

Update Information  
2015 Update Number 3

<i>DCM</i>	<i>Title</i>	<i>Action/Change</i>
C5	Issues Related to the Physical Condition of a Resource	Revised to update guidelines and workflows for issues encountered at the time of initial receipt, at the time of cataloging, and subsequent to cataloging; includes guidelines for the treatment of preservation facsimiles.
C16	The LC Local Bibliographic Record and Local Data Fields	Revised to update field 925 (Local Selection Decision) to reflect the impact on the field of the decision to change the “keep” default from 2 copies to 1 copy for most U.S. monographs.
Z1	Name and Series Authority Records	Introduction – Added information on when to create a name authority record for a preferred title of the work. Clarified practice with regard to geographic names. Replace.
Z1	Name and Series Authority Records	046 – Special Coded Dates. Updated requirements to use the Extended Date Time Format (EDTF) schema and to supply subfield \$2 edtf in every case. Replace.
Z1	Name and Series Authority Records	1XX – Headings. Added notice of using field tag 151 for Canadian First Nations. Replace.
Z1	Name and Series Authority Records	370 – Associated place. Clarified information on not creating a geographic place name NAR for use in 370 if none exists. Added PCC practice for series authorities. Replace.
Z1	Name and Series Authority Records	381 – Other Distinguishing Characteristics of Work or Expression. Added PCC practice for series authorities. Replace.

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<i>DCM</i>	<i>Title</i>	<i>Action/Change</i>
Z1	Name and Series Authority Records	643 - Series Place and Publisher/Issuing Body. Updated to reflect new MARC fields 264 and 370. Replace
Supplement to the MARC 21 Format for Authority Data	046 Special coded dates	Replace. Updated to add new MARC subfield codes \$q and \$r to the “Do not use” statement.

C5 **Issues Related to the Physical Condition of a Resource**

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## C5.1 ISSUES ENCOUNTERED AT THE TIME OF INITIAL RECEIPT

In general, resources may be damaged or in an unacceptable state at the time they are sent to the Library, resources may be damaged in transport, or resources may be damaged by irradiation treatment. Therefore, it behooves staff who initially receive resources to be aware of these possible conditions and, under certain circumstances, determine whether replacement or other procedures should be initiated before forwarding a resource to the next processing unit.

**C5.1.1 Initially Damaged or in an Unacceptable State**

Examples of this condition are instances of defective and poorly constructed books with torn or loose pages, detached spines, faint or smudged printing, missing pages, upside-down pages, resources that are incomplete, i.e., the pagination does not represent the complete content, etc. In such cases refer to *Invoice Processing* at:

<http://www.loc.gov/staff/1straining/abawflow/acq/acq-invpaycredit/InvoiceProcessing-F.pdf>

**C5.1.2 Damaged in Transport**

Examples of this condition are boxes/resources observed to be damaged or to be damp.

If you find mold, suspect mold, or come across water-damaged materials, one of two courses of action needs to be taken:

- 1) if the collection materials are **WET**: call the Library's Capitol Police at 7-1000 (Yes, the police. The Capitol Police are the start of an established phone contact tree, which includes the Preservation Emergency Response Team [PERT]). Handle wet resources as little as possible, put them in the plastic sealable bags that have been placed in all mail room sections. Wait for a PERT member to arrive to assess the material;
- 2) if the collection materials are **DRY**: contact the Collections Care Section of the Binding and Collections Care Division. Handle the resources as little as possible to prevent potential mold spores from dispersing. Wait for a CCS staff member to arrive to assess the material.

### **C5.1.3 Damaged by Irradiation**

Irradiation can cause plastic to melt, warp, and darken. It can cause pages to stick together, a condition called blocking. It can accelerate the deterioration of printed text and illustrations. If there is a suspicion that resources have been damaged by the irradiation process in transit to the Library, refer to *Processing Materials Damaged by Irradiation* at:

<http://www.loc.gov/staff/lstraining/abawkflow/acq/acq-recproc/ProcessingMatDamagedbyIrradiation-F.pdf>

## **C5.2 ISSUES ENCOUNTERED AT THE TIME OF CATALOGING**

In the course of cataloging resources selected for the Library's collections, issues related to the physical condition of a resource may come to the attention of a cataloging section. It is the responsibility of the cataloging section to call such conditions to the attention of the Binding and Collections Care Division (BCCD).

### **C5.2.1 Communicating with BCCD**

Do this by inserting a "Condition Alert for BCCD (LM G17/19)" slip (824 (2013/03)) (formerly "Binding Instructions for BCCD" slip (824 (2007/08))) in the resource. Check the box preceding the appropriate condition, e.g., "Loose material" in the case of an errata slip. If none applies, check the "Other:" category, and briefly describe the condition to be assessed by BCCD, e.g.:

"Paper appears to be brittle."

"Loose and tattered pages; bindable?"

Fill in all the data under the "RETURN TO:" section of the slip if appropriate. This is especially important if the situation is such that BCCD will need to return the resource to the cataloging section or will need to consult with the section.

### **C5.2.2 BCCD Action**

The Collections Care Section of BCCD, in consultation with the Preservation Reformatting Division, will assess the collection care aspect of the resource and determine what action, if any, is needed. With respect to books, in some cases the condition of the original may be such that it calls for securing a preservation facsimile. (If the need to reformat the resource for preservation is from macroform to microform, BCCD will consult with PSD to determine the best means of having the cataloging adjusted to reflect the preservation format.)

**C5.2.3 Cataloging/BCCD Interaction**

The basis of the cataloging/BCCD interaction is as follows: if the preservation condition is benign, i.e., the preservation treatment does not affect the cataloging, the cataloging is completed and the resource is forwarded for BCCD's attention. If the preservation condition is serious and may even require reformatting to a preservation facsimile, BCCD does the preservation action before cataloging is completed. Once the preservation action is completed, BCCD returns the resource to cataloging and the cataloging is then completed.

*C5.2.3.1 Workflow for benign preservation condition*

If the preservation condition is such that it does not affect the cataloging, e.g., presence of an errata slip to be tipped in, complete the cataloging and communicate the preservation condition to be addressed using the "Condition Alert for BCCD (LM G17/19" slip (824 (2013/03)) as described in DCM C5.2.1.

*C5.2.3.2 Workflow for serious preservation condition*

Serious preservation conditions are illustrated as follows:

- Cover torn and/or detached.
- Resource cannot be opened without damaging pages.
- Pages fractured or broken from the text block.
- Pages fractured or broken with loss of text or visual information.
- Pages cannot be turned without risk of loss of text information.
- Loose and tattered pages; bindable?
- Paper appears to be brittle. (See DCM C5.2.3.3 below)

Use this workflow for any of the conditions described above or for a condition about which there is doubt as to its seriousness. Assure there is an IBC representing the resource, there is an LCCN on the verso of the title page of the resource, and that there is an item barcode in the item record. Fill out a "Condition Alert for BCCD (LM G17/19" slip (824 (2013/03)) as described in DCM C5.2.1, paying especial attention to the "RETURN TO:" section. Track in field 955 of the IBC record that the resource is being sent to BCCD for preservation review (\$a [code] [date] to BCCD for preservation review). Insert the slip and a printout of the bibliographic record in the resource and send to BCCD.

BCCD will assess the preservation condition and determine the appropriate preservation action. If it can be done in BCCD, it will be done and the resource returned to the staff person named in the "RETURN TO" section of the Condition Alert slip. Complete the cataloging and forward the resource as appropriate (it does not need to be routed to BCCD, since the preservation action has already been taken).

If the resource requires reformatting, BCCD will send it for such and track that action in field 955 (\$a [code] [date] sent for reformatting). When the preservation facsimile is returned, BCCD will:

- 1) perform quality assurance and accept the facsimile;
- 2) replicate the item barcode from the item record and affix it to the facsimile;
- 3) dispose of the original;
- 4) return the facsimile to the staff person named in the "RETURN TO" section of the Condition Alert slip.

The cataloging section completes the cataloging. It includes in the bibliographic record a general note (500##\$a Preservation facsimile. \$5 DLC) and a public note in the holdings record 852 field (\$z Preservation facsimile)

### **C5.2.3.3 Possible brittle paper**

Use the workflow in DCM C5.2.3.2 for resources that likely have brittle paper but annotate the Condition Alert slip at the top: Attn: Jeanne Drewes. BCCD will make the final decision. If the paper is judged to be brittle, reformatting is called for.

Usually paper is judged brittle if it cannot withstand a double fold, i.e., it breaks when subjected to a double fold. A double fold is a process of folding a paper sample first backwards and then forwards about the same line, i.e., one complete oscillation.

## **C5.3 ISSUES ENCOUNTERED SUBSEQUENT TO CATALOGING**

### **C5.3.1 General**

On occasion, cataloging sections receive material associated with a particular resource subsequent to its being cataloged, e.g., an errata slip or a request to substitute one or more pages that reflect corrections or revisions. In such cases the general procedure is to obtain the resource involved and refer it, along with the newly received loose material, to BCCD. The Collections Care Section will determine the best means of incorporating the loose material. If the loose material comes in a “do-it-yourself mode,” e.g., an errata slip with self-adhesive backing, do NOT attempt to make use of such a feature. Instead, refer to BCCD and let that Division make the best decision from the preservation perspective.

