matching the selected heading).

Do not rely on either result as satisfactory confirmation that the selected heading is valid and under authority control or not. Instead, obtain that confirmation by finding and looking at the authority record for the heading (for example, by clicking **Record / Retrieve authorities** on the menu bar and then selecting the authority record's line on the resulting list) or by searching to determine that there is no authority record.

Authority Generation/Templates/Macros

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

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

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

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

LAC name authority record procedures for LC catalogers

As of August 2012 LC catalogers creating RDA name authority records will no longer be required to search the LAC name authority file for the personal or corporate name forms.

LC catalogers that continue to create records under the AACR2 rules should continue to search for the LAC form of personal and corporate names using either the Canadiana database available on the web at: http://collectionscanada.gc.ca/canadiana-authorities/index/index?lang=eng or by searching for LAC name authorities in the VIAF (http://www.viaf.org).

When information is found, catalogers should copy and paste the relevant information into an NAR created in the ILS and cite LAC or the VIAF in a 670 with that information.

Examples:
670 ## $a LAC, August 1, 2012 $b (hdg.: _____; variants: _____; other information: _____)

or

670 ## $a LAC in VIAF, August 1, 2012 $b (hdg.: _____;
variants: _____; other information: _____)