

Update Information
2009 Update Number 1

<i>DCM</i>	<i>Title</i>	<i>Action/Change</i>
	Table of Contents	Revised to reflect cancellation of B10 (Minimal Level Cataloging - Monographs), now covered by B11. Revised to reflect cancellation of B12 (Minimal Level Cataloging - Serials), now covered by section B6.2.3 of the <i>CONSER Editing Guide</i> and online documentation at: http://www.loc.gov/staff/idt/ABAW-P/SER/SER-CAT/CATTYPE-Minimal.pdf There is a slight change in title to DCMs B11 and C16.
B11	Minimal Level Cataloging: Books	Revised to reflect the ABA reorganization of October 1, 2008.
C16	The LC Local Bibliographic Record and Local Data Fields	C16.1 revised to update the URL. C16.10.2.2 revised to reflect a change in the definition of the code "par" used in subfield \$c of field 906.
E1	Cataloging Streams/Initial Bibliographic Control: Books	Revised to reflect the ABA reorganization, the change in LC series policy, and to document the development of CIP Program Partners. Guidelines related to STARS reporting removed.
M4	Serial versus Non-serial Cataloging Treatment in LC	M4.2, M4.4.1, M.4.4.2 revised to update URLs.
Z1	Name and Series Authority Records	Title page revised to reflect change in name. Appendix for LC Staff revised to reflect the ABA reorganization and to incorporate information previously in BWTDs 5 and 29.

DESCRIPTIVE CATALOGING MANUAL
Table of Contents

Page 1
rev. Feb. 2009

HISTORICAL NOTE ON DESCRIPTIVE CATALOGING	A1
WEEKLY HOURS REPORT	A2
TERMINOLOGY	B4
CATALOGING BASICS (DESCRIPTIVE CATALOGING ASPECT)	B5
Appendix 1: Workflows	
Appendix 2: Instructions for Using the STARS Slip	
Appendix 3: In-Process Records	
Appendix 4: Searching	
Appendix 5: Guidelines for Language Codes; Government Publication Codes	
Appendix 6: Nonroman Scripts/Data	
Appendix 7: New Input	
Appendix 8: Collections Management Information in Bibliographic Records	
REFERRING/FORWARDING	B6
CATALOGER'S NOTES (952 FIELD) (MONOGRAPHS)	B9
MINIMAL LEVEL CATALOGING – MONOGRAPHS	B10
[replaced by DCM B11 in 2008]	
MINIMAL LEVEL CATALOGING (MLC): BOOKS	B11
MINIMAL LEVEL CATALOGING – SERIALS	B12
[replaced by http://www.loc.gov/staff/ldt/ABAW-P/SER/SER-CAT/CATTYPE-Minimal.pdf in	
2008]	
COPY CATALOGING MANUAL	B13
PROCEDURES FOR CATALOGING RARE MATERIALS	B14
MINIATURE BOOKS	B15
CORE LEVEL CATALOGING	B16
Appendix 1: Summary of Priorities and Cataloging Levels	
Appendix 2: Data Elements Constituting LC Core Level Cataloging—Books (Roman Catalog Records)	
Appendix 3: Data Elements Constituting LC Core Level Cataloging—Books (JACKPHY Catalog Records)	
Appendix 4: Data Elements Constituting LC Core Level Cataloging—Printed and Manuscript Music	
Appendix 5: Data Elements Constituting LC Core Level Cataloging—Music and Non-Music Sound Recordings	

DESCRIPTIVE CATALOGING MANUAL
Table of Contents

Page 2
rev. Feb. 2009

COPY-SPECIFIC DATA ELEMENTS: GENERAL AND RARE BOOK CATALOGING	B17
BOOKS WITH ACCOMPANYING ELECTRONIC RESOURCES	B18
DRAFT INTERIM GUIDELINES FOR CATALOGING ELECTRONIC RESOURCES	B19
BOOKS AND SCORES WITH ACCOMPANYING SOUND RECORDINGS	B20
BOOKS WITH ACCOMPANYING VIDEORECORDINGS	B21
CATALOGING PRIORITIES AND LEVELS OF CATALOGING	C1
LCCN RESTRUCTURING TO ACCOMMODATE CENTURY CHANGE [DESKTOP]	C3
ISSUES RELATED TO THE PHYSICAL CONDITION OF AN ITEM	C5
PROVIDING GUIDELINES FOR DIVIDING LARGE UNBOUND OR SOFTBOUND VOLUMES BEFORE BINDING	C6
RECORDS FOR SELECTION DECISION; RECORDS RETAINED FOR AUDIT TRAIL; SURPLUS COPIES	C7
PROCEDURES APPLICABLE TO MATERIALS STORED AT FT. MEADE	C8
MULTIPART ITEMS AND ADDED VOLUMES	C12
RECORD/CATALOG MAINTENANCE (BIBLIOGRAPHIC RECORDS) [replaced by DCM M3 in February 2006]	C13
COLLECTION-LEVEL CATALOGING	C14
CANCELING BIBLIOGRAPHIC RECORDS [Draft] [replaced by DCM M3 in February 2006]	C15
THE LC LOCAL BIBLIOGRAPHIC RECORD AND LOCAL DATA FIELDS	C16
BOOKS ISSUED IN FASCICLES	C17
2A CATALOGING	C18
ANNOTATED CARDS FOR CHILDREN'S LITERATURE	D6
REFERRAL FOR LANGUAGE EXPERTISE [Draft]	D7
CATALOGING IN PUBLICATION PROCEDURES	D8

Appendix 1: Scope of the CIP Program
Appendix 2: Selection Decision ("Do Not Acquire")

DESCRIPTIVE CATALOGING MANUAL
Table of Contents

Page 3
rev. Feb. 2009

Appendix 3: Guidelines for Including Tables of Contents in Bibliographic Records
Appendix 4: Copyright Acquisitions Division (CAD) Activities Under the ILS

PROCEDURES FOR HANDLING IMPERFECT COPIES D22

DELETION OF INITIAL ARTICLES D25
[replaced by Appendix E, AACR2 in 2002]

CATALOGING STREAMS/INITIAL BIBLIOGRAPHIC CONTROL E1

USING ALREADY EXISTING RECORDS FOR IBC E2

Appendix 1: Guidelines for Using Z-Processor
Appendix 2: Data Manipulations for Origcop for a CIP Record Upgraded Externally
Appendix 3: Data Manipulations for Copycat
Appendix 4: Data Manipulations for Pccadap
Appendix 5: Data Manipulations for Origres
Appendix 6: Data Manipulations for Z-Processor Editions

COPYRIGHT PAPERBACK COLLECTION E3

LINKING BIBLIOGRAPHIC RECORDS FOR MICROREPRODUCTIONS TO RECORDS
FOR ORIGINALS (MONOGRAPHS) M1

BIBLIOGRAPHIC AND AUTHORITY DATABASE MAINTENANCE IN THE LC ILS M3

SERIAL VERSUS NON-SERIAL CATALOGING TREATMENT IN LC M4

LIBRARY OF CONGRESS SERIES POLICY M5

RECOMMENDED SESSION DEFAULTS AND PREFERENCES IN THE LC ILS CATALOGING
MODULE M6

THE LC ILS MARC RECORD VALIDATOR M7

PREMARC FILE/PREMARCS REPLACEMENT PROCESS (PRP) S1

NAME AND SERIES AUTHORITY RECORDS Z1

HEADINGS FOR CERTAIN ENTITIES Z11
[replaced by Appendix 1, DCM Z1 in 2005]