Specifically, obtain the resource involved. As described in DCM C5.2.1 above, use slip 824 to communicate to BCCD the condition to be addressed. If the resource involved has been charged to the section, include also an “Attention BCCD Discharge Notice” slip (1587 2012/08) (formerly 6-182) to request BCCD to forward the resource to CALM for discharge.

If the resource for which the loose material is associated is an issue of a serial that has not yet been bound, forward the loose material, with a note explaining its origin, to the unit that has custody of the unbound issue (consult the location code in subfield \$b of field 852 in the holdings record). If the location code is “c-GenColl”, the custody is the Serial and Government Publications Division; send the information to: Head, Government Publication & Periodical Section (LS/SER/GP&P).

### **C5.3.2 Preservation facsimile**

This section records the bibliographic conventions applied to a preservation facsimile required to replace a damaged copy that has already been added to the collections. The main difference from the treatment applied in DCM C5.2.3.2 is that the preservation facsimile is distinguished as such in its call number. A cataloging section may or may not be involved in this workflow.

#### *C5.3.2.1 Guidelines for call number of the preservation facsimile*

These guidelines call for retaining the call number assigned to the original and assigning a different call number to the preservation facsimile. This provides for distinguishing each manifestation one from the other and the ability to track each manifestation for inventory purposes.

- 1) Use the call number of the original and add the letter “a” with no space preceding it.

Original	Preservation facsimile
F1786 .M1537 1950	F1786 .M1537 1950a
D524 .O38	D524 .O38a
MLCS 81/00587	MLCS 81/00587a

- 2) If the call number of the original ends in a letter of the alphabet, “reclass” the resource by adding a date to the original number. For the preservation facsimile, add the letter “a” following the date.

Original	Reclassified original	Preservation facsimile
PZ3 .N387 Bu	PZ3 .N387 Bu 1948	PZ3 .N387 Bu 1948a

- 3) If the damaged original is retained or there are other copies held, retain the indicators in the 050 field in the bibliographic record at “00”. If the original is not retained and there are no other copies, set the first indicator in the 050 field to “1” (Not in LC [under this number]).

#### C5.3.2.2

##### *Other guidelines for the preservation facsimile*

- 1) Add to the bibliographic record an 051 field indicating the resource is a preservation facsimile. Give the details of manufacture in parentheses, using square brackets to indicate supplied data, and the size:

051 ## \$a GV877 \$b .S73a \$c Preservation facsimile (Brown’s Summit North Carolina : Etherington Conservation Services, 2008. 20 cm.).

051 ## \$a MLCS 81/00587 \$c Preservation facsimile (Brown’s Summit North Carolina : Etherington Conservation Services, 2008. 20 cm.).

The statement in the 051 field may also include information about material retained from the original, e.g., “Three leaves of original plates retained, in pocket.”

- 2) Create a separate holdings and item record for the preservation facsimile with the appropriate location and new call number. The copy number will be “Copy 1” under the new call number.

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**Elements in the LC Local Bibliographic Record for  
Monographs and Integrating Resources**

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C16.1        GENERAL

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

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

- 1) CONSER Editing Guide, Section E;
- 2) ABA Serials: LC Local Fields Used in Serial Bibliographic Control  
([www.loc.gov/staff/idt/ABAW-P/SER/SER-CAT/CATGEN-LocalFields.pdf](http://www.loc.gov/staff/idt/ABAW-P/SER/SER-CAT/CATGEN-LocalFields.pdf)).

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

- # = blank space
- \$ = subfield delimiter

C16.2 ORDER OF VARIABLE DATA FIELDS

<b>Order of Variable Fields in LC ILS Bibliographic Records</b>	
★ <b>906 (Local Processing Data)</b>	
★ <b>925 (Local Selection Decision)</b>	
★ <b>955 (Local Functional Identifying Information)</b>	
<u>After 906-925-955</u> , order other variable fields in “century blocks”: <b>0XX &gt; 1XX &gt; 2XX &gt; 3XX &gt; 4XX &gt; 5XX &gt; 6XX &gt; 7XX &gt; 8XX &gt; other 9XX.</b>	
0XX (Numbers and codes): 010, 040, etc.	Generally in <b>tag number order</b> – but <b>not required to resequence</b> if imported records have a different order.
1XX (Main entry)	
2XX (Title, edition, imprint, etc.): 240, 245, 260, etc.	In <b>tag number order</b>
3XX (Extent, etc.)	In <b>tag number order</b>
4XX (Series statement): 490 generally	In order as input
5XX (Notes)	Generally in <b>tag number order</b> – but <b>not required to resequence</b> if imported records have a different order.
6XX (Subject & genre access fields)	Generally <b>predominant</b> subject(s) before secondary ones – <b>not</b> necessarily tag number order – as instructed in <i>Subject Headings Manual</i> H 80 and other documentation
70X-75X (Added entry fields)	Generally in <b>tag number order</b> – but <b>not required to resequence</b> if imported records have a different order.
76X-78X (Linking entry fields)	In <b>tag number order</b>
80X-83X (Series added entries)	Passed through, disregarding order. (Generally not input in new records.)
84X-88X (Location, etc.): 856, 880, etc.	In <b>tag number order</b>
9XX (Local fields): 952, 984, etc.	In <b>tag number order</b> – except see above for <b>906-925-955</b>

Ordering 906, 925, and 955 fields as shown above is:

- **mandatory** in new LC ILS records created, derived, or imported **one by one**
- **optional**, not required, in **batch** loaded records and in other circumstances.

Generally accept other variations from the above order created by batch loading processes. See DCM B13.11 for instructions about LC copy cataloging.

C16.3 LOCAL VARIABLE DATA FIELDS—GENERAL INFORMATION

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

When importing records one by one, assess the result of each merger: delete duplicate or wrong local fields inserted by the loading process; add needed local fields that were not provided. (See DCM B13.11 for more guidelines about mergers using Z-Processor, etc.)

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

*Note:* Some local fields and practices described here have no current use. They are identified to clarify their presence in LC records, but this does not authorize their further use.

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

**C16.4.1 Content Designation Summary**

Has same indicators and subfields as MARC 21 field 246.

*First Indicator – Note Controller/Title Added Entry*

**0** : Note, no title added entry [Only value used]

*Second Indicator – Type of Title*

**#** : No information provided [Only value used]

**C16.4.2 General Description and Instructions**

Title needed **locally** as an access point, such as a variant used by a vendor.  
*LC monograph and integrating resource catalogers:* Generally do not change or delete in existing records.

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

C16.5 590: LOCAL NOTE (R)

**C16.5.1 Content Designation Summary**

*First and Second Indicators*

# : Undefined

*Subfields*

**a** : Text of note (NR)

**C16.5.2 General Description and Instructions**

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

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

*LC holdings of multipart (Discontinued):* Before October 2012, LC staff input or updated 590 with LC's local holdings when a copy cataloging record's contents note included parts not held in LC. After September 2012, those notes are no longer added or updated, although some remain in existing records. (See DCM B13.7.2.1 for further information.)

590 ## \$a LC has: pts. 1-2, 4-7 only.  
(Added before October 2012 because 505 listed titles of parts 1-7. Do not imitate.)

LC records exhibit other, discontinued uses of 590. Leave those as found but do not imitate them.

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

**C16.6.1 Content Designation Summary**

*First and Second Indicators*

# : Undefined

*Subfields*

**a** : Text of note (NR)

**C16.6.2 General Description and Instructions**

Local information notes used when LC had different resources **locally** bound together or combined on the same microfilm reel. Has no active uses now in LC. Do not input in new records; generally do not change or delete in existing records.

C16.7 592: LOCAL ACQUISITION NOTE (R)

**C16.7.1 Content Designation Summary**

*First and Second Indicators*

# : Undefined

*Subfields*

a : Text of note (NR)

**C16.7.2 General Description and Instructions**

Notes with LC local acquisition information or handling instructions. Newer LC records more often use acquisitions module notes, but 592 can still be used.

```
592 ## $a Send loose-leaf replacement pages unchecked to ST&B.
592 ## $a order cancelled; Blackwell's reports this title
discontinued.
```

C16.8 859: LOCAL ELECTRONIC LOCATION AND ACCESS (R)

**C16.8.1 Content Designation Summary**

Has same indicators and subfields as MARC 21 field 856.

**C16.8.2 General Description and Instructions**

Electronic location information for a resource not necessarily accessible from LC. Has same information as 856, but does not display in the OPAC. CONSER serial records in the LC ILS and records for some Web resources initiated by LC use 859.

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

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

**C16.9.1 Content Designation Summary**

*First and Second Indicators*

# : Undefined

*Subfields*

a : Visible file entry (NR)

i : Control number (R)

**C16.9.2 General Description and Instructions**

Visible file entry formerly used in LC's manual Serial Record. Appears in a monograph or integrating resource record when there was a pre-ILS serial check-in record for loose-leaf updates. Generally do not change or delete 890 found in those records.

