

Mode Being Described: **Full Level**

SUMMARY DESCRIPTION

The most complete form of general cataloging done.

RESOURCES APPLIED TO

Those resources not otherwise designated for another mode.

CHARACTERISTICS

Exemplifies the conventions and practices stated in the relevant documentation as applicable, resulting in a record containing a full complement of data elements relevant to the resource being cataloged, including a full description and an accessing structure reflecting both subject and descriptive accesses (02X, 050, 1XX, 240, 245, 4XX, 6XX, 7XX, and 8XX). Access through additional classification (060, 070, 082) and subject heading systems is systematically provided in selected subsets of records.

These are the traditional conventions of bibliographic control developed over time within the United States under the aegis of the library community, particularly the American Library Association, various special library associations, the Library of Congress, the National Agricultural Library, and the National Library of Medicine.

The bibliographic record serves as a surrogate for a particular resource and the aggregate of bibliographic records constitutes the catalog. In general, each bibliographic record contains a description of a resource as a means of identifying it and distinguishing it from other resources. The record contains the means of providing access through various avenues, including author and other entities associated with the resource or bearing a relationship to other resources in the catalog, title (including uniform title to collocate those resources issued under varying titles), series, and subject. Prior to June 1, 2006 decisions about series were made with respect to analysis, classification, and a controlled series access point. Beginning June 1, 2006 the policy has been, with certain exceptions, to analyze in full, classify separately, and not provide a controlled series access point. Subject access is through subject headings and classification. Classification groups resources by topic and is combined with a system of numbering individual resources uniquely for purposes of physical access and inventory control. Headings are under authority control, which insures that particular iterations for authors, etc., subjects, and series are distinct for entities/concepts that are separate but are consistent for multiple iterations of the same entity/concept.

DOCUMENTATION

Descriptive cataloging aspects:

Anglo-American Cataloguing Rules, including the rules for special materials developed for use in conjunction with AACR2
Library of Congress Rule Interpretations
Descriptive Cataloging Manual
CONSER Editing Guide
CONSER Cataloging Manual

Modes of Cataloging Employed
in the Acquisitions and Bibliographic Access Directorate (ABA)

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Subject cataloging aspects:

*Library of Congress Subject Headings
Subject Headings Manual
Free-Floating Subdivisions: An Alphabetical Index
CPSO Summary of Decisions, Editorial Meeting*

Classification/Inventory Control Aspects:

*Library of Congress Classification
Classification and Shelving Manual
Dewey Decimal Classification*

Machine-Readable Cataloging Aspects (MARC):

*MARC 21 Format for Bibliographic Data
MARC 21 Format for Authority Data
MARC 21 Format for Holding Data
MARC Code List for Countries
MARC Code List for Geographic Areas
MARC Code List for Languages
MARC Code List for Organizations
MARC Code List for Relators, Sources, Description Conventions
MARC 21 Specifications for Record Structure, Character Sets, Tapes*

Mode Being Described: **Copy Cataloging**

SUMMARY DESCRIPTION

Cataloging that uses bibliographic records prepared by another agency with limited changes made by LC that relate to accuracy, substance, or retrievability, **not** style.

RESOURCES APPLIED TO

Those resources for which cataloging copy is available from OCLC or other bibliographic databases.

CHARACTERISTICS

Exemplifies the traditional conventions of bibliographic control as stated for **full level**, with the exceptions noted below.

Involves the WYSIWYG concept (what you see is what you get) with modifications made to egregious errors. The record may contain elements that LC does not employ and may not necessarily reflect LC practice in all aspects. Headings are under authority control and should fit into the currently existing heading structure of the catalog. Authority records are created for headings when required. LC does not attempt to ensure that the records adhere to all conventions of full cataloging. Copy cataloging records should contain both an LC call number and at least one LC subject heading in those cases for which LC cataloging policy calls for subject headings.

The value in 008/39 (Cataloging source) is the value appropriate to the library that originally created the bibliographic record. LC adds the code "lccopycat" in field 042 (Authentication code).

DOCUMENTATION

In addition to the documentation cited for **full level**, the following applies:

Descriptive Cataloging Manual B13

VARIATIONS

See the next section on **Encoding Level 7 Copy Cataloging** (EL 7 lccopycat)

Mode Being Described: **Encoding Level 7 Copy Cataloging** (EL 7 lccopycat)

SUMMARY DESCRIPTION

A special form of copy cataloging that was implemented beginning on March 1, 2000. It takes its name from the fact that encoding level 7 (Minimal level) is applied to records imported and done as LC copy cataloging (042 = lccopycat). This allows a section to take a flexible approach to copy cataloging without having a less-complete LC-issued record overlay an existing record in other databases, particularly in OCLC. This allows LC to adjust the complements of name and subject headings without having a negative impact on existing records in other systems. It also allows a section to follow minimal level cataloging conventions with respect to authority work (resulting in the need to create fewer authority records).