DESCRIPTIVE CATALOGING MANUAL
Minimal Level Cataloging (MLC): Books

Interim Draft *B11 Page 1*
rev. Feb. 2009

B11.1	PURPOSE AND SCOPE OF DCM B11	4
B11.2	WHAT IS MLC?	4
B11.3	HOW DOES A RESOURCE BECOME MLC?	4
B11.4	WHAT TYPES OF MLC ARE THERE?	4
B11.5	HOW TO RECOGNIZE AN MLC RECORD	5
B11.6	PRINCIPLES GOVERNING MLC	5
B11.7	GUIDELINES RELATED TO SCOPE	5
B11.7.1	General	5
B11.7.2	Atlases	5
B11.7.3	Books With Accompanying Material	6
B11.7.4	Brittle Books	6
B11.7.5	Genealogical Material	6
B11.7.6	Handbook of Latin American Studies (HLAS)	6
B11.7.7	Integrating Resources/Looseleaf For Updating	6
B11.7.8	Law Material	6
B11.7.9	Loose Material Within A Resource	6
B11.7.10	Loose Pages	6
B11.7.11	Miniature Books	6
B11.7.12	Monographic Series Classified As A Collection	6
B11.7.13	Multipart Monographs	6
B11.7.14	Physical Aspects	7
<i>B11.7.14.1</i>	<i>Books with accompanying material</i>	<i>7</i>
<i>B11.7.14.2</i>	<i>Brittle books</i>	<i>7</i>
<i>B11.7.14.3</i>	<i>Loose-leaf publications</i>	<i>8</i>
<i>B11.7.14.4</i>	<i>Loose material within a resource</i>	<i>8</i>
<i>B11.7.14.5</i>	<i>Loose Pages/Thin material</i>	<i>8</i>
<i>B11.7.14.6</i>	<i>Miniature books</i>	<i>8</i>
<i>B11.7.14.7</i>	<i>Special format material</i>	<i>8</i>
<i>B11.7.14.8</i>	<i>Spiral bound material</i>	<i>9</i>
B11.7.15	Rare Material	9
B11.7.16	Reference Assignment	9
B11.7.17	Serials	9
B11.7.18	Special Cataloging Conditions	9
B11.7.19	Special Format Material	10
B11.7.20	Spiral Bound Material	10
B11.7.21	Supplements, Etc.	10
B11.7.22	Thin Material	10

B11.7.23	Unbound Material	10
B11.7.24	Unusual/High Research Value	10
B11.8	MLC RECORDS IN THE CONTEXT OF THE LC ILS DATABASE	10
B11.8.1	General	10
B11.8.2	Name Headings And Authority Records Encountered When Doing Full Cataloging	10
B11.8.3	Serials And Unanalyzable Multipart Monographs	11
<i>B11.8.3.1</i>	<i>Serials</i>	11
<i>B11.8.3.2</i>	<i>Unanalyzable multipart monographs</i>	11
B11.8.4	SEARCHING AND AUTHORITY WORK	11
B11.8.4.1	Pre-Cataloging Searching	11
<i>B11.8.4.1.1</i>	<i>Duplicates</i>	11
<i>B11.8.4.1.2</i>	<i>Editions</i>	11
<i>B11.8.4.1.3</i>	<i>PCC adapts</i>	12
<i>B11.8.4.1.4</i>	<i>Multipart monographs</i>	12
<i>B11.8.4.1.5</i>	<i>Serials</i>	12
B11.8.4.2	Searching For Access Points	12
<i>B11.8.4.2.1</i>	<i>Name headings</i>	12
<i>B11.8.4.2.2</i>	<i>Name heading conflicts</i>	13
<i>B11.8.4.2.3</i>	<i>Uniform titles</i>	13
B11.9	SETTING PREFERENCES BEFORE CATALOGING BEGINS	14
B11.9.1	MLC Shelf Number	14
B11.9.2	Item Record Defaults	14
B11.10	INDIVIDUAL DATA ELEMENTS	14
B11.10.1	Leader	14
B11.10.2	007 (Physical Description Control Field)	15
B11.10.3	008 (Fixed Fields)	15
B11.10.4	906 Field (Local Processing Data)	15
B11.10.5	925 Field (Local Selection Decision)	16
B11.10.6	955 Field (Local Tracking Information)	16
B11.10.7	010 Field (Library of Congress Control Number (LCCN))	17
B11.10.8	020 Field (International Standard Book Number)	17
B11.10.9	034 Field (Coded Mathematical Data)	17
B11.10.10	037 Field (Source of Acquisition)	17
B11.10.11	040 Field (Cataloging Source)	17

B11.10.12	042 Field (Authentication Code)	17
B11.10.13	050 Field (MLC Shelf Number)	17
B11.10.14	051 Field (Library Of Congress Copy Call Number)	19
B11.10.15	1XX Field (Main Entry)	19
B11.10.16	240 Field (Uniform Title)	19
B11.10.17	245 Field (Title And Statement Of Responsibility Area)	19
B11.10.18	246 Field (Varying Form Of Title)	20
B11.10.19	250 Field (Edition Area)	20
B11.10.20	255 Field (Mathematical Data Area)	20
B11.10.21	260 Field (Publication, Distribution, Etc. Area)	20
B11.10.22	300 Field (Physical Description Area)	20
B11.10.23	490 Field (Series Area)	20
B11.10.24	5XX Fields (Note Area)	20
B11.10.25	6XX Fields (Controlled Subject Headings)	20
B11.10.26	653 Field (Index Term--Uncontrolled)	21
<i>B11.10.26.1</i>	<i>General</i>	21
<i>B11.10.26.2</i>	<i>Field format</i>	21
<i>B11.10.26.3</i>	<i>Selecting words</i>	21
<i>B11.10.26.4</i>	<i>Personal and corporate names</i>	22
B11.10.27	7XX Fields (Added Entries (Exclusive Of Those Covered Under 245 And 246))	22
B11.11	END-STAGE PROCESSING	22
B11.11.1	General	22
B11.11.2	Holdings Record	23
B11.11.3	Item Record	24
B11.11.4	Completing Processing	25
<i>B11.11.4.1</i>	<i>Labels</i>	25
<i>B11.11.4.2</i>	<i>Slips</i>	26
<i>B11.11.4.3</i>	<i>Writing data in resource</i>	26
B11.11.5	Disposition Of Resource After Processing Is Completed	26

B11.1 PURPOSE AND SCOPE OF DCM B11

This DCM describes a form of cataloging designated “minimal level cataloging” (MLC), provides the context for MLC within the bibliographic control system, and sets out the parameters of the data elements included in MLC records.

The DCM describes the basic procedures for MLC. It is intended primarily for use by those who catalog monographs in book form. Although it does include information about certain other materials, it does not cover special projects, nor does it attempt to cover systematically the special procedures applicable to microforms, maps, music, or serials.

This version of the DCM focuses on MLC done in large-volume projects to accommodate reduction of work-on-hand material in anticipation of the ABA reorganization of October 1, 2008. It is called an “Interim Draft” because eventual MLC conventions may vary somewhat from those in this Interim Draft. It is assumed that all the materials covered by this Interim Draft will be stored offsite at Ft. Meade.

Abbreviations used:

BR = bibliographic record
HR = holdings record
IR = item record
LC/NAF = LC/NACO Authority File

B11.2 WHAT IS MLC?

MLC was designed as a cost-effective way to provide access to:

- 1) resources worth retaining in the collections (one copy only) but that can be processed at less than core/full level;
- 2) resources in cataloging backlogs that are unavailable to users; and,
- 3) materials in certain special collections or handled in certain special projects.

In general, MLC entails limitations in the descriptive, subject, and classification aspects of cataloging. The amount of authority work done is limited. Although MLC is less than core/full level cataloging, it allows materials that could not be processed at all to be made available to users. The power of online searching compensates, to some extent, for the limited data. See DCM C1.2.4 for a description of the kinds of materials that receive MLC treatment.

B11.3 HOW DOES A RESOURCE BECOME MLC?

For purposes of this Interim Draft, resources given MLC are those so designated by management.

B11.4 WHAT TYPES OF MLC ARE THERE?

In the years since LC staff began creating MLC records in 1980, there has been a trend to including more data in MLC records. This Interim Draft applies to “Basic MLC” (also known as “plain MLC” or “plain-vanilla MLC”). It is characterized by a limited number of data elements, an MLC shelf number instead of an LC call number, and the absence of controlled subject headings.

B11.5 HOW TO RECOGNIZE AN MLC RECORD

The evolution of MLC over the years and the application of some MLC conventions to other workflows make it difficult to state succinctly the identification of a record done as MLC. For purposes of this Interim Draft, indications that a record reflects MLC include the following:

DATA ELEMENT	VALUE	COMMENTS
Encoding level	7	MLC is always encoding level 7.
050	MLC shelf number	Some MLC has an 050 beginning “MLC” (MLC shelf number) or a word indicating a microform, e.g., “Microfiche” “Microfilm” (microform shelf number); if from an overseas office, 042 = lcode. Some MLC has an 050 containing a regular LC call number. Some older copy cataloging (042 = lccopycat) contains MLC shelf numbers in field 050 but the encoding level is blank.