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

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

**C16.10.1 General**

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

**Subfields**

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

C16.10.1.2 *General description and instructions*  
 Data supporting management of bibliographic control and processing of bibliographic records at LC.

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

**C16.10.2 Subfields**

C16.10.2.1 *\$a Distribution controller (NR)*  
 Code controlling whether the Cataloging Distribution Service distributes the record outside LC or not.

<b>0</b>	Do Not Distribute Record	Used in IBC records and others not being distributed outside LC.
<b>7</b>	Distribute Record	Used in completed records ready for distribution outside LC.
<b>p</b>	Never Distribute Record	Used in some classified map records and some visual material records.

C16.10.2.2

*\$b Local record completion state (NR)*

Code indicating (a) the state of the record with respect to whether its cataloging has been completed or not or (b) support of a function other than cataloging.

<b>acq</b>	Acquisition Support Record	Record supporting acquisitions but not cataloging or circulation
<b>bbc</b>	Basic Bibliographic Control	a) Completed less-than-full record for a serial that LC does not retain or retains non-permanently, or b) Former SERLOC record that failed to merge with a serial bibliographic record
<b>cbc</b>	Completed Bibliographic Control	(a) Completed full, core, LC BSR, or minimal level bibliographic record, or (b) Completed CIP pre-publication cataloging
<b>cbu</b>	Completed Bibliographic Control (Unverified)	Completed record that was “unverified” in MUMS before it migrated to LC ILS – Changed to “cbc” if the record is updated
<b>cir</b>	Circulation Support Record	Record supporting circulation but not acquisitions or cataloging
<b>ibc</b>	Initial Bibliographic Control	Record still in its “initial” state, with all or some of its intended cataloging not yet completed
<b>par</b>	Partial Bibliographic Control	Record with some aspect(s) of processing beyond IBC completed, but other aspect(s) not yet completed  <b>Optionally</b> used by sections with <b>local</b> determination of what it means – <i>Examples include but are not limited to:</i> <ul style="list-style-type: none"> <li>• Descriptive work completed but subject work not yet completed</li> <li>• Cataloging except authority work completed</li> </ul>
<b>rip</b>	Revised CIP Cataloging/Revised CIP Data	CIP cataloging revised prior to the resource’s publication for which revised CIP data should be sent to the publisher
<b>rix</b>	Revised CIP Cataloging/No Revised CIP Data	CIP cataloging revised prior to the resource’s publication for which revised CIP data should not be sent to the publisher
<b>vip</b>	CIP Verification in Process	Record with CIP verification in process or being initiated for a resource that has been received – Changed to “cbc” when completed
<b>und</b>	Undetermined	

C16.10.2.3

*\$c Local processing workflow (NR)*

Code indicating the "cataloging stream" in which the record was created or that ABA needs to count for statistics.

<b>acqwork</b>	Acquisition Processing Stream	
<b>copycat</b>	LC Copy Cataloging Stream	042 = " <b>lccopycat</b> "
<b>gpocoop</b>	GPO Cooperative Cataloging Stream <i>(obsolete)</i>	See DCM E1.7.1
<b>muzenew</b>	Compact Disc Workflow (IBCRs using MUZE data)	
<b>nccpada</b>	NCCP Adapt	<ul style="list-style-type: none"> <li>Record for a resource <b>in LC</b></li> <li>042 has "<b>lnccp</b>"</li> <li>See DCM E1.6</li> </ul>
<b>nccpuna</b>	NCCP Unadapt	<ul style="list-style-type: none"> <li>Record for a resource <b>not in LC</b></li> <li>042 has "<b>lnccp</b>"</li> <li>See DCM E1.6</li> </ul>
<b>nucmaps</b>	NUC Maps Stream	<ul style="list-style-type: none"> <li>Record for cartographic resource based on National Union Catalog record</li> <li>042 has "<b>lnuc</b>"</li> </ul>
<b>oclrpl</b>	OCLC Replacement Record	<ul style="list-style-type: none"> <li>Record from OCLC replacing a less complete record from PREMARC</li> <li>042 has "<b>premarc</b>" <b>until</b> record is evaluated and updated based on LC card(s) and headings are changed to current forms</li> </ul>
<b>origcop</b>	LC Copied from LC	Record with LC original cataloging based on another LC record
<b>orignew</b>	LC Original Cataloging	Record with LC original cataloging created from scratch
<b>origode</b>	LC Original ODE Cataloging	<ul style="list-style-type: none"> <li>Record with LC original cataloging created in an overseas office</li> <li>042 has "<b>lcode</b>"</li> </ul>
<b>origres</b>	LC Original Resource-File-Based Cataloging	Record with LC original cataloging based on a record in an internal or external resource file
<b>pccadap</b>	PCC Adapted Cataloging	<ul style="list-style-type: none"> <li>Program for Cooperative Cataloging record adapted for a resource <b>in LC</b></li> <li>042 has "<b>pcc</b>"</li> </ul>

<b>pccunad</b>	PCC Unadapted Cataloging	<ul style="list-style-type: none"> <li>• Program for Cooperative Cataloging record for a resource not in LC, or for a resource in LC but not completely processed</li> <li>• 042 has “<b>pcc</b>”</li> </ul>
<b>premunv</b>	PREMARC Unverified Record	Record (excluding “ <b>oclcrlpl</b> ” records) “unverified” in PREMARC before migration to LC ILS and <b>not</b> evaluated and updated based on LC card(s), nor headings changed to current forms
<b>premver</b>	PREMARC Verified Record	<ul style="list-style-type: none"> <li>• Record (excluding “<b>oclcrlpl</b>” records) “unverified” in PREMARC before migration to LC ILS, but evaluated and updated based on LC card(s)</li> <li>• Headings flagged with “[from old catalog]” <b>until</b> evaluated and updated to current forms</li> </ul>
<b>serasst</b>	Non-PCC Copy	<ul style="list-style-type: none"> <li>• LC serial or integrating resource record processed in OCLC using a non-PCC record that LC PCC-authenticated for the first time</li> <li>• Used beginning October 13, 2009</li> </ul>
<b>sercoop</b>	PCC Copy	<ul style="list-style-type: none"> <li>• LC serial or integrating resource record processed in OCLC using a record already PCC-authenticated by another institution</li> <li>• Used beginning October 13, 2009</li> </ul>
<b>serials</b>	Serial or Integrating Resource Bibliographic Record	<ul style="list-style-type: none"> <li>• <b>Beginning October 13, 2009:</b> LC serial or integrating resource record for which no other ser**** code applies</li> <li>• <b>Before October 13, 2009:</b> <ul style="list-style-type: none"> <li>• LC CONSER serial records, and also serial records created in LC ILS for discards, etc.</li> <li>• LC integrating resource records with Leader/07 “<b>i</b>” created in OCLC</li> </ul> </li> </ul>
<b>serorig</b>	Originally Cataloged Serial or Integrating Resource	<ul style="list-style-type: none"> <li>• LC serial or integrating resource record cataloged originally in OCLC and PCC-authenticated by LC</li> <li>• Used beginning October 13, 2009</li> </ul>
<b>serlocs</b>	SERLOC Serial Control Record	Serial control record migrated from SERLOC, containing selection and location information
<b>serprem</b>	PREMARC Serial Record	Record representing a serial migrated from a monograph record in PREMARC (still a monograph in LC ILS or serial 008 converted automatically)
<b>srrepla</b>	Sound Recording Replacement	<ul style="list-style-type: none"> <li>• IBC record for a sound recording, created for OCLC batch matching</li> <li>• Later changed to “<b>copycat</b>” (if OCLC had copy) or “<b>orignew</b>” (if LC did original cataloging)</li> </ul>
<b>undeter</b>	Undetermined	

C16.10.2.4

*\$d Priority (NR)*

Priority assigned to the processing of the resource.

<b>1-4</b>	Priorities 1-4
<b>5</b>	Priority 5 (No longer assigned)
<b>u</b>	Undetermined

C16.10.2.5

*\$e CIP/PCN flag (NR)*

Code indicating whether LC's Cataloging in Publication (CIP) or Preassigned Card Number (PCN) programs created the record.

<b>ecip</b>	Originally an electronic CIP record
<b>epcn</b>	Originally an electronic PCN record
<b>ncip</b>	Not originally either a CIP or PCN record
<b>ocip</b>	Originally a CIP record
<b>opcn</b>	Originally a PCN record
<b>unde</b>	Undetermined

C16.10.2.6

*\$f Century flag (NR)*

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

<b>18</b>	1800-1899
<b>19</b>	1900-1999
<b>20</b>	2000-2099

C16.10.2.7

*\$g Stakeholder code (NR)*

**C16.10.2.7.1**

**General**

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

**C16.10.2.7.2**

**Maintenance prefix**

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

<b>n-</b>	Staff do not do maintenance completely within LC ILS, usually because the "master" record is in another system (for example, LC CONSER serials in OCLC) and staff do maintenance there.
-----------	-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

<b>y-</b>	Staff do maintenance completely within LC ILS according to established guidelines.
<b>z-</b>	Cataloging staff do not do maintenance, because the record supports a function other than cataloging (for example, acquisitions).