RESOURCES APPLIED TO

At the discretion of a section/division.

CHARACTERISTICS

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

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

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

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

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

DOCUMENTATION

Descriptive Cataloging Manual B13.10 (Appendix 7)

Mode Being Described: **PCC Core Level Cataloging**

SUMMARY DESCRIPTION

Cataloging that contains a complement of data elements less than that for full level cataloging but more than that for minimal level cataloging. Details of all the core record standards are provided at: <http://www.loc.gov/catdir/pcc/bibco/coreintro.html>. As that site indicates, "The Core Record Standard for Books was defined in 1994 by a Task Group appointed by the Cooperative Cataloging Council, now known as the Program for Cooperative Cataloging (PCC)." As the site further indicates, subsequent core record standards were developed "by task groups of specialists in the cataloging of non-book format and nonroman alphabet resources. In 2002, the PCC Standing Committee on Standards completed an extensive project to review the original core record standards and to harmonize their contents, language, and presentation style. Differences in requirements among the various cores were retained when deemed appropriate."

RESOURCES APPLIED TO

At the discretion of each PCC member. LC applies core level to records for books (roman and nonroman scripts), printed and manuscript music, music and non-music sound recordings. This application is general except for resources destined for reference assignment or some other level of cataloging such as minimal level.

CHARACTERISTICS

All access points are in authorized forms and supported by authority work. LC applies certain data elements in addition to those called for in the core standards. These additional data elements are as follows:

008 all fixed fields are coded as in full cataloging
024 0 (International Standard Recording Code), if present on resource
041 (Language code)
043 (Geographic area code)
050 (Library of Congress call number) alternate number
082 (Dewey Decimal call number) as applicable
240 (Uniform title) in all cases as applicable
504 (Bibliography note)
in 6XX (subject access) fields, multiple headings may be applied
when needed to represent a compound or multi-element topic,
when reciprocal headings are used, or when a standard array is
prescribed

In addition to limiting notes to those that support identification, as called for in the core standards, LC also includes notes that support completeness (e.g., loose material inserted). For JACKPHY resources, all data occurring in other title information and statements of responsibility are included in full romanization. In fields 100-130, 600-651, and 700-730, paired nonroman script fields are assigned only in cases of problematic romanization or in cases in which such fields support ready identification of a person or entity.

DOCUMENTATION

In addition to the documentation cited for **full level**, the following applies:

Descriptive Cataloging Manual B16

Mode Being Described: **Minimal Level Cataloging (MLC)**

SUMMARY DESCRIPTION

Cataloging that exemplifies limitations in the descriptive, subject, and classification aspects and also in the amount of authority work done.

RESOURCES APPLIED TO

Originally, books assigned a cataloging priority of 4 and books in the processing stream over three years. Subsequently modified to apply to resources at the discretion of divisions/sections as needed for arrearage reduction. Applied also to other types of resources designated to receive a form of minimal level cataloging.

CHARACTERISTICS

Exemplifies the traditional conventions of bibliographic control as stated for **full level**, with the exceptions noted below.

MLC was designed as a means of providing access to 1) resources worth retaining in the collections but not worth the expense of full cataloging and 2) a very large number of resources in arrearages that were unavailable to users. Though represented by a less than full catalog record, it was judged that the power of the online retrieval system would, to some extent, be able to compensate.

The data elements basic to the descriptive aspect (020, 1XX, 245, 250, 260, 300, 490) have always been included. Although some records for books were input prior to the implementation of AACR2, records input after December 31, 1980, generally reflect AACR2. As the MLC program developed, procedures were adopted to insure that headings in MLC records are consistent with headings used in the current component of the online catalog to the extent that the former are represented by an existing authority record or are used in another catalog record in the online catalog. Headings without such representation are formulated according to AACR2. Prior to June 1, 2006, series follow the practice stated in a series authority record or another catalog record; otherwise they are untraced. After June 1, 2006, series are untraced. The goal is to integrate MLC records into the catalog without creating conflicts or discrepancies.

The following is a statement of limitations; see also the section on VARIATIONS for a description of the evolution of this mode.