B11.6 PRINCIPLES GOVERNING MLC

The essence of MLC is to create records efficiently that, although briefer than full or core cataloging records, are accurate and fit into the LC ILS Database. Specifically:

- 1) all data recorded from the resource must accurately reflect what is on the resource;
- 2) leader and fixed field data that are supplied must be correct;
- 3) except for series, headings must be integrated into the LC ILS Database without creating conflicts or discrepancies and must be consistent with existing headings;
- 4) description and access points must reflect current rules and LC practice; perform needed maintenance/updating to existing headings used in MLC;
- 5) generally, only the data elements prescribed in the following instructions are included in MLC records;
- 6) except for series, authority work is done as needed according to the guidelines in DCM B11.8.4.2;
- 7) generally, MLC resources should not be referred to other sections except in unusual circumstances, e.g., for romanization of a required parallel title.

B11.7 GUIDELINES RELATED TO SCOPE

B11.7.1 General

For purposes of this Interim Draft, management has determined the resources to receive MLC. In addition, observe the following guidelines.

B11.7.2 Atlases

Refer atlases to the Geography and Map Division.

- B11.7.3** **Books With Accompanying Material**
See DCM B11.7.14.1.
- B11.7.4** **Brittle Books**
See DCM B11.7.14.2.
- B11.7.5** **Genealogical Material**
Resources that will classify in CS (Genealogy) and F (United States Local History) are out of scope for MLC. This includes genealogies and transcriptions of vital records (i.e., wills, census publications, cemetery transcriptions, etc.).
- B11.7.6** **Handbook of Latin American Studies (HLAS)**
Resources slipped (yellow slip) for “SPECIAL ATTENTION” of the Handbook of Latin American Studies are out of scope for MLC.
- B11.7.7** **Integrating Resources/Looseleaf For Updating**
See DCM B11.7.14.3
- B11.7.8** **Law Material**
Resources intended for the custody of the Law Library are out of scope for MLC.
- B11.7.9** **Loose Material Within A Resource**
See DCM B11.7.14.4.
- B11.7.10** **Loose Pages**
See DCM B11.7.14.5
- B11.7.11** **Miniature Books**
See DCM B11.7.14.6
- B11.7.12** **Monographic Series Classified As A Collection**
With the decision in June 2006 to discontinue providing controlled access to series, most series are now classified separately, analyzed in full, and the issue of those classified as a collection becomes moot. Macroform resources in series classified as a collection previously were out of scope for MLC. By exception, “Enhanced MLC” techniques were used in certain projects in which a regular collected set call number was used instead of an MLC shelf number. Also by exception microform resources in series classified as a collection are in scope for MLC.
- B11.7.13** **Multipart Monographs**
For purposes of this Interim Draft, macroform multipart monographs analyzed in full, classified separately are in scope for MLC. A volume may subsequently be selected for core or full cataloging. Therefore, under previous and current practice, some of the volumes of the multipart monograph are processed as MLC with MLC shelf numbers and some are processed as fuller cataloging with regular call numbers; this is not explicitly stated anywhere else.

Unanalyzable macroform multipart monographs are not in scope for MLC.
By exception all microform multipart monographs are in scope for MLC.

B11.7.14 Physical Aspects

The guidelines in this section relate to certain physical aspects of materials that must be taken into account both in terms of eligibility for MLC and any special treatment needed in support either of preservation or of the transport of materials between the Capitol campus and Ft. Meade or of both. In some cases they call for a resource to be set aside for transport to CALM as a “physical aspects” group separate from “regular” materials. All “physical aspects” material needs to be segregated so that the material can be individually inspected by CALM to determine any steps that need to be taken from a preservation perspective. Set aside all categories of “physical aspects” material and transport them to CALM as a “physical aspects” group. “Physical aspects” material to be set aside can be summarized as follows:

- Brittle/fragile books
- Damaged material
- Folios (33 cm. or more)
- Loose-leaf publications **not** to be updated in LC
- Loose material within a resource
- Loose pages
- Miniature books (10 cm. or less)
- Pamphlets and unbound material less than ½ inches
- Special format material
- Spiral bound material
- Stapled material
- Three-ring binders
- Unbound material

If in doubt about a particular condition, set the resource aside in the “physical aspects” group.

B11.7.14.1 Books with accompanying material

In general, books with accompanying material are in scope for MLC, provided the accompanying material is secured in some fashion, e.g., in a pocket at the back of the book.

Books with accompanying electronic resources, e.g. CD-ROMs, floppy disks, are **not in scope** for MLC.

Books accompanied by sound recordings, e.g., compact discs or standard audio cassettes, are in scope for MLC but should be forwarded to the Music Bibliographic Access Section (MBAS) according to the guidelines stated in DCM B20.2 after cataloging the book.

B11.7.14.2 Brittle books

Resources whose paper appears old and dry are in scope for MLC. Set aside in the “physical aspects” group.

B11.7.14.3 Loose-leaf publications

Loose-leaf publications intended to be updated are **not in scope** for MLC. Those that are not intended to be updated are in scope for MLC. Set aside in the “physical aspects” group.

B11.7.14.4 Loose material within a resource

A resource that contains loose material within it, e.g., an errata slip, is in scope for MLC. When sending the resource to CALM, insure the loose material is secure within the resource so that it does not get separated from it. Set aside in the “physical aspects” group.

B11.7.14.5 Loose pages/Thin material

Resources consisting solely of loose pages or that are very thin and lack a permanent binding are in scope for MLC. Set aside in the “physical aspects” group. (For resources in a spiral binding, see DCM B11.7.14.7.)

If a resource consists solely of loose pages (including unbound loose pages contained within some kind of folder) or is less than one half inch thick (often held together only with one or two staples or the pages are contained within some kind of report binder with a fastener), set aside in “physical aspects” group.

B11.7.14.6 Miniature books

Miniature books are in scope for MLC. They receive an item barcode and an MLC shelf number in the same manner as other books. Set aside in the “physical aspects” group. They must be transported to CALM in a special tray to be obtained from CALM.

B11.7.14.7 Special format material

These are materials that cannot be handled or stored easily on shelves and/or are too vulnerable by reason of fragility or value to be served in the Main Reading Room. Such materials may have attachments, non-traditional structures, or insecure or unattached materials or some combination of these attributes. Set aside in the “physical aspects” group. Use the following guidelines to determine special format material.

Special format books (also referred to as folding, pop-up, toy, or moveable books) may include:

Attachments -

- attachments to the physical item such as chains, bells, metal cut-outs, etc.
- books containing buttons, compasses, or any other non-book item or issued with an accompanying doll, toy, piece of jewelry, or similar item, whether issued in a box or a bag
- books with “texture” pages (cloth, sandpaper, etc.) and that teach activities (snaps, buttons, tying shoelaces)
- books with plastic overlays inside
- books with shifting and changing pictures (holograms, etc.)
- books with wheels
- books with soundboards

Non-traditional book structure -

- accordion-folded pages that are not attached to the spine except for the first or last fold
- board books (cardboard or very stiff paper pages with minimal binding)
- books made of non-paper materials (plastic, wood)
- books with pop-ups (e.g., open into dollhouses, panoramas, etc.)
- books whose pages scroll out into one long page
- books with flaps that unfold from the pages
- books with fuzzy/furry or padded textile covers or pages

Insecure/unattached materials -

- portfolios of loose plates that make binding impractical
- titles/materials with unsecured loose pieces requiring special housing to keep them together (except scores with parts)
- books issued with puzzles
- books with sections of the pages cut or punched out (cut-out books)
- boxed sets (if they are not a standard book; includes sets with a holder that hangs on a doorknob)
- boxed sets with a book and multiple craft or toy parts, non-attached.

B11.7.14.8

Spiral bound material

Resources held together by various kinds of spiral bindings are candidates for MLC. They require no special treatment at the cataloging stage and can be processed in the same manner as other MLC resources. Set aside in the “physical aspects” group.

B11.7.15 **Rare Material**

MLC is applied to the bound pamphlet collections in the custody of the Rare Book and Special Collections Division.

B11.7.16 **Reference Assignment**

Resources selected for reference assignment, indicated by a “SPECIAL ATTENTION (Mono Reference Assignment)” slip marked with a reference collection on the “ASSIGN TO” line and initialed on the “APPROVED BY” line are out of scope for MLC. Refer such resources for full cataloging according to section procedures.