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

**C16.10.2.7.3**

**Complete Stakeholder Code**

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

<b>ilsserca</b>		Should be <b>z-ilsserca</b>
<b>n-geogmaps</b>	Geography and Map Division, LC Local <i>(Obsolete)</i>	Use “y-geogmaps” in new records
<b>n-oclserc</b>	Acquisitions and Bibliographic Control, serials cataloging and integrating resources cataloging staff, Record created and maintained in OCLC	LC CONSER serial record or integrating resource record with Leader/07 “i,” with national level information created and maintained in OCLC and local data elements in LC ILS
<b>n-rlinjack</b>	Acquisitions and Bibliographic Control, JACKPHY Record Maintained in RLIN 21 until August 18, 2007	<ul style="list-style-type: none"> <li>• Record for a JACKPHY language resource initially input in RLIN 21 but <b>now maintained in the LC ILS</b>, despite the “n-” prefix</li> <li>• Changed to “y-rlinjack” in Chinese and Japanese records reloaded during JACKPHY migration to LC ILS (but may still be “n-rlinjack” in KHAPY language records)</li> <li>• See DCM M3.3.2.5 about maintaining records and C16.10.2.7.2 about updating 906 \$g code</li> </ul>
<b>n-undeterm</b>	Stakeholder Undetermined, No Regular Maintenance	
<b>y-folklife</b>	American Folklife Center	
<b>y-gencatlg</b>	Acquisitions and Bibliographic Control, General Cataloging	General cataloging by LC staff not covered by any of the other stakeholder codes

<b>y-gencompf</b>	Acquisitions and Bibliographic Control, electronic resources cataloging staff	Non-serial record for an electronic resource
<b>y-genmicro</b>	Acquisitions and Bibliographic Control, microforms cataloging staff	Non-serial record with 007 and “h” (microform) in 007/00
<b>y-genmusic</b>	Music Division, Bibliographic Access Section	Record created by LC music catalogers, with one of the following in Leader/06: “c” (printed music), “d” (manuscript music), “i” (nonmusical sound recording), or “j” (musical sound recording)
<b>y-genrareb</b>	US/Anglo Division, Rare Materials Section	Record created by LC rare materials catalogers or linked with some holdings record(s) for location <b>c-RareBook</b> or <b>c-LLRBR</b>
<b>y-geogmaps</b>	Geography and Map Division	Superseded “ <b>n-geogmaps</b> ”
<b>y-ilsserca</b>	Acquisitions and Bibliographic Control, serials cataloging staff, LC Non-CONSER (Record not Created/Maintained in OCLC, but Subject to Regular Maintenance)	<ul style="list-style-type: none"> <li>• Record for a serial that migrated from PREMARC or is a merger of records from PREMARC and SERLOC</li> <li>• Not used currently in new records</li> </ul>
<b>y-manuscri</b>	Manuscript Division	
<b>y-movingim</b>	Motion Picture, Broadcasting, and Recorded Sound Division, Moving Image Section Processing Unit	Record with “g” (projected medium) in Leader/06.
<b>y-nonroman</b>	Acquisitions and Bibliographic Control, Nonroman Record Maintained in LC ILS	<ul style="list-style-type: none"> <li>• Monograph record containing nonroman script initially input in LC ILS and maintained in LC ILS, or an existing LC ILS record to which nonroman script has now been added</li> <li>• Used after LC JACKPHY cataloging migrated from RLIN to LC ILS on August 20, 2007</li> <li>• See DCM M3.3.2.5 about maintaining records</li> </ul>
<b>y-printpho</b>	Prints and Photographs Division	Record with “k” (two dimensional nonprojectable graphic) in Leader/06

<b>y-rlinjack</b>	Acquisitions and Bibliographic Control, JACKPHY Record Maintained in LC ILS	<ul style="list-style-type: none"> <li>• JACKPHY language record initially input in RLIN 21 but now maintained in LC ILS</li> <li>• Used after LC JACKPHY cataloging migrated from RLIN to the LC ILS on August 20, 2007</li> <li>• See DCM M3.3.2.5 about maintaining records and C16.10.2.7.2 about changing “n-rlinjack” to “y-rlinjack”</li> </ul>
<b>y-soundrec</b>	Motion Picture, Broadcasting, and Recorded Sound Division, Recorded Sound Section Processing Unit	
<b>y-undeterm</b>	Stakeholder Interest Undetermined, Regular Maintenance	Regular maintenance done by usual procedures
<b>z-acqworks</b>	Acquisitions and Bibliographic Access, acquisitions use	
<b>z-cadworks</b>	Copyright Acquisitions Division (CAD)	
<b>z-ilsserca</b>	Acquisitions and Bibliographic Control, LC Local Serials Acquisition Control (Record NOT Subject to Regular Maintenance)	Serial non-CONSER basic bibliographic control record created in LC system with LC selection and location information Serial IBC records until cataloged
<b>z-noregmai</b>	No Regular Maintenance	

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

**C16.11.1 Content Designation Summary**

*First and Second Indicators*

# : Undefined

*Subfields*

**a** : Selection decision (R)

**C16.11.2 General Description and Instructions**

In older records, used (a) for selection information or (b) for note “LC HAS REQ'D # OF SHELF COPIES” as part of processing added copies. No active uses now.

Input selection information in **925** fields in new records. Generally do not change or delete 920 fields found in existing records. Instead of changing selection information in 920, record new or changed selection information in 925. Generally do not create a new 925 for the same selection decision as in an existing 920.

*Examples of former practice (Do not imitate):*

920 ## \$a Keep 1

920 ## \$a sg18 10-17-94; DO NOT ACQUIRE per Law Library Selection  
Office; retained for vertical file only 12-13-95

920 ## \$a \*\* LC HAS REQ'D # OF SHELF COPIES \*\*

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

**C16.12.1 Content Designation Summary**

*First and Second Indicators*

# : Undefined

*Subfields*

**a** : Book source acquisition information (R)

**C16.12.2 General Description and Instructions**

In older records, used for source of material code, other acquisition information, or code “lccopycat” for some former copy cataloging pilots. No active uses now.

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

*Examples of past practice (Do not copy):*

922 ## \$a ax [*source = Exchange*]

922 ## \$a NOT AVAILABLE VIA PURCHASE OR EXCHANGE

922 ## \$a lccopycat

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

**C16.13.1 Content Designation Summary**

*First and Second Indicators*

# : Undefined

*Subfields*

**a** : Additional information (R)

**d** : Formatted date (NR)

**n** : Shipment/invoice number (NR)

**s** : Supplier (NR)

**C16.13.2 General Description and Instructions**

Local shipment and invoice information, including acquisition shipment and/or invoice number, identification of the supplier, and date. Multiple 923 fields may appear for different shipments, invoices, or suppliers.

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

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

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

**C16.14.1 General**

*C16.14.1.1 Content designation summary*

**First Indicator–Current Decision**

- 0 : Current decision
- 1 : Former decision

**Second Indicator**

- # : Undefined

**Subfields**

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

*C16.14.1.2 General description and instructions*

Information related to selection of the resource for LC use.

Mandatory in new bibliographic records that represent **published** resources, but not in those for resources that are unique, such as manuscripts and rare books. Generally do not create a new 925 for the same selection decision as in 920 already present in a **completed** record

*Changes in selection information:* LC staff most often record changes in selection information by modifying the existing 925 for the current decision. Field 925 is repeatable and the first indicator allows using paired 925 0# and 925 1# for changed decisions; but that is an option sometimes applied in individual cases, not prescribed practice. **But see DCM C16.14.3.3.**

**C16.14.2 Subfields**

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

Mandatory, standard statement of decision to retain or not in LC.

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

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

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

**C16.14.2.2**                      *\$b Number of shelf copies/sets desired (NR)*  
 Statement of number of copies LC has decided to retain.  
 Mandatory when subfield \$a has an “acquire” decision. Absent when subfield \$a has “do not acquire” or “undetermined.”

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

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

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

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

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

**C16.14.2.5**                      *\$e Comment related to selection decision (R)*  
 Information concerning the selection decision that is not better  
 recorded in another subfield of 925.

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

**C16.14.2.6**                      *\$x Responsibility for selection decision (NR)*  
 Mandatory statement of who is responsible for making the  
 selection decision recorded in subfield \$a (preferably followed by a date).

<b>“policy default”</b>	decision is based on general LC policy, not made actively by a selection officer	925 0# \$a acquire \$b 1 shelf copy \$x policy default
<b>initials</b>	selection/recommending officer made or changed decision (see officers’ initials at: <a href="http://www.loc.gov/staff/cpc/recommending.html">www.loc.gov/staff/cpc/recommending.html</a> )	925 0# \$a acquire \$b 1 shelf copy \$x jpm 2005-02-14 925 0# \$a do not acquire \$x KCC, 2011-05-10



(this procedure is called the “retrospective” (retro) workflow). The present statement records the conventions used to indicate various conditions under the ASC procedures in field 925.