Variable fields

- 050 instead of classification, a shelf number designed to facilitate compact shelving; provision for classification/call number introduced in November 1990 (see Enhanced MLC under VARIATIONS)
- X30 used after September 1986
- 240 used after September 1986
- 5XX originally none; selected use after September 1986
- 6XX none; provision for limited use introduced in November 1992 (see Enhanced MLC under VARIATIONS)
- 653 provision for uncontrolled subject words introduced in June 1990
- 7XX originally none; provision for one 7XX when main entry under title introduced in 1984; expanded to include 1 7XX when main entry is 1XX and 2 when entry under title in September 1986
- 8XX originally none; 440, 8XX used after September 1986 until June 1, 2006

Mode Being Described: **Minimal Level Cataloging (MLC)** (continued)

Fixed fields

Initially, very limited. In 1984 it was decided to use the BOOKSM file for creating MLC records. Default values were assigned by the input/update system; they remained and may or may not have been correct for a particular resource being cataloged. Values in the following fixed fields are actively assigned to reflect the resource:

Encoding level (originally 5); 7 after September 1986
Language code
Intellectual level ("j" if intended for children through age 16); used after September 1986
Type of date code; used after September 1986
Date of publication--date 1
Date of publication--date 2 as applicable; used after September 1986
Country of publication code; used after September 1986
Form of reproduction code--microforms; used after September 1986; later changed to Form of material; only value used is for microforms

DOCUMENTATION

In addition to the documentation cited for **full level**, the following applies:

Descriptive Cataloging Manual B11 (books)
<http://www.loc.gov/staff/idt/ABAW-P/SER/SER-CAT/CATTYPE-Minimal/pdf> (serials)
Production Level Cataloging for Music, rev. September 1992

Subject cataloging aspects:

Production Level Cataloging for Music, rev. September 1992
Guidelines for Enhanced MLC, rev. March 8, 1993

Classification/Inventory Control Aspects:

Descriptive Cataloging Manual B11 (books)
<http://www.loc.gov/staff/idt/ABAW-P/SER/SER-CAT/CATTYPE-Minimal/pdf> (serials)
Production Level Cataloging for Music, rev. 1992
Guidelines for Enhanced MLC, rev. March 8, 1993

Mode Being Described: **Minimal Level Cataloging (MLC)** (continued)

VARIATIONS

Books

First phase (1980-1983)

In 1980, staff began inputting MLC records for books into the Automated Process Information File (APIF I) using the APIF input/update system under the Multiple Use MARC System (MUMS). Processing Services memorandum, No. 125, September 1982, set forth minimum components for MLC cataloging based on recommendations agreed to by the Association of Research Libraries at a meeting on "National Level Bibliographic Record-Books" in January 1979. There was limited content designation; series classified as a collection and multipart monographs were excluded except for microforms.

Second phase (1984-1985)

Because the APIF system allowed limited content designation and could not accept added entries, the Library decided in 1984 to provide enhanced MLC records (called MLC+) that were created directly in the BOOKSM file. This made it possible to provide full and correct content designation. At the same time it was decided to include the following additional data elements as applicable:

- 1) coding additional fixed fields (juvenile; type of date code; date 2; country of publication code); providing one 7XX when entry under 245; providing 8XX that differ in form from 4XX
- 2) authority work expanded to include that needed to break conflicts.

Third phase (1986-2005) - called Enhanced MLC or MLC +

In 1986 MLC was incorporated into the other duties of descriptive cataloging staff and at the same time various expansions were made:

- 1) the scope was expanded to include multipart monographs classified separately
- 2) the complement of data elements was expanded to include uniform titles (240; X30) and certain kinds of notes; additional added entries (one when main entry is under a 1XX heading and two when main entry is under title)
- 3) the authority work done for MLC was expanded from
 - a) that needed to break conflicts to include tracing a cross reference when the heading used differs significantly from the form in the resource and
 - b) that needed for uniform titles, and provision for some series authority work.

In 1989 records began to be input into an upgraded APIF called APIF II.

Varying practices (1986-2005)

In the years since 1986, MLC has been "enhanced" at different times and in different projects. Such enhancements include:

- 1) in June 1990, began use of field 653 (uncontrolled subject words)
- 2) in November 1992, introduced limited subject/classification aspects, also called "Enhanced MLC,"; usually based on an external source record
 - a) at a minimum an 050 or at least one 6XX; other subject aspects could be supplied (043; fixed fields (conference publication; juvenile; fiction; biography; nature of contents))

Mode Being Described: **Minimal Level Cataloging (MLC)** (continued)

- b) level of subject analysis was at the discretion of a particular section
 - c) whatever level, insured that subject headings used exemplified current subject heading practice
 - d) authority work was done for family names (600 field) and those categories of topical subject headings (650 field) and non-jurisdictional geographic 651 fields that required it
 - e) 050 from an external source record was used or was assigned in a section; when assigned, insured that the class number corresponded to the primary subject of the resource, as shown in the first 6XX field retained from source record or assigned in a section; reflected current practice in all other aspects
- 3) the scope of MLC was expanded to include applying 050 call number to analytics in collected sets, **provided** the analytic were initially designated for MLC.