B11.7.17 **Serials**

Resources that are serials are out of scope for processing as MLC under the procedures of DCM B11. Note, however, that there is MLC processing for serials (excluding monographic series) documented in section B6.2.3 of the *CONSER Editing Guide* and online documentation for LC staff at: <http://www.loc.gov/staff/idt/ABAW/SER/SER-CAT/CATTYPER-Minimal.pdf> For the treatment of monographic series classified as a collection and the individual titles in such series, see DCM B11.7.12.

B11.7.18 **Special Cataloging Conditions**

Some resources may require cataloging beyond the scope of MLC. If a resource such as a back-to-back book or a “bound with” or a resource with several loose pieces clearly needs description or access points that exceed the guidelines for MLC, use section policy and cataloger’s

judgment to determine whether to handle the resource as MLC but add on the needed additional data elements or whether to transfer the resource to a workstream that more readily accommodates the special cataloging conditions.

B11.7.19 Special Format Material

See DCM B11.7.14.7. These are materials that cannot be handled or stored easily on shelves and/or are too vulnerable by reason of fragility or value to be served in the Main Reading Room. Such materials may have attachments, non-traditional structures, or insecure or unattached materials or some combination of these attributes.

B11.7.20 Spiral Bound Material

See DCM B11.7.14.7.

B11.7.21 Supplements, Etc.

Resources that are supplements or other kinds of materials best classified with a main work are out of scope for MLC.

B11.7.22 Thin Material

See DCM B11.7.14.5

B11.7.23 Unbound Material

See DCM B11.7.14.5

B11.7.24 Unusual/High Research Value

Handle resources selected for MLC that are clearly unusual or of high research value according to section or project guidelines to decide whether to transfer the resource to a different workstream that accommodates more complete cataloging.

B11.8 MLC RECORDS IN THE CONTEXT OF THE LC ILS DATABASE

B11.8.1 General

MLC records are official catalog records and should be maintained on the same basis as full cataloging records. They are distributed in machine-readable form by the Cataloging Distribution Service on the same basis as other LC cataloging records.

B11.8.2 Name Headings And Authority Records Encountered When Doing Full Cataloging

If no authority record was created for an MLC heading, create an authority record when the heading is needed for full, core, or copy cataloging. Establish the heading on the authority record in accord with current rules and LC practice, taking into account the statement of responsibility on the MLC record. Change the heading on the MLC record if necessary. Use any data from the MLC heading (e.g., birth date, full name), as appropriate. Cite the MLC record (as provided in DCM Z1: 670) as the source of any information not found elsewhere.

Resolve conflicts with MLC headings according to normal procedures. If the MLC heading is changed to resolve the conflict, create an NAR if there is not one. If a non-unique NAR

is created, include the heading on the MLC record on the non-unique NAR.

B11.8.3 Serials And Unanalyzable Multipart Monographs

If a resource cataloged as MLC is later discovered to be a volume of a serial or a volume in an unanalyzable multipart monograph, proceed as follows.

B11.8.3.1 Serials

If monographic MLC cataloging is found for a volume of a serial other than a monographic series, the staff member discovering the problem follows the guidelines in DCM M.4.4.1 (Known LC Serials). If the resource is in Ft. Meade, whoever handles its processing needs to follow the procedures in DCM C8 (the resource remains in Ft. Meade).

B11.8.3.2 Unanalyzable multipart monographs

If an MLC record is found for a volume of an unanalyzable multipart monograph that should have been included in a collected unanalyzable multipart set, consult ABA Policy.

B11.8.4 SEARCHING AND AUTHORITY WORK

B11.8.4.1 Pre-Cataloging Searching

Before cataloging begins, search each title to determine whether it is new or a duplicate, an edition, a PCC adapt, or whether it is part of an unanalyzable multipart monograph or whether it is a volume of a serial.

B11.8.4.1.1 Duplicates

If the resource is a duplicate: determine whether the first copy was cataloged as full/core/copy or as MLC. If it was cataloged as full etc., determine whether another copy is needed and, if so, follow section procedures for adding a copy. If the original cataloging was MLC or if no additional copies are needed for the full, etc. record, discard the copy in hand according to section procedures. (There are some exceptions to this for resources processed in the Rare Book and Special Collections Division.)

If there is a record for the resource in hand that is different from the record for the previously-processed copy, cancel (or arrange to cancel) the record for the resource in hand. Process the copy in hand according to the guidelines immediately above.

If it is discovered that two copies of a work have been cataloged on different records and one of the resources has been stored at Fort Meade, follow the procedures in DCM C8.

B11.8.4.1.2 Editions

If a record with full/core/copy cataloging is found for another edition of the work, insert an edition slip and process the resource according to section procedures for editions.

If a record with MLC cataloging is found for another edition of the work, before continuing with MLC cataloging, evaluate whether the resource in hand is needed for the

collections, especially if it is an earlier edition than the one already cataloged.

B11.8.4.1.3

PCC adapts

If a PCC adapt record is found but no LC copy has yet been processed, insert a PCC adapt slip and process the resource according to section procedures for PCC adapts.

B11.8.4.1.4

Multipart monographs

If the resource is part of a multipart monograph, search the multipart monograph title both as a title proper and as a series to determine if it has been previously cataloged by LC (if using the LC ILS, do this through a single TALS search). Depending upon the condition found, take the action specified in the following table:

Condition	Action regarding multipart monograph
Previous cataloging exists for unanalyzable condition represented only by a collected set record	Process volume in hand as an added volume according to section practice
Previous cataloging exists in the form of one or more analytics	Complete MLC cataloging for the volume in hand; note that there may be a mixture of cataloging levels (cf. B11.7.13)
No previous cataloging exists; determine if multipart monograph is analyzable	If so, complete MLC cataloging for the volume in hand
	If not, complete collected-set cataloging for the multipart monograph at core level

B11.8.4.1.5

Serials

Proceed as follows:

- 1) if the resource is a volume in a known serial other than a monographic series, follow the referral procedures in DCM M4.4.1;
- 2) if the resource is a possible serial, follow the guidelines in DCM M4.4.2.

B11.8.4.2 Searching For Access Points

Integrate MLC records into the LC ILS Database without creating conflicts or discrepancies. Do this by insuring that headings in MLC records are consistent with headings used in the database to the extent that the former are represented by an existing authority record or are used in another catalog record. In general, do not do authority work except as noted below. When it is done, however, do it as for full cataloging. Search all needed access points in the LC ILS Database. Based on the results of that search, proceed as follows.

B11.8.4.2.1

Name headings

Take the action specified in the following table:

Found in LC ILS Database	Action for MLC access point
Authority record in LC/NAF	Use heading in NAR (AACR2 or not)
Heading in BR(s) but no authority record in LC/NAF	Use heading in BR(s) (AACR2 or not)
Headings in BRs vary but no authority record in LC/NAF	Choose in this order: 1. AACR2 full BR 2. BR with full call no. in 050 migrated from MUMS in an unverified state (906 \$b = cbu) 3. Pre-AACR2 BR 4. Another MLC record Do no bibliographic maintenance
No authority or bibliographic records	Formulate AACR2 form based on information available in resource being cataloged; do not create NAR
Conflict: form on resource in hand conflicts with a form already established or a form already used as an access point	See DCM B11.8.4.2.2 1. Add to one being cataloged; do not create NAR 2. Add to other; create/adjust NARs for both 3. Non-unique; one NAR for both

If an access point is needed for a corporate body whose heading was “subsumed” under the heading for a later body under ALA rules, follow the provisions in LCRI 26.3 and do all relevant authority work to establish the heading and relate it to the later name heading. These headings can be recognized by 1) a see reference from the earlier name to the later one, and 2) on retrospectively converted authority records a note in the 667 field, e.g., “The following earlier name is a valid AACR2 heading: [earlier name or names in AACR2 form].” Such headings are generally encountered only in cataloging older materials.

When the heading used differs so significantly from the form on the chief source of the resource being cataloged as to be unfindable without a cross reference, do whatever authority work and file maintenance is required to trace the reference.