The change to a single-copy policy applies to monographs in the general collections, to those in the custody of the Humanities and Social Sciences Division’s Machine-Readable Collection, and to those in the Law Library.

Note that the following portions of the General Collections are exempt from the single-copy policy for monographs and continue to be handled under a “keep 2 copies” selection practice for American imprints (except for materials that were previously keep 1). These exemptions apply both to new receipts and to retrospective existing titles.

CR: Heraldry  
CS71: Genealogy  
DU620-629: Hawaii  
DU640-647: Northern Mariana Islands and Guam  
DU819: American Samoa  
E (entire class): U.S. History  
F below 1,000: U.S. local history (including Hawaii, Puerto Rico, and the U.S. territories that are classed elsewhere)  
F1951-1983: Puerto Rico  
F2096: St. Croix (United States Virgin Islands)  
F2098: St. John (United States Virgin Islands)  
F2105: St. Thomas (United States Virgin Islands)  
F2136: United States Virgin Islands  
HF: commerce  
HG: finance  
HJ: public finance  
JJ: political institutions and public administration (North America)  
JK: political institutions and public administration (United States)  
Z (entire class): Bibliography, Library Science, Information Resources (General)  
Subject encyclopedias and dictionaries  
Additionally, all monograph titles that are selected for reference assignments are selected in 2 copies

The exempt titles in law are mainly in classes KF and KI; they are managed by the USPRLL Law Section.

*C16.14.3.2 NEW WORKFLOW (resources being newly received)*

**C16.14.3.2.1 Non-Exempt title**

925 0# \$a acquire \$b 1 shelf copy \$x policy default

This formulation is used in some Voyager templates and in electronic workflows (ECIP; EPCN). For Z-Processor, the software will check the target record for an 050 field, and if one is present will set the 925 subfield \$b according to whether the class is non-exempt or exempt. If no 050 is present, subfield \$b will be set to “1 shelf copy”.

Should an SO determine that 2 copies of a non-exempt title should be selected, that decision is justified by the selection officer’s initials and the date:



925 0# \$a acquire \$b 2 shelf copies \$x policy default (ex.)

There may be times when an SO needs to determine the selection and manually adjust the 925:

925 0# \$a acquire \$b 2 shelf copies \$x Sel/rjc, 2014-04-21

Note the SO's initials are sufficient justification. Conversely, there are situations when, even though the class is exempt, an SO determines to keep only 1 copy.

925 0# \$a acquire \$b 1 shelf copy \$x Sel/rjc, 2014-04-21

Note again that the SO's initials are sufficient justification. If any explanation is needed, selectors will use subfield \$e (Comments related to sel.) to provide it.

### C16.14.3.3

#### *RETROSPECTIVE WORKFLOW (retro)*

This is the workflow in which already existing ASCs are assessed and withdrawn according to the guidelines for the retro workflow. An ASC is retained if it is involved in a reference situation, is deacidified, or national holdings are minimal as determined by a search of OCLC. The standard guideline is that if there is an existing 925 field it is modified to show that it is the previous selection policy and a new 925 showing it is the current selection policy is created. If no 925 is present, only a current 925 reflecting the current selection policy is used.

#### C16.14.3.3.1

##### **Non-exempt title**

925 0# \$a acquire \$b 1 shelf copy \$x policy default  
925 1# \$a acquire \$b 2 shelf copies \$x policy default  
[1 copy is withdrawn; HR and IR set accordingly]

An RO requests to retain in RR or a reference collection:

925 0# \$a acquire \$b 2 shelf copies \$x ROI, 2014-03-10 (ref.)

An RO requests to retain in c-GenColl for content:

925 0# \$a acquire \$b 2 shelf copies \$x ROI, 2014-03-10

An ASC is retained because it has been deacidified:

925 0# \$a acquire \$b 2 shelf copies \$x policy default (deacid.)

In the retro workflow candidates for withdrawal are searched in OCLC and if holdings there are below a certain number, the LC ASC is retained:

925 0# \$a acquire \$b 2 shelf copies \$x policy default (minimal  
hldgs.)

#### C16.14.3.3.2

##### **Exempt title**

Exempt titles will not be reviewed as part of the retro process.

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

**C16.15.1 Content Designation Summary**

*First and Second Indicators*

# : Undefined

*Subfields*

**a** : Cataloger's note (NR)

**C16.15.2 General Description and Instructions**

Information primarily of interest to cataloging staff, often concerning sources consulted or record modifications that were made or should be made. See DCM B9 for instructions on using 952 and cataloger's permanent notes in LC records.

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

**C16.16.1 General**

*C16.16.1.1 Content designation summary*

**First and second indicators**

# : Undefined

**Subfields**

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

*C16.16.1.2 General description and instructions*

**Charge statements** (see C16.16.1.3) recording information of two kinds:

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

For the latter, 955 has subfields \$b-\$m, \$t, and \$w defined for different stages of the cataloging workflow that have been completed (see C16.16.6). ABA managers derive statistical reports from data in those subfields. Units outside ABA, especially those with incompatible workflows, do not use these subfields.

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

C16.16.1.3

*Field 955 charge statements*

In each 955 charge statement, input the following elements in the following order:

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

Following those, when appropriate, also input:

- 3) information about where item was sent and for what action.

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

ABA staff input different charge statements in separate subfields without semicolons between them. Units outside ABA may input all charges in one 955 \$a separated by semicolons.

955 ## \$b jg02 2003-01-08 \$c jg02 2003-01-08 to subj. \$d jg16  
2003-01-14 \$e jg08 2003-01-14 to Dewey  
*(Current practice in ABA)*

955 ## \$a kklo 2001-07-18 in p&p; kklo 2001-07-23 to aale; aale  
2001-07-30 to p&p storage  
*(Acceptable practice outside ABA)*

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

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

**C16.16.2**

**Tracking Locations of In-Process materials**

Location information in a 955 charge represents either:

- 1) location where an action is done or location which accepts the item in custody—represented by staff/section code at *beginning* of statement; or
- 2) location to which an item is sent for custody, assistance, etc.—represented by “to” and destination (for example, “to BCCD”) at the **end** of the statement.

Input a “to” location when discharging an item from your section and sending it to another unit. It is **optional**, not mandatory, to track “to” locations between different persons or actions in the same section.

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

- ... \$d jj10 2005-02-07 to shelflisting ...  
(After subject cataloging, someone **optionally** tracked submitting item for shelflisting in same section)
- ... \$d zq03 2005-04-06 \$e zq99 2005-04-11 to BCCD  
(After subject cataloging, someone did not track submitting item for shelflisting in same section. After shelflisting/end-stage processing, someone **mandatorily** tracked sending item to BCCD)

See DCM B5 Appendix 1 (section B5.6.3.3) about when to charge in-process monographs and integrating resources and who should charge them. See DCM B6 about referring items for cataloging assistance.

*Example*

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

**C16.16.3 Tracking Added Copies**

“Added copy” here is a copy of a resource received after another copy was received for processing (as tracked in the first 955). Track receipt of an added copy in subfield \$a in an additional, temporary 955 field with a message about where it is sent, for example:

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

Track completion of added copy processing in 955 \$t (see C16.16.6.11) and delete temporary 955 fields for added copies at that time.

**C16.16.4 Tracking added volumes**

“Added volume” here is part of a resource received after other part(s) were received for processing (as tracked in the first 955). Track receipt of added volumes in subfield \$a in additional, temporary 955 fields with messages about where they are sent, for example:

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

Track completion of added volume processing in 955 \$c and delete temporary 955 fields for added volumes at that time.

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

**C16.16.5 Identifying Functional Aspects of Cataloging**

When you complete a cataloging function, input a charge (per C16.16.1.2-C16.16.1.3) in its corresponding 955 subfield (see C16.16.6 about \$b-\$m, \$t, and \$w). Input an “umbrella” subfield covering multiple functions (such as subfield \$i) when the same person does them all.

... \$i cc17 2005-01-16 ...  
not ... \$c cc17 2005-01-16 \$d cc17 2005-01-16 ...  
(Same person did whole item cataloging, that is,  
descriptive and subject cataloging)

There is **no** 955 subfield for review during cataloging and there is no requirement to record review in 955. Sections may **choose** to record reviewers' identities informally in subfield \$a following the work reviewed.