In 2000 some divisions began using encoding level 7, which had previously been used only for MLC cataloging, in copy cataloging records (see the section "Encoding Level 7 Copy Cataloging (E1 7 lccopycat)" above).

Fourth Phase (2006-

Beginning in July 2006, in a move to lessen the work on hand in anticipation of the ABA reorganization and to reflect LC's change in series policy implemented June 1, 2006, MLC guidelines were revised to limit MLC to the "basic" approach, i.e., to discontinue the approach that provides for giving either an LC call number or a subject heading or both. Providing access through controlled forms of series was discontinued. In addition, the revision incorporated measures in support of storing and preserving resources.

Special categories of MLC

CJK

Books in Chinese, Japanese, and Korean; records input into RLIN and contained both vernacular and roman data; available in LC in JACKPHY read-only file (roman data only); no value set in modified record fixed field. Loaded into the LC ILS in August 2007 upon the incorporation of the Research Libraries Group (RLG) into OCLC.

Overseas offices

The records may contain an internal control number in 025 (Overseas Acquisitions Number), a summary note, and a language note as appropriate; records input prior to 1987 generally contain a full complement of notes and values assigned in the full complement of fixed fields (except that records for resources in nonroman scripts input after July 1985 do not contain value "o" in 008/38 (Modified record).

Pamphlets

The Bound Pamphlet Project is an effort to represent approximately 30,000 pamphlets relating to American history that form various pamphlet collections housed in the Rare Book and Special Collections Division; it is estimated that about 20,000 of these will be MLC records; they contain a regular call number (the LC call numbers assigned to the pamphlets in these collections).

Maps

The basis for these records is the *National Level Bibliographic Record--Maps* as stated in the *MARC 21 Format for Bibliographic Data*; the records contain a regular LC call number followed by a space and the letters "MLC"; limited subject analysis is applied (each record contains at least one 6XX); added entries (except for series) are rarely made; values in the full complement of fixed fields are

Mode Being Described: **Minimal Level Cataloging (MLC)** (continued)

assigned; atlases are excluded from MLC.

Microforms

MicRR - Records for microforms housed in the Microfilm Reading Room were initially prepared and input by staff in the Microform Processing Unit of the MicRR, later transferred to the then Special Materials Cataloging Division (SMCD); records input prior to March 1985 reflect the limitations of APIF I; the records contain a microform shelf number in 050, a physical description fixed field (007), and a reproduction note (533).

**Overseas
offices** -

The records may contain an internal control number in 025 (Overseas Acquisitions Number), a summary note, and a language note as appropriate; in addition, the records contain a microform shelf number in 050 (prior to 1982 the prefixes "SEI" (Indonesia), "SEM" (Malaysia), and "SES" (Singapore) were used in addition to the other components of those numbers), a physical description fixed field (007), and a reproduction note (533); records input prior to 1987 generally contain a full complement of notes and values assigned in the full complement of fixed fields (except that records for resources in nonroman scripts input after July 1985 do not contain value "o" in 008/38 (Modified record)).

PMO -

Records for microform replacement copies of brittle books were prepared and input by staff in the then Preservation Microfilming Office; records input prior to March 1985 reflect the limitations of APIF I; the records contain a microform shelf number in 050, a physical description fixed field (007), and a reproduction note (533); in addition, they contain a note indicating the call number of the macroform that has now been replaced, and may contain a note indicating that a particular type of material (e.g., maps, illustrations) is preserved in a specific LC custodial division. After several years, responsibility for creating these records was transferred to the then Special Materials Cataloging Division (SMCD).

Music

Music resources have traditionally comprised books about music, printed music (scores), and sound recordings. At the request of the Music Division, books about music have never been provided minimal level cataloging. Scores and sound recordings, in addition to full and core levels, have been variously cataloged as "Minimal Level" (through 1990), "Production Level" (through 1999), and "Brief Record" (2000 to date). In general, these workflows have been employed as part of a special project or a unique arrearage reduction effort. The record content and level of authority record support have varied greatly within and among these workflows. These variations, established cooperatively with custodial divisions and the Policy and Standards Division, were the result of independent considerations of the access needs for particular resources.