B11.8.4.2.2

Name heading conflicts

If the form of name needed as an access point for the resource being cataloged conflicts with a heading already established or used as an access point in the LC ILS Database, resolve the conflict according to appropriate cataloging rules and LCRIs (e.g., 22.18, 22.19, 24.4C, etc.). Prefer adding information to the heading for the work being cataloged instead of changing an existing heading; in such a case do not create an NAR. When an existing heading must be changed to resolve the conflict, do authority work for all headings involved, including the MLC heading for the resource being cataloged, as would be done for full cataloging.

B11.8.4.2.3

Uniform titles

Provide uniform titles as needed in the same manner and with the same

authority work as for full cataloging. If a 240 uniform title is used, do any needed authority work for the name used as the 1XX as well as for the 240 itself.

B11.9 SETTING PREFERENCES BEFORE CATALOGING BEGINS

It is not mandatory to change preferences, but if it is not done in advance, several values must be set for each resource cataloged. If an MLC cataloger will be cataloging several MLC resources in the same ILS session, it is more efficient to change preferences before beginning cataloging. When non-MLC cataloging work resumes, return preferences to their original settings.

To change preferences, from any ILS work screen, select “Options” then “Preferences”. Proceed as follows.

B11.9.1 MLC Shelf Number

If an MLC resource is to receive an MLC shelf number (cf. DCM B11.10.13), select the “General” tab. At the “Call Number Hierarchies” window, slide the scroll bar to select “LCnonclass-050a”.

B11.9.2 Item Record Defaults

Select the “Item Defaults” tab:

- 1) at the “Status” window, slide the scroll bar to select “In Process”;
- 2) at the “Copy” window, type “1”;
- 3) at the “Pieces” window, ensure the value is “1”.

B11.10 INDIVIDUAL DATA ELEMENTS

Use the following guidelines either when updating an existing IBC record or creating a new record. In the latter case, use the “bookmlc.tem” template (under “Record”; “New”; “Bibliographic”; “Bibliographic”).

B11.10.1 Leader

Set Leader values as follows. For existing IBC records, change values as needed to reflect LC practice:

Leader	
LC ILS Name of Data Element	Value
Record status (Ldr/05)	No action required (values in this position are managed by the system).
Type of record (Ldr/06)	Value should reflect type of material represented by the record—for books, value is “a” (Language material). LC does not use value “o” (Kit).
Bibliographic level (Ldr/07)	Value should reflect the bibliographic level of the resource. For monographs, value is “m”.

Leader	
LC ILS Name of Data Element	Value
Type of control (Ldr/08)	No action required.
Encoding level (Ldr/17)	Set value to "7" (Minimal level) in all cases.
Desc. cat form (Ldr/18)	Ensure that value is "a" (AACR 2) in all cases.

B11.10.2 007 (Physical Description Control Field)

Used for microforms.

B11.10.3 008 (Fixed Fields)

Only supply values in fixed fields in the following table. Ensure that the values in the specified positions accurately reflect the resource being cataloged according to regular LC practice. Further information on appropriate values can be found in *MARC 21 Format for Bibliographic Data*. Use fill characters (|) in all other positions (supplied in the MLC template). If an IBC record does not contain fill characters in positions that are not actively used, it is not necessary to supply them.

# = blank 008 Field	
LC ILS Name of Data Element	Action
Type of date (008/06)	Ensure code reflects type of date in field 260
Date 1 (008/07-10)	Ensure date is correct and agrees with date in field 260
Date 2 (008/11-14)	Ensure date is correct, if needed
Place of publication (008/15-17)	Ensure code reflects place of publication of resource
Illustrations (008/18, 19, 20, 21)	Codes must agree with data in field 300 \$b or \$a for plates
Target audience (008/22)	Use code "j" (Juvenile) if intended for children through age 16
Form of item (008/23)	# unless large print ("d") or microform (code as appropriate) or electronic ("s")
Language (008/35-37)	Ensure code reflects language of resource
Modified record (008/38)	# (not modified); do not use values "o" or "r" for nonroman resources
Cataloging source (008/39)	Normally #

B11.10.4 906 Field (Local Processing Data)

The following table states the values/codes for local processing data for the MLC workflow. For further information, see DCM C16. If there is no IBC record, the MLC cataloger

may input the values for the completed stage in the first instance as long as the record is completed immediately.

906 field		
Subfield	IBC Stage	Completed Stage
Distribution controller (\$a)	0	7
Record completion state (\$b)	ibc	cbc
Processing workflow (\$c)	orignew	
Priority (\$d)	Priority 2, 3, or 4	
CIP/PCN flag (\$e)	ncip or opcn or epcn	
Century flag (\$f)	19 or 20 (Match century of year portion of LCCN)	
Stakeholder code (\$g)	y-gencatlg	

B11.10.5 925 Field (Local Selection Decision)

The following table states the values for the selection decision applicable to the MLC workflow. If MLC is being applied to a resource represented by an already existing IBC record that lacks a 925 field, it is not necessary to add one, since the normal selection decision for MLC materials is one copy. However, for high-volume projects in which the selection decision may be more than one copy, add field 925 in such cases.

925 field	
Subfield	Data
Selection decision for LC (\$a)	“acquire”
Number of shelf copies (\$b)	For purposes of this Interim Draft, accept the number of shelf copies indicated in subfield \$b.
Responsibility for selection decision (\$x)	generally “policy default” (see DCM C16 for exceptional uses)

B11.10.6 955 Field (Local Tracking Information)

In the 955 field of records for resources initially designated to be MLC, usually only subfields \$b (IBC processing) and \$h (MLC cataloging) will be used. (**Note:** prior to 2009, subfield \$a was used for IBC processing and forwarding.) However, if the resource was intended for fuller cataloging and descriptive cataloging was completed before the record was turned into MLC, a subfield \$c for descriptive cataloging may appear in the 955 field. Do not delete it or any \$a subfields showing the history of record creation and forwarding.

955 field	
Subfield	Data
IBC processing/other forwarding or tracking information (\$a used prior to 2009; \$b used after 2008)	1) a four-character alpha/numeric staff or section code; 2) the date in the form yyyy-mm-dd
MLC tracking information (\$h)	1) a four-character alpha/numeric staff code; 2) the date in the form yyyy-mm-dd ; 3) “to shelf” or “to CALM”(without quotes) following date

B11.10.7 010 Field (Library Of Congress Control Number (LCCN))

If a resource has an LCCN (either preassigned or supplied by a receiving unit), that number should normally be retained. If there is no LCCN in the resource or in an IBC record for it, affix to the verso of the t.p. (or its substitute) a barcode label with a new LCCN for the current year and wand or type this number into the 010 field of the MLC record. If the LCCN is typed into the record, run the Validator program to ensure the correct format. Write the LCCN on the verso of the title page if it is not printed in the book or a label is not used.

B11.10.8 020 Field (International Standard Book Number)

For purposes of this Interim Draft, accurately transcribe ISBNs on the same basis as for full cataloging. Add appropriate qualifiers as for full cataloging, following the guidelines in LCRI 1.8.

B11.10.9 034 Field (Coded Mathematical Data)

Used for atlases only.

B11.10.10 037 Field (Source of Acquisition)

Used by some overseas offices.

B11.10.11 040 Field (Cataloging Source)

Generally use only subfield \$a (symbol of the Original cataloging agency), and subfield \$c (symbol of the Transcribing (inputting) agency). For virtually all MLC cataloging except certain special projects, the 040 will read: 040 ## \$a DLC \$c DLC

B11.10.12 042 Field (Authentication Code)

MLC records created by overseas offices contain the code “lcode” in field 042.

B11.10.13 050 Field (MLC Shelf Number)

The 050 field for MLC records contains an MLC shelf number. Pre-printed MLC shelf numbers are available in each division office. For high-volume MLC projects done through working in the LC ILS for resources whose custody is CALM (General Collections), use the MLC Shelf Number Generator to populate field 050 in the BR. The MLC shelf number has three components, each separated by a space:

- 1) the first component consists of the letters “MLC”, a letter representing size, and if applicable, a letter representing a custodial assignment, e.g., MLCS or MLCMA;
- 2) the second component is a number consisting of the year of cataloging, a slash, and a sequential five-digit number within each size, e.g., 2005/00456;
- 3) the third component is a one-letter LC classification assignment (enclosed within parentheses) indicating the broad classification of the resource, e.g., “(P)”.