... \$c zz92 2005-02-14 \$a zz90 2005-02-16 (rev.) ...  
(Someone did descriptive cataloging; someone reviewed  
that)

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

### *Examples*

955 ## ... \$i sb15 2004-05-14 \$e sb21 2004-05-20 ...  
(Subfield \$i tracks whole item cataloging. Subfield \$e  
here tracks **shelflisting and end-stage processing**)

955 ## \$a ... \$i le03 2002-04-23 \$e le02 2002-04-23 ... \$f le28  
2003-06-03 to BCCD  
(Subfield \$i tracks whole item cataloging and subfield  
\$e tracks **shelflisting** by someone else. Subfield \$f  
tracks CIP verification and CIP verification end-stage  
processing, followed by routing to BCCD)

## **C16.16.6 Subfields**

### *C16.16.6.1 \$a Tracking information (R)*

Used in ABA for location tracking, for messages about processing, or for processing not covered by other 955 subfields. (Before October 2008, also used in ABA for IBC processing, added copies, and Dewey Decimal Classification. Used for functional tracking charges before \$b-\$m, \$t, and \$w were defined.)

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

955 ## \$b zz17 2008-10-24 \$a zz00 2008-10-24  
(Subfield \$b tracks IBCR processing. Subfield \$a  
tracks the item's location still in that section)

955 ## \$b zz21 2008-11-01 \$i zz07 2008-11-05 \$a zz01 2008-11-06  
(rev.) ...  
(Subfield \$b tracks IBCR processing. Subfield \$i  
tracks whole item cataloging, and subfield \$a tracks  
someone's review of the whole item cataloging)

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

*C16.16.6.2                    \$b IBC/BBC processing (R)*  
Tracking for Initial Bibliographic Control (IBC)/Basic Bibliographic Control (BBC) processing by any means, such as creation in LC ILS, derivation from an existing record, adaptation of a vendor record, or import from an external source.

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

*C16.16.6.4                    \$d Subject cataloging (R)*  
Tracking for subject cataloging, along with shelflisting and end-stage processing done at the same time. Also used for subject cataloging in added volumes processing. Used for Children's and Young Adults' Cataloging Program subject cataloging of juvenile materials. Sections may also use 955 \$d for the subject aspect of copy cataloging, if they choose.

955 ##                    ... \$c lf06 2001-09-08 \$d lf07 2001-10-05 to lb00 \$d  
lb04 2001-11-30 ...  
(First subfield \$d tracks completion of subject  
cataloging; second one tracks CYA subject cataloging)

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

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

955 ##                    ... \$i v115 2008-09-10 \$e xz34 2008-10-16 to USPL/CL ...  
\$f xz17 2008-12-27 to BCCD  
(Subfield \$e tracks CIP pre-publication shelflisting;  
subfield \$f tracks CIP verification and end-stage  
processing)

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

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

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

955 ##                    ... \$h sj05 2004-11-30 \$e sj11 2004-11-30 to shelf  
(Subfield \$h tracks completion of minimal level  
cataloging)



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

**C16.17.1 Content Designation Summary**

*First and Second Indicators*

# : Undefined

*Subfields*

**a** : Publisher contact name/phone (R)

**b** : Miscellaneous note (R)

**c** : Congressional loan legend (R)

**C16.17.2 General Description and Instructions**

Temporary data used in Cataloging-in-Publication (CIP), Preassigned Card Number (PCN), and International Standard Serial Number (ISSN) records. Subfield \$c contains information to indicate item is needed on a priority basis by Congress.

For CIP and PCN records, 963 is deleted when 263 (Projected Publication Date) is deleted because published item has been received and cataloging completed.

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

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

952 ## $a II check ill. 1b10 10-31-03
963 ## $a Cindy Howle; phone: 212-414-3646; email:
      Cindy.Howle@us.penguin.com $b II
```

For ISSN records, 963 is deleted from pre-publication records once an issue of the serial is received. For post-publication records (issue accompanies ISSN request), 963 may be retained optionally for future reference.

```
963 ## $a eml_davis@yahoo.com
963 ## $a abjna@scihub.org
```

C16.18 984: LOCAL SHEFLIST COMPARE STATUS (R)

**C16.18.1 General**

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

**Subfields**

**a** : Comparison file (NR)

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

**b** : Note (NR)

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

*C16.18.1.2 General description and instructions*

Indication that LC staff or contractors compared record's holdings and/or item records with data from an LC manual inventory file, completing Shelflist Compare (see *Classification and Shelflisting Manual, ILS Supplement, Appendix A: [www.loc.gov/staff/aba/psd/SCMSLApA.html](http://www.loc.gov/staff/aba/psd/SCMSLApA.html)*) or procedures for another local file.

Do not delete 984 found in an existing record. Do not add or modify 984 except as part of doing Shelflist Compare or other file comparison procedures.

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

C16.19 985: LOCAL RECORD HISTORY (R)

**C16.19.1 General**

*C16.19.1.1 Content designation summary*

**First and Second Indicators**

# : Undefined

**Subfields**

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

*C16.19.1.2 General description and instructions*

Information about record source, loading, and maintenance.

Generally, do not delete or change 985 found in an existing record.

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

**C16.19.2 Subfield \$g PREMARC maintenance history (NR)**

One or more codes indicating content designation checks, data validation, and other enhancements made on a **PREMARC** record or on specified field(s) in one.

Code appended to a MARC field tag indicates maintenance on that field rather than the entire record. Fourth digit following field tag and preceding code identifies which occurrence of that field got maintenance. (For example, “7002cd” indicates content designation checked in record’s *second* 700.) Blank spaces separate multiple codes.

<b>cd</b>	Content Designation Checked (appended to a MARC field tag)	Checked only content designation in indicated <i>field</i>
<b>dv</b>	Data Validated (appended to a MARC field tag)	Checked data in indicated <i>field</i>

<b>dvc</b>	Data Validated as Current	Confirmed data in <i>record</i> or indicated <i>field</i> as more current than that on any card (explaining discrepancies between card and online record)
<b>enh</b>	Full Content Designation Checked	Upgraded PREMARC <i>record</i> completely
<b>fcd</b>	Full Content Designation Checked	Checked content designation of all fields in <i>record</i>
<b>fdv</b>	Full Data Validated	Validated all data in <i>record</i>

```

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

C16.20 987: LOCAL CONVERSION HISTORY (R)

**C16.20.1 General**

*C16.20.1.1 Content designation summary*

**First and Second Indicators**

# : Undefined

**Subfields**

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

*C16.20.1.2 General description and instructions*

Temporary information about record's conversion status, for purposes of Pinyin Conversion Project and potential future projects.

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

Generally do not delete or change 987 found in existing records.

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

**C16.20.2 Subfields**

*C16.20.2.1 \$a Romanization/conversion identifier (NR)*  
Identification of project ("PINYIN" for Pinyin Conversion Project).

*C16.20.3.2 \$b Agency that converted, created, or reviewed romanization/conversion (NR)*  
MARC code for agency performing or reviewing data conversion.

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

C16.20.3.4\$d

*Status code (NR)*

Mandatory code indicating degree to which project converted or reviewed information in record.

<b>c</b>	Record Fully Romanized	All eligible data converted (by cataloger or machine process)
<b>n</b>	Record Processed but Not Converted	No eligible data machine-detected in record
<b>r</b>	Record Requires Manual Review	Some data perhaps not machine-converted

C16.20.3.5

*\$e Version of conversion program used (NR)*

Identification of version of conversion program applied.

C16.20.3.6

*\$f Note (NR)*

Free text information about status of data conversion in record.

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

**C16.21.1 Content Designation Summary**

*First and Second Indicators*

# : Undefined

*Subfields*

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

**C16.21.2 General Description and Instructions**

Local location information used to generate LC ILS holdings records.

There are some current uses, such as by Geography and Map Division, reference collections, and LC's overseas and Copyright offices, and staff involved in those have authorization and training to input and change 991. Otherwise, generally do not input 991 in new records and do not change or delete 991 in existing records (usually left over from migration to LC ILS).

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

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

**C16.22.1 Content Designation Summary**

*First and Second Indicators*

# : Undefined

*Subfields*

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

**C16.22.2 General Description and Instructions**

Local routing and temporary location information extracted from LC's former ACQUIRE and SERLOC files. Does not generate LC ILS holdings records but only stores migrated data. Do not input 992 in new records. Generally do not change or delete 992 found in existing records.

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

C16.23 LEADER, 008, AND 006  
 See *MARC 21 Format for Bibliographic Data* for most information. See [www.loc.gov/staff/aba/psd/interp.pdf](http://www.loc.gov/staff/aba/psd/interp.pdf) for interpretation examples if you read character strings for Leader, 008, and 006 directly from LC ILS record displays.

**C16.23.1 Leader and 008**

Leader/06 (Type of record)	Generally do not change in existing records (see DCM M3.3.5).
Leader/07 (Bibliographic level)	See DCM M3.3.6 for permissible changes in existing records.
Leader/18 (Descriptive cataloging form)	Generally use “i” (ISBD punctuation) and 040 \$e rda in new records. <i>Exception:</i> Use “a” (AACR2) in new records if you are cataloging resources that LC by policy still describes according to AACR2.  In existing records, keep other codes as found unless you change cataloging <b>completely</b> (description as well as access points) to current standards.
008/38 (Modified record)	Do not use values “d”, “s”, or “x” in new LC records.
008/39 (Cataloging source)	<b>New LC records:</b> “#” (“national bibliographic agency”) <b>Imported copy:</b> Accept codes as found, but change “u” to “d”.