In general, these less-than-full-level workflows have followed the principles supporting the conventions laid down for other formats. MARC 21 formats for printed music and sound recordings, however, require additional fixed and variable fields not found in other formats. The minimal/production/brief records all employ the additional fields mandatory for the format – although, on occasion, default values substitute for individually determined content. Fixed fields, for instance, include designators for the type of music; variable fields include numeric identifiers not found or employed in

Mode Being Described: **Minimal Level Cataloging (MLC)** (continued)

other formats – publisher or plate numbers, UPCs, International Standard Music Numbers (ISMNs), and so on. The LC classification varies, as it does in full level cataloging, from class + cutter, to class only, to shelf number only (sound recordings). Although the use of note fields varies greatly among the less-than-full-level workflows, the particular workflow is always noted in the final note field, e.g. "Production level cataloging."

Serials

Minimal level serial records were initially created by catalogers in the CONSER Minimal Level Cataloging (CMLC) Section in the then Serial Record Division. In the late 1990's staff in that Section were absorbed into other serial cataloging sections. All records are created on OCLC within the context of the CONSER Program. Existing records are used when available, and if the existing record is a full level record, the level is retained. All headings are either authoritative or in AACR2 form. Subject headings are not given in newly created MLC records but may be found in full level records adapted from OCLC. Numbered series were to have been authoritative until LC series policy changed in 2006. Classification numbers are not given; shelf numbers are used for both printed and microform serials; for printed serials the shelf number begins with the letters "WMLC"; for microforms, the shelf number begins with the word "Microfilm" or "Microfiche."

MLC for serials began with a list of descriptive fields that were to be used in newly created MLC records. Through the use of already existing full level records, catalogers had to be aware of all descriptive fields and soon began using many more descriptive fields in newly created MLC records. Restricting the descriptive fields was not seen as a major time savings.

Subject headings present in existing records used for MLC are retained without verification.

Name headings do not have to be authoritative but must be constructed according to AACR2 and LCRIs. Numbered series were to have been authoritative until LC series policy changed in 2006. Series that were collected under a classification number were out of scope for MLC.

The CMLC Section began with the primary goals of cataloging the Adams arrears and the reproduction microforms. With the completion of the Adams arrears in 1993, the section concentrated on cataloging specific arrears from a number of divisions (e.g., pulp fiction and comic books--Serial Division; slavic serials--European Division; folklife resources--American Folklife Center, etc.) before staff were absorbed into other serial sections.

Mode Being Described: **Collection Level**

SUMMARY DESCRIPTION

Cataloging used to control resources that are unrelated bibliographically but can be represented by a single bibliographic record because of some other unifying factor, such as personal author, issuing body, subject, language, or genre.

RESOURCES APPLIED TO

Individual resources that generally do not warrant the expense of a **full** or **minimal level** record. Examples include resources on similar subjects or geographic areas or collections of pamphlets, ephemera, lesser known languages, etc., which collectively are judged to be of research value.

CHARACTERISTICS

Exemplifies the traditional conventions of bibliographic control as stated for **full level**, with the exceptions noted below.

In addition, the bibliographic record for collection level cataloging provides access to material through subjects and other keywords that best express the unifying feature of the collection or that list information about certain categories of resources not otherwise represented in the catalog.

An appropriate main entry heading (1XX) is given, although the diversity of the resources or collections makes title main entry more likely. Titles are constructed by the cataloger in English and begin with the substantive element describing the collection. Formatted contents notes (505) provide a structured method of recording item-level information within a collection level record. This approach is often used for collections of printed resources, e.g., books, pamphlets, etc. For collections of resources that lack routine bibliographic indicia, the more narrative 520 summary note may be preferred. Subject headings (6XX) and added entries (7XX) are assigned as appropriate to the collection. Headings are constructed according to applicable rules; authority records are created under the same circumstances as for minimal level cataloging. Call numbers are assigned to those resources that are bound and housed in the general collections. Collection level shelf numbers are assigned to those resources housed in special areas designated for collection level cataloging. In some cases, class numbers are used to subarrange resources housed in those areas. Call numbers for collections in the custody of individual area studies and special format divisions are constructed according to guidelines provided by the relevant division.

505: Formal contents notes are made usually only in the case of collections of regular monographic material. For such collections, full contents notes indicating author, title, illustrator (when appropriate), edition (when appropriate), and date of publication are provided. Each piece in the collection is assigned a volume number, which is included in the contents note.

DOCUMENTATION

In addition to the documentation cited for **full level**, the following applies:

Descriptive Cataloging Manual C14