Select an appropriate MLC label for the resource being cataloged based on 1) its size and 2) its custodial assignment or lack of it. Labels are first selected by size as follows:

Label	Meaning	Use for books that are
MLCS	Small	22 cm. or less
MLCM	Medium	23-30 cm.
MLCL	Large	31-37 cm.
MLCF	Folio	38 cm. or larger

If the resource will be assigned to a custodial division, not to the general collections, or will be serviced in a special service area, the letter indicating size is followed by a letter indicating the custodial assignment or service area, as follows:

- A - South Asia materials, Asian Division
- C - Chinese Section, Asian Division
- E - Southeast Asia materials, Asian Division
- H - Hebraic Section, African and Middle Eastern Division
- J - Japanese Section, Asian Division
- K - Korean Section, Asian Division
- N - Near East Section, African and Middle Eastern Division
- R - Rare Book and Special Collections Division
 (Resources housed in the Rare Book and Special Collections Division do not receive an indication of size; instead a blank is used: MLC R.)
- T - Tibetan materials, Asian Division

The MLC Shelf Number Generator selects the appropriate size letter based on subfield \$c of field 300 in the BR. It assumes the custodial division is CALM (General Collections).

The second component of the MLC shelf number consists of the year of cataloging followed by a slash and a sequential number within each size. Before the year 2000, a two-digit year number was used (e.g., MLCS 99/0234). Beginning in 2000, the year number contained four

digits (e.g., MLCM 2000/00789).

The third component of the MLC shelf number consists of a one-letter LC classification assignment (enclosed within parentheses) indicating the broad classification of the resource, e.g. (P). Use the Library of Congress Classification Outline at

<http://www.loc.gov/catdir/cpsolcco/lcco>

to assign this classification letter.

Examples of MLC numbers:

MLCM 98/02114 (P)
MLCF 2002/00082 (P)
MLCMJ 2003/00135 (S)
MLCS 2005/04905 (Z)

Each MLC shelf number label was formerly printed in duplicate. For purposes of this Interim Draft, only one label needs to be applied. See DCM B11.11.4.1 for instructions on how to apply it to books.

For the purposes of this Interim Draft, do not provide an LC class number (either in a repeated 050 \$a subfield or a repeated 050 field) in addition to an MLC shelf number.

B11.10.14 **051 Field (Library Of Congress Copy Call Number)**

The 051 field is not normally used in MLC cataloging for current monographs. However, it has been used in some instances in which two catalog records were found—one for a fully-classed copy in the general collections and one for an MLC copy at Fort Meade. For current procedures applicable to multiple copies having been cataloged separately and one or more of them is at Fort Meade, see DCM C8. The 051 field has also been used in some instances in cataloging pamphlet material in the custody of the Rare Book and Special Collections Division.

B11.10.15 **1XX Fields (Main Entry)**

Follow AACR2 and the LCRIs in selecting the main entry. See DCM B11.8.4.2 for guidance on creating the form of main entry so that the heading is integrated into the LC ILS Database and on when to create authority records.

B11.10.16 **240 Field (Uniform Title)**

Follow AACR2 and the LCRIs in providing uniform titles. If a uniform title is needed, do all authority work for the uniform title and the heading under which it appears as would be done in full cataloging.

B11.10.17 **245 Field (Title And Statement Of Responsibility Area)**

Ensure that all elements of the title and statement of responsibility area are accurately transcribed in accord with AACR2 and the LCRIs. If a 1XX field is present, ensure that the first indicator position of field 245 is set to "1" (Added entry).

- B11.10.18** **246 Field (Varying Form Of Title)**
Be selective in supplying access to varying forms of the title proper and to other titles appearing on the resource. Supply 246s only when failure to provide them would seriously impair access to the resource.
- B11.10.19** **250 Field (Edition Area)**
If an edition statement appears in the resource, transcribe it according to AACR2 and the LCRI's.
- B11.10.20** **255 Field (Mathematical Data Area)**
Used for atlases only.
- B11.10.21** **260 Field (Publication, Distribution, Etc. Area)**
Transcribe all elements of the publication, distribution, etc. area according to AACR2 and the LCRI's.
- B11.10.22** **300 Field (Physical Description Area)**
Transcribe all elements of the physical description area according to AACR2 and the LCRI's.
- B11.10.23** **490 Field (Series Area)**
Transcribe the series title, any ISSN, and any series numbering as found and in accord with AACR2 and the LCRI's. Tag the series statement 490 0# (Series Not Traced).
- B11.10.24** **5XX Fields (Note Area)**
Normally, do not make notes except those that support the identification or completeness of a resource. Do not make a note whose sole purpose is to justify an added entry. By exception, notes are made by some of LC's overseas offices 1) to provide a summary or 2) to provide a language note (LCRI 1.7B2) or to provide both. Otherwise, only make notes if judged necessary for the particular resource being cataloged. Examples of situations that might call for such notes are:
- source of title if not from the title page and not stated in field 246
 - loose materials inserted in the resource that are not described in the 300 field
 - location and date of an exhibition that are not included in the 245 field
 - the resource is a reproduction of an original (533 Reproduction note)
 - resource has a combination of language and script that may not be obvious from a romanized title, e.g., "Turkish in Arabic script";
 - a local note indicating a loose leaf resource is not updated in LC.
- In situations where resources that already have completed full or core level descriptive cataloging are being converted to MLC, do not delete any notes that may already be present.
- B11.10.25** **6XX Fields (Controlled Subject Headings)**
For purposes of this Interim Draft, do not assign controlled subject headings.

B11.10.26 653 Field (Index Term--Uncontrolled)

B11.10.26.1

General

The lack of subject headings in most MLC cataloging can be mitigated to some degree through the use of uncontrolled index terms in the 653 field which can be accessed through keyword searching. Do not provide a 653 field if one or more 6XX fields for controlled LC subject headings has been given. Generally provide a 653 field if:

- 1) the title of the work is not in English, **or**
- 2) the title is in English but the words in the title do not reflect the subject of the book, **and,**
- 3) the work is NOT a work of the imagination (novel, story, poetry, play, etc.).

It is not necessary to add a 653 field to existing MLC records undergoing change, but an MLC cataloger may choose to do so.

B11.10.26.2

Field format

Input the words in a single 653 field. (Note that in the *MARC 21 Format for Bibliographic Data*, the 653 field is repeatable. However, LC does not repeat it. Instead, divide words or phrases into subfields as indicated below.) Position the field after the last 5XX field (or 4XX or 300, whichever comes last). Use a maximum of three words or very brief phrases. The first indicator is always "0". The second indicator is blank. Input each word or phrase as a separate \$a subfield; add a semicolon at the end of each \$a subfield (to assist interpreting the display of these terms in the OPAC) except the last one. Do not capitalize the first word of the field or any subfield unless the initial word would be capitalized for another reason under AACR2 Appendix A. Do not end the field with a mark of punctuation unless punctuation is part of the data. Examples: cf. LCCNs: 91214728; 92175307

B11.10.26.3

Selecting words

Use English words in the 653 field. If the title contains words about the subject of the resource and the title is not in English, choose words from the title page that are suggestive of the subject of the book and translate them into English. If the title does not contain words about the subject of the resource, regardless of whether the title is in English or not, quickly examine the covers, table of contents, preface, etc., to select appropriate words.

Select words that are rich in meaning. Omit generic words like "study," "part," "important," and conjunctions, prepositions, and articles that are not part of an inseparable phrase (e.g. "breach of promise"). Use non-English words when there is no obvious English equivalent if they provide useful keyword access.

```
245 12 $a A glasznoszty
653 0# $a Glasnost
```

If it is not possible to determine useful words quickly, omit the 653. **DON'T AGONIZE.** There is no single "right" way to assign these words to the record. The choice of them should not become a matter for agonizing or dispute.

B11.10.26.4

Personal and corporate names

Use names of persons, bodies, or places in field 653 on the same basis as the words selected according to the preceding instruction. Do not search for names. Do not attempt to be consistent with other bibliographic records in the database. Do not construct headings in catalog-entry form. Give personal names in direct order; do not invert; do not use dates. For a corporate name that is not in English, make a quick judgment whether or not an English translation of the name provides useful access; if not, omit it from the 653. If given in the 653, give the name in direct order, in English.

B11.10.27 **7XX Fields (Added Entries (Exclusive Of Those Covered Under 245 And 246))**

The principle governing assignment of 7XX access points is: supply 7XX's only when failure to provide them would seriously impair access to the resource. When the work is entered under a main entry heading (1XX) be extremely restrictive in additional access points. Normally give only one. When the work is entered under title, give, for example, the most significant one or two of the following:

- corporate body named in the chief source as having responsibility for the content of the work (or the first, if there is more than one)
- corporate body from which the work emanated (or the first, if there is more than one)
- first person named in the statement of responsibility as author, editor, compiler, etc.
- person or corporate body (or the first called for in the rule, if there is more than one) called for in special rules for legal or religious publications (e.g., 21.31C, 21.34C, 21.37A, etc.)

Note that it is unlikely that added entries would be made for the name of a conference, expedition, or event, since AACR2 21.1B2 and LCRI 21.1B2 Category D call for entry under these names if such a name appears anywhere in the resource being cataloged.

Do not assign a paired nonroman script field for 700, 710, 711, 730 except in cases of problematic romanization or in cases in which such a field supports ready identification of a person or entity.

See DCM B11.8.4.2 for instructions on searching and creating headings for access points.

B11.11 **END-STAGE PROCESSING**

B11.11.1 **General**

Ensure that the following values are present:

Encoding level (Ldr/17)	7
906 \$a	7
906 \$b	cbc

The person who completes the MLC cataloging normally creates the HR/IR.

B11.11.2

Holdings Record

Create/complete the HR according to the standard specifications for HRs and repeated in these guidelines. Click on either the “Retrieve Holdings” or “Show Associated Records” button to determine whether an HR already exists. If so, add/update data elements according to the following guidelines. If not, click on the “Create Holdings” button to create an HR. For purposes of the Interim Draft, retain the number of shelf copies indicated in subfield \$b of field 925. Ensure as many HRs/IRs as is needed for the number of shelf copies indicated in 925 \$b.

The data elements in field 852 consist of Indicator 1, subfield \$b (Location) subfield \$h (MLC shelf number), subfield \$t (Copy number), and in some cases subfield \$m (Sublocation).

852

- Ind 1 = 8 (Other) the value set in this indicator position when an HR is created is governed by the “Call Number Hierarchies:” under the “General” tab of “Options” --> “Preferences”; the setting “LCnonclass-050a” generates value “8” (Other) in Indicator position 1; this is the setting to be used for an MLC shelf number (value “0” is used for an LC call number); the value in this indicator position can be changed on a record-by-record basis in the same manner as for any other indicator position
- \$b c-GenColl the value set in this subfield when an HR is created is governed by the “Holdings/Item default location:” under the “General” tab of “Options” -> “Preferences”; the setting “c-General Collections/CMD” generates the location code “c-GenColl” in subfield \$b of field 852; the code in subfield \$b can be changed in the HR; one means of selecting another code is to place the cursor at the beginning of the existing code in subfield \$b and use “Ctrl l [el]” to invoke the menu of location codes; use the cursor to highlight the desired code and click on “OK”. For **miniature books** (cf. DCM B11.7.11) and **special format material** (cf. DCM B11.7.14.6), use “c-SpecMat”. Use other codes as needed for other custodial divisions.
- \$h [MLC shelf no.] for a newly created HR, the system populates subfield \$h with data from field 050 in the BR; if the HR has partially been created, the data from the BR can either be typed in subfield \$h or Ctrl + N can be used to populate the \$h subfield with the data from 050 in the BR, **provided** the

preference in the Call Number Hierarchies is set to "LCnonclass-050a"; in using this feature, the actual subfield "\$h" should not be in the field, and it seems to work best if the cursor is not in the 852 field at the time the feature is invoked; note that since the parenthetical class letter associated with an MLC shelf number is for information only and does not affect how a resource is stored, it may or may not be present in subfield \$h; focus instead on the most efficient means of populating the subfield

\$m Apply sublocations in the same manner as for other cataloging. For **miniature books** (cf. DCM B11.7.11) and **special format material** (cf. DCM B11.7.14.6), use "Spec Format".

\$t Copy 1 If multiple copies, the copy number reflects the number of each copy.

B11.11.3 Item Record

Create/complete the IR according to the standard specifications for IRs and repeated in these guidelines. For more detail, see *Item Record Data Dictionary* (IRDD) at:

<http://www.loc.gov/staff/catdir/cps/irdd.html>

When determining whether an HR already exists, note also whether an IR exists. Otherwise, click on the "Retrieve Items" button or "Show Associated Records" button to determine this. If so, add/update data elements according to the following guidelines. If not, click on the "Create Items" button to create an IR.

The data elements in an MLC IR consist of the following:

- | | |
|-------------|---|
| Location: | system supplied from HR 852 \$b; a change in location in 852 \$b is reflected in the IR "Location:" |
| Call #: | system supplied from HR 852 \$h; for eye-readable MLC materials, an MLC shelf number; a change in 852 \$h is reflected in the IR "Call #:" |
| Barcode: | if there is already a barcode in the item record, ensure it matches the barcode label on the resource being cataloged; otherwise, click on the three dots to the right of the barcode window and scan in the number from the item barcode label; if there is no barcode label on the resource being cataloged, add one on p. [4] of the cover right-side up on the upper right quadrant approximately one quarter inch from the top and two inches to the left of the spine; if a barcode label does not scan, apply a new one over the old one |
| Temp. Loc.: | do not supply any data |
| Perm Loc: | system supplied from HR 852 \$b; a change in location in 852 \$b is NOT reflected in the IR "Perm Loc:"; the location in "Perm Loc:" must be |

	changed manually
Temp Type:	do not supply any data
Item Type: Book	derived from the "Item Defaults" tab of "Options --> Preferences"; may need to be changed in the IR if the resource being cataloged reflects a different type from the default
Media Type:	do not supply any data
Enum:	do not supply any data (used for unanalyzable multipart monographs, which are not in scope for MLC)
Chron:	do not supply any data
Year:	do not supply any data
Caption:	do not supply any data
Free text:	do not supply any data
Spine:	do not supply any data
Copy: 1	derived from the "Item Defaults" tab of "Options --> Preferences"; note, however, that a copy number set in preferences only changes the copy number in a newly created IR, not in an existing one, which generally will be set to 0 for in-process material; when MLC cataloging is completed, should contain the number appropriate to the copy
Pieces: 1	derived from the "Item Defaults" tab of "Options --> Preferences"; when MLC cataloging is completed, should contain "1" in most cases
Item Status:	the phrase "Not Charged" will always be generated by the system; any other status is derived from the "Status:" in the "Item Defaults" tab of "Options --> Preferences"; at the "Status:" window, select "In Process" or set "In Process" on a record-by-record basis

B11.11.4 **Completing Processing**

B11.11.4.1

Labels

Verify that the LCCN, an MLC shelf number label, and an item barcode label are present in the resource. Note the following:

LCCN: If the LCCN is not printed or written in the book, attach the label with the number on it to the lower part of the verso of the title page (or as close to this position as possible without obscuring information). If no

label is available, write in the number.

MLC label: For books, apply the MLC shelf number label to the spine if there is room for the entire label. Otherwise apply it to the outside front cover, normally in the upper left corner unless that would obscure important information. Preprinted MLC shelf number labels do not contain "Copy 1". Whether to write "Copy 1" under the MLC label when only one copy is held is a section decision. If the labeling software is used to print the label, the copy number, derived from the HR 852 \$t, will be printed including "Copy 1". If more than one copy is held AND the labeling software is not used to print the label, write the copy number under the MLC label. (See DCM B11.11.2 for instructions on recording copy information in the holdings record.)

Barcode label: If the resource does not already have an item barcode label, apply one to the back cover of the book. See DCM B11.11.3 regarding applying a barcode label and recording the barcode number in the item record.

B11.11.4.2

Slips

Remove all slips from resources cataloged as MLC except as follows.

“Binding Instructions”(824 (2001/09)): follow the guidelines in DCM B11.7.14 and insert securely and conspicuously in a resource to call attention to CALM staff brittle books, loose-leaf publications, loose material within a resource, and special format material exclusive of miniature books.

“Special Attention” (1669 (2002/06)): if the slip is marked “FOR ASSIGNMENT,” the resource is not in scope for MLC (See DCM B11.7.16); if the slip is marked “FOR EXAMINATION,” remove it and forward the resource as usual for MLC resources

B11.11.4.3

Writing data in resource

Since MLC resources are neither shelved nor bound, it is not necessary to write any data in a resource in support of these procedures.

B11.11.5

Disposition Of Resource After Processing Is Completed

Do not send an MLC resource to the Decimal Classification Division.

Send resources with MLC numbers in the 050 field that are intended for the general collections directly to the CALM transfer station on the fifth floor of the Madison building according to division practice. For resources that receive other custody, arrange directly with the custodial division a mutually agreed upon means of sending MLC resources to the custodial division. For resources that are part of high-volume projects, follow the special guidelines established for the disposition of resources in the project.

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

TABLE OF CONTENTS

C16.1	GENERAL	2
C16.2	ORDER OF VARIABLE DATA FIELDS	3
C16.3	LOCAL VARIABLE DATA FIELDS—GENERAL INFORMATION	4
C16.4	249 FIELD: LOCAL VARYING FORM OF TITLE [<i>Limited use</i>]	4
C16.5	590 FIELD: LOCAL NOTE	5
C16.6	591 FIELD: LOCAL “WITH” NOTE [<i>No active use</i>]	5
C16.7	592 FIELD: LOCAL ACQUISITION NOTE	6
C16.8	859 FIELD: LOCAL ELECTRONIC LOCATION AND ACCESS	6
C16.9	890 FIELD: LC VISIBLE FILE ENTRY [<i>Limited use</i>]	7
C16.10	906 FIELD: LOCAL PROCESSING DATA [<i>High use</i>]	8
C16.11	920 FIELD: LOCAL SELECTION DECISION [<i>No active use</i>]	17
C16.12	922 FIELD: LOCAL BOOK SOURCE [<i>No active use</i>]	17
C16.13	923 FIELD: LOCAL SUPPLIER INVOICE OR SHIPMENT ID	18
C16.14	925 FIELD: LOCAL SELECTION DECISION [<i>High use</i>]	19
C16.15	952 FIELD: LOCAL CATALOGER’S PERMANENT NOTE	22
C16.16	955 FIELD: LOCAL TRACKING INFORMATION [<i>High use</i>]	23
C16.17	963 FIELD: LOCAL RELATED CIP OR PCN DATA	29
C16.18	984 FIELD: LOCAL SHEFLIST COMPARE STATUS	30
C16.19	985 FIELD: LOCAL RECORD HISTORY	31
C16.20	987 FIELD: LOCAL CONVERSION HISTORY	33
C16.21	991 FIELD: LOCAL LOCATION INFORMATION [<i>Limited use</i>]	35

C16.22 992 FIELD: LOCAL LOCATION INFORMATION [*Limited use*] 36

C16.23 LEADER, 008, AND 006 FIELDS 37

C16.1 GENERAL

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

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

- 1) CONSER Editing Guide, Section E;
- 2) ABA Serials Manual: LC Local Fields Used in Serial Bibliographic Control (www.loc.gov/staff/idt/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

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

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

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

C16.3 LOCAL VARIABLE DATA FIELDS—GENERAL INFORMATION

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

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

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

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

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

C16.4.1 Content Designation Summary

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

First Indicator – Note Controller/Title Added Entry

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

Second Indicator – Type of Title

: No information provided [Only value used]

C16.4.2 General Description and Instructions

Field 249 contains a title needed **locally** at LC as an access point, such as a variant used by a vendor or a title used locally for bibliographic production. *LC monograph and integrating resource catalogers:* Generally do not change or delete 249 fields found in existing records.

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

C16.5 590 FIELD: LOCAL NOTE (R)

C16.5.1 Content Designation Summary

First and Second Indicators

: Undefined

Subfields

a : Text of note (NR)

C16.5.2 General Description and Instructions

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

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

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

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

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

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

C16.6.1 Content Designation Summary

First and Second Indicators

: Undefined

Subfields

a : Text of note (NR)

C16.6.2 General Description and Instructions

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

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

C16.7.1 Content Designation Summary

First and Second Indicators

: Undefined

Subfields

a : Text of note (NR)

C16.7.2 General Description and Instructions

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

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

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

C16.8.1 Content Designation Summary

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

C16.8.2 General Description and Instructions

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

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

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

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

C16.9.1 Content Designation Summary

First and Second Indicators

: Undefined

Subfields

a : Visible file entry (NR)

i : Control number (R)

C16.9.2 General Description and Instructions

Field 890 contains a visible file entry formerly used in LC's manual Serial Record. Field 890 appears in a monograph or integrating resource record when there was a pre-ILS serial check-in record for it, such as for updating loose-leaves. *LC monograph and integrating resource catalogers*: Generally do not change or delete 890 fields found in existing records.

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

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

C16.10.1 General

C16.10.1.1 Content designation summary

First and Second Indicators

: Undefined

Subfields

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

C16.10.1.2 General description and instructions

Field 906 contains data supporting management of bibliographic control and processing of bibliographic records at LC.

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

C16.10.2 Subfields

C16.10.2.1 \$a Distribution controller (NR)

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

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

C16.10.2.2 \$b Local record completion state (NR)

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

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

- bbc** : Basic Bibliographic Control.
Indicates (a) a completed less-than-full record for a serial that LC does not retain or retains non-permanently or (b) a former SERLOC record that failed to merge with a serial bibliographic record.
- cbc** : Completed Bibliographic Control.
Used for completed full, core, or minimal level bibliographic records and for completed CIP pre-publication cataloging.
- cbu** : Completed Bibliographic Control (Unverified).
Indicates completed cataloging in a record that was “unverified” in MUMS before it migrated to LC ILS. Changed to “cbc” when the record is updated.
- cir** : Circulation Support Record.
Indicates a record supports circulation but not acquisitions or cataloging.
- ibc** : Initial Bibliographic Control.
Indicates a record is still in its “initial” state, with all or some of its intended cataloging not yet completed.
- par** : Partial Bibliographic Control.
Optionally used by sections to indicate that some aspect(s) of the processing of a resource beyond initial bibliographic control have been completed but some other aspect(s) remain to be completed. Sections deciding to use the code also decide what the code means within the section. Some may choose the code to mean the descriptive aspect is completed but that subject work remains to be completed. Others may choose the code to mean that aspects of the record have been completed but that further work of an 'authoritative' nature (e.g., authority work needs to be done). Others may use a different set of conditions.
- rip** : Revised CIP Cataloging/Revised CIP Data.
Indicates CIP cataloging revised prior to the resource’s publication for which revised CIP data **should** be sent to the publisher.
- rix** : Revised CIP Cataloging/No Revised CIP Data.
Indicates CIP cataloging revised prior to the resource’s publication for which revised CIP data **should not** be sent to the publisher.
- vip** : CIP Verification in Process.
Indicates CIP verification is in process or will be done for a

published resource that has been received. Changed to "cbc" when that is completed.

und : Undetermined.

C16.10.2.3

\$c Local processing workflow (NR)

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

acqwork : Acquisition Processing Stream

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

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

muzenew : Compact Disc Workflow (IBCRs using MUZE data)

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

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

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

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

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

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

- origode** : LC Original ODE Cataloging.
Used for LC original cataloging created in an overseas office. Code "**lcode**" is in field 042.
- origres** : LC Original Resource-File-Based Cataloging.
Used for LC original cataloging based on a record in an internal or external resource file.
- pccadap** : PCC Adapted Cataloging.
Code "**pcc**" is in field 042. Used for a Program for Cooperative Cataloging record adapted for a resource **in LC**.
- pccunad** : PCC Unadapted Cataloging.
Code "**pcc**" is in field 042. Used for a Program for Cooperative Cataloging record for a resource (a) not in LC or (b) in LC but not yet completely processed.
- premunv** : PREMARC Unverified Record.
Used for a record (excluding "**oclrpl**" records) that was "unverified" in PREMARC before it migrated to LC ILS and that **has not yet** been evaluated and updated based on LC's source card or had headings changed to current forms, as necessary.
- premver** : PREMARC Verified Record.
Used for a record (excluding "**oclrpl**" records) that was "unverified" in PREMARC before it migrated to LC ILS and that **has** been evaluated and updated based on LC's source card. (Headings may be flagged with "[from old catalog]," if not yet evaluated for currency, or have had that removed when they were evaluated and changed to current forms, as necessary.)
- serasst** : Non-CONSER Copy
Used for an LC CONSER record based on an OCLC record that was CONSER