**C16.23.2 006 Field in LC Integrating Resource Records**

New LC records for **non-textual** (Leader/06 **not** “a”) integrating resources that are **continuing** in nature require 006 fields with the **elements shown in bold** below.

<b>006/00 (Form of material)</b>	Use “s” (“serial/integrating resource”).
<b>006/01 (Frequency)</b>	Use <b>MARC 21 code</b> (same as 008/18).
006/02 ( <i>Regularity</i> )	<i>No attempt to code</i>
<b>006/04 (Type of continuing resource)</b>	<b>Updating database:</b> “d” <b>Updating Web site:</b> “w” <b>Updating loose-leaf:</b> “l”
006/05 ( <i>Form of original item</i> )	<i>No attempt to code</i>
<b>006/06 (Form of item)</b>	<b>Updating database:</b> “o” (“online”) <b>Updating Web site:</b> “o” (“online”) <b>Updating loose-leaf:</b> <i>no attempt to code</i>
006/07 ( <i>Nature of entire work</i> )	<i>No attempt to code</i>
006/08-10 ( <i>Nature of contents</i> )	<i>No attempt to code</i>
006/11 ( <i>Government publication</i> )	<i>No attempt to code</i>
006/12 ( <i>Conference publication</i> )	<i>No attempt to code</i>

<i>006/16 (Original alphabet)</i>	<i>No attempt to code</i>
<b>006/17 (Entry convention)</b>	Use “ <b>2</b> ” (“integrating entry”).

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## INTRODUCTION

These instructions address the creation and update of name and series authority records (NARs and SARs). 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 that 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 authorized access points, variants, and recording information, NACO participants and LC catalogers not working in the LC Database may make use of all records in the file against which the searching and cataloging is being done: OCLC, British Library, SkyRiver, etc. NACO participants may choose to use only LC records found in the file being searched. For LC catalogers working in the LC Database, the file is the set of records comprising the “LC database” (see the 670 section of this document). In this document, “database” refers to whatever file is being used for searching and cataloging.

Use this document (DCM Z1) in connection with RDA: Resource Description and Access, *Library of Congress-Program for Cooperative Cataloging Policy Statements (LC-PCC PS)*, and other sections of the *Descriptive Cataloging Manual (DCM)*. This document 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 covers the following topics:

- Name authority records (NARs)
- Series authority records (SARs)
- Justification of access points and elements
- NACO normalization
- Should an SAR be made?
- How many SARs should be made?
- Series Statement appears only on ECIP data view at galley stage
- Priorities for series/multipart items
- Searching series

### Name authority records (NARs)

A name authority record has the following basic contents: 1) the authorized access point

(MARC 21 field 1XX), 2) the sources for justification of the authorized access point, including additions that are part of the authorized access point, variant access points, some identifying elements, and 3) any related access points used to express relationships (MARC 21 fields 4XX/5XX). Additional information may be recorded in fixed fields (008) and in note areas of the authority record (MARC 21 fields 667, 675 or 678). Optional MARC fields such as 046 and 3XX may also be given. 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, topical subject headings, or geographic features. Under RDA, a name may be used and an authority record may be created for entities that were formerly only used as subjects such as, family names, fictional characters and non-human entities (e.g., animals) when these purport to be responsible for the creation of, contribution to, etc. a work or expression.

Generally, make a name authority record for any person, corporate entity (including geographic), or family name that may be used as an access point in a bibliographic record, whether the name is actually first used as a descriptive or subject access point. Under certain LC workflow procedures, e.g., Minimal Level Cataloging, an authority record may not be created for every access point assigned.

NACO libraries are not obligated to contribute authority records for every access point generated by their cataloging. However, any NAR contributed to the LC/NAF must have all necessary elements of the access point 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 of those headings may not be used in bibliographic records.

All bodies added to the NAR to reflect a relationship with the 1XX ; e.g., if an entity is entered independently and a variant form is given through a higher body or bodies, the higher body/bodies needs 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 even if that name is not used on a bibliographic record.

All names and corporate bodies used in a related entry (5XXs) must also be represented in the authority file. For example, when establishing a name for an author who uses a pseudonym, or a corporate heading representing an earlier and later change of name, the cataloger 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.

**Jurisdictional names used as additions to a 1XX must also be established before they can be used. For example, when using the name of a city as a qualifier for a corporate body, the city must be represented in the authority file.**

Certain elements of a name/title access point must also be established; e.g., when an NAR for the conventional collective 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 titles of works or expressions are listed below:

For titles or name/titles, an authority record is often made when one or more of the conditions listed below applies. Apply these criteria to each element of the full access point (main title, language, part, etc.) and make a separate authority record for each element that meets the criteria.

- (1) a reference will be traced on **that** authority record; or,
- (2) research done to establish that heading must be recorded; or,
- (3) the heading is needed for a related work access point or subject entry and the related work is not represented by a bibliographic record in the LC database, or, for serials, by a CONSER record in OCLC; or,
- (4) certain information needs to be recorded, e.g., citation title for a law.

Note: Currently, authority records are **not** automatically created for each element of a uniform title heading e.g., when creating a name/title NAR for an expression record such as: Queneau, Raymond, \$d 1903-1976. \$t Fleurs bleues. \$l English it is not necessary to create an NAR for the work record: Queneau, Raymond, \$d 1903-1976. \$t Fleurs bleues.

LC/PCC catalogers may contribute name authority records for works or expressions as needed for cataloging.

Authority records for works and expressions may also be created even if none of the four criteria listed above applies, e.g., when considered important to record identifying elements in 3XX fields.

An authority record for a name/title or a title access point is not required when the preferred title of the work and the title of the expression manifested are the same or would be the same due to normalization. An authority record may be created for these expressions but 4XXs that represent the original work should not be added regardless of whether they are represented by existing NARs or 1XX/245 combinations.

*Example:*

100 1# \$a Allende, Isabel. \$t Eva Luna. \$l English  
BUT NOT

400 1# \$a Allende, Isabel. \$t Eva Luna

*(Variant not added because that form represents the authorized access point for the work)*

*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, make an authority record for the name/title referred from if such a record had not been made in

accordance with the above guidelines.

*Series authority records (SARs)*

NOTE: Series authority record policies in this section were formulated in the context of AACR2 cataloging. This documentation will be changed when the PCC makes new SAR policies in the context of RDA.

*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.

### *Justification of access points and elements*

The preferred form of name or title, additions in the authorized and variant access points, and other identifying elements recorded in the 046 or 3XX fields generally should be justified using one of the methods described in the 046 and 670 sections of this document. When the information recorded is obvious from the 1XX form or the 670 field for the work for which the authority record is being established, additional justification is not needed. When updating an authority record, additional justification is not needed if already present or obvious in the existing fields. For example, if the preferred title for the work is *Best short stories*, it is not necessary to provide additional justification when recording "Short stories" as a form of work recorded in the 380 field.

For specific information about justification of data recorded in a 046 or a 3XX, see the instructions for that field and the 670 section in this document.

### *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 the authorized access point 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 related authority records, catalogers are urged to refrain from making unnecessary changes to 1XXs. Although there are guidelines in the RDA instructions and/or LC-PCC PSs 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 the authorized access point or in a variant

access point is 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, preferred 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 a primary access point, and title proper do not require changes to authority records created for CIP items.

### NACO normalization

When a new authority record is added to the authority file or when a new field is added to an existing NAR, each new access point is compared against access points already in the file to determine whether the new access point is adequately differentiated from existing authorized access points. All partners 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/aba/pcc/naco/normrule-2.html>

Briefly, the process of normalization removes all 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 the name differs from the authorized form of the name as an access point. For example:

Authorized form:	Île-de-Montréal (Québec)
Normalized form:	ILE DE MONTREAL QUEBEC

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

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

Authorized form:	Chung-hui
Normalized form:	CHUNG HUI

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

**Authorized access points.** If access points 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 after exhausting all remedies identified in RDA, create an undifferentiated personal name authority record. The authorized access point 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 access point on bibliographic records for the first author: Ku, Chün.

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

**Variants.** Do not trace a 4XX variant that normalizes to the same character string as an existing authorized access point in the 1XX in the LC/NAF, including the access point in the record to which the variant is made. This policy also applies to the *optional* linking variants to forms of the name created under previous cataloging rules. If a linking variant and the access point in the same record normalize to the same form, do not trace a 4XX linking variant.

4XX variant access points are allowed to conflict across records, but a 4XX variant access point should not conflict with another 4XX on the same record. Apply these guidelines to variants on new authority records and to existing authority records when making some other change to the record.

### *Should an SAR be made?*

NOTE: Series authority record policies in this section were formulated in the context of AACR2 cataloging. This documentation will be changed when the PCC makes new SAR policies in the context of RDA.

Series authority records should not 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?*

NOTE: Series authority record policies in this section were formulated in the context of AACR2 cataloging. This documentation will be changed when the PCC makes new SAR policies in the

context of RDA.

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
    Jahrhundert 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)*

NOTE: Series authority record policies in this section were formulated in the context of AACR2 cataloging. This documentation will be changed when the PCC makes new SAR policies in the

context of RDA.

## (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

NOTE: Series authority record policies in this section were formulated in the context of AACR2 cataloging. This documentation will be changed when the PCC makes new SAR policies in the context of RDA.

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; if 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.

**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 **the Extended Date Time Format (EDTF) schema in all cases except for centuries**; supply dates using the pattern yyyy, yyyy-mm, or yyyy-mm-dd. See date table in LC-PCC PS 9.3.1.3.

## Examples:

```
046 ## $f 1884-10-11$g 1962-11-07 $2 edtf
100 1# $a Roosevelt, Eleanor, $d 1884-1962
670 ## $a When you grow up to vote, 1932: $b t.p. (Eleanor
Roosevelt (Mrs. Franklin D. Roosevelt))
670 ## $a Wikipedia, July 21, 2010 $b (Eleanor Roosevelt;
Anna Eleanor Roosevelt; born Oct. 11, 1884 in New
York City in Manhattan; died Nov. 7, 1962)

046 ## $s -0199~ $2 edtf
100 0# $a Hellanicus $c (Grammarians), $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 $2 edtf
100 1# $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)

046 ## $f 1960 $2 edtf
100 1# $a Reser, David W., $d 1960-
670 ## $a Toward a new beginning in cooperative cataloging,
1994: $b CIP t.p. (David W. Reser, Regional &
Cooperative Cataloging Division; Library of
Congress; Washington, D.C.) data sheet (b. 1960)
```

But:

```
046 ## $s 20
100 1# $a Dudgeon, Tim
670 ## $a Bioceramic coatings for medical implants, 2015:
$b t.p. (Hans D. Lehmann) back cover (Hans D.
Lehmann, organic chemist, Diploma in chemistry
from Martin Luther University Halle-Wittenberg,
Germany)
```

Subfield \$2 - Source of date scheme

**Always** add subfield \$2 edtf **except after a century**.

Subfields \$q - Establishment date, \$r - Termination date, \$s - Start period, and \$t - End period

Until further notice do not use subfields \$q - Establishment date or \$r - Termination date, continue to use subfield \$s and subfield \$t for start and end periods for corporate bodies.

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.

Example:

```
100 1# $a Lazzarini, Sérgio G.
372 ## $a Industrial relations $2 lcsb $v Lazzarini, Sergio G.
CV-English, viewed Feb. 22, 2012 $u
http://www.sergiolazzarini.insper.edu.br/indexelazza.html
```

670 ## \$a Capitalismo de laços, 2011: \$b t.p. (Sergio G. Lazzarini)

*Subfield \$u and \$v not defined*

Subfields \$u and \$v are not defined for use in these fields: 377, 380, 382, and 384. Provide a 670 if needed to justify information recorded in one of those fields.

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## 1XX Headings

### General

LC/PCC catalogers should consult the *PCC Post RDA Test Guidelines* at: <http://www.loc.gov/aba/pcc/rda/PCC%20Post%20RDA%20Test%20Guidelines.html> for instructions on using RDA and/or AACR2 in new and existing authority records.

When modifying an authority record for any 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 related authority records, catalogers are urged to refrain from making unnecessary changes to 1XXs.

### NARs

#### Canadian Headings: RDA

As of August 2012 LC and PCC catalogers creating RDA name authority records are not required to search Library and Archives Canada (LAC) to determine the form of the authorized access point for either personal or corporate names. In cases of conflict, etc. a search for the LAC form of name may be conducted in the VIAF (viaf.org) or other databases. **Note that as of April 2015, all Canadian First Nation entity names should be coded as 151 to align with the instructions for U.S. Tribal entities in LC-PCC PS 16.4.1.**

### SARs

NOTE: All series information recorded in DCM Z1 is under review by the PCC

*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 form of qualifier may be corrected; choice of qualifier is accepted as found. If you are not a CONSER participant, notify the CONSER Coordinator ([lhaw@loc.gov](mailto:lhaw@loc.gov)) if an error is discovered; use the correct heading on the SAR.

**370 Associated Place**General

For jurisdictions or other place names with authority records in the LC/NAF, use the authorized access point form as found. The form of place name in 370 may differ from the form of place name added to a preferred name of place or an access point per RDA and LC-PCC PS instructions.

## Examples:

Geographic name in LC/NAF with type of jurisdiction:

151 ## \$a Washington (State)

Form of name in 370:

370 ## \$f Washington (State) \$2 naf

Form of name as an addition in an access point: Wash.

110 2# \$a Childhood Lead Poisoning Prevention Program  
(Wash.)

Form of name as part of preferred name of a local place:

Wash.

151 ## \$a Seattle (Wash.)

Geographic name with other designation in LC/NAF:

151 ## \$a Korea (South)

Form of name in 370:

370 ## \$c Korea (South) \$2 naf

Form of name as an addition in an access point: Korea

110 2# \$a Masa Pangmulgwan (Korea)

Form of name as part of preferred name of a local place:

Korea

151 ## \$a Seoul (Korea)

Geographic name in LC/NAF with larger jurisdiction:

151 ## \$a Shiner (Tex.)

Form of name in 370:

370 ## \$a Shiner (Tex.) \$2 naf

Form of name as an addition in an access point: Shiner,  
Tex.

130 #0 \$a Gazette (Shiner, Tex.)

Geographic name in LC/NAF:

151 ## \$a United States

Form of name in 370:

370 ## \$c United States \$2 naf

Form of name as an addition in an access point: U.S.

110 2# \$a National Institutes of Health (U.S.)

Other place name in LC/NAF:

110 2# \$a Auschwitz (Concentration camp)

Form of name in 370:

370 ## \$a Auschwitz (Concentration camp) \$2 naf

Other place name in LC/NAF:

```

110 2# $a Heathrow Airport (London, England)
Form of name in 370:
370 ## $a Heathrow Airport (London, England) $2 naf

```

If no authorized access point exists in the LC/NACO Authority File for the **jurisdiction**, it is not necessary to create a NAR in order to code the 370 field. Use the RDA preferred name for the place, but note that when there is no authorized source, a subfield \$2 cannot be added. **For non-jurisdictions prefer names from an authorized vocabulary such as LCSH and identify the source in subfield \$2. If the name is not found in an authorized vocabulary, record it in field 370 without giving a subfield \$2 (it is not necessary for SACO participants to submit a subject heading proposal.)**

**When determining when to create a name authority record for a geographic name consult *DCM Z1 Introduction*, fourth indented paragraph under the section that starts with the statement “NACO libraries are not obligated to contribute authority records for every access point generated by their cataloging.”**

### Subfield \$2 – Source of term

Indicate the source of the place name in subfield \$2 as appropriate.

Example:

```

Geographic name in LCSH:
151 ## $a Whidbey Island (Wash.)
Form of name in 370:
370 ## $a Whidbey Island (Wash.) $2 lcsch

```

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.

### Practice for Series Authorities

**Record the place of origin of the work in field 370, unless it is merely a place of publication or other place associated with a manifestation (use field 643, when appropriate, for the latter). Although the “place of origin” of a serial work may be the same as the place of publication of the component part for which the SAR (or serial bibliographic record) was created, use judgment in distinguishing between place of origin of the work and a place of publication not actually related to the work itself.**

### 381 Other Distinguishing Characteristics of Work or Expression

#### General

NACO institutions must notify LC's Cooperative Projects Section ([naco@loc.gov](mailto:naco@loc.gov)) before beginning to add field 381 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](http://www.loc.gov/aba/pcc/rda/PCC%20RDA%20guidelines/RDA%20in%20NARs-SARs_PCC.pdf)

Associated bodies (such as a publisher) used in the 1XX as an Other distinguishing characteristic of the work) should be recorded in field 381 rather than as an Associated group in field 373.

#### Subfield \$u - Uniform Resource Identifier and Subfield \$v - Source of the Information

It is not necessary to add subfield \$u or subfield \$v to give information that is also found in a 670 field in the NAR. When giving information from a source that is not cited in a 670 field in the NAR, subfield \$u or subfield \$v is required, as follows:

Use subfield \$u if giving a URI for the source.

Use subfield \$v if not giving a URI for the source; give only the information that would be given in a 670 subfield \$a.

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**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 260/264 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 260/264 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.

**When recording the place of origin of the work, use field 370.**

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.)

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## 046 Special Coded Dates

### NACO:

046 may be supplied in name/series authority records in the LC/NACO Authority File.

Do not use subfields:

**\$q, \$r, \$6 or \$8**

### SACO:

Contact LC's Policy and Standards Division ([policy@loc.gov](mailto:policy@loc.gov)) before using field 046.

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### LC:

#### NAMES/SERIES:

046 may be supplied in name/series authority records in the LC/NACO Authority File.

Do not use subfields:

**\$q, \$r, \$6 or \$8**

#### SUBJECTS:

Contact the Policy and Standards Office ([policy@loc.gov](mailto:policy@loc.gov)) before using field 046.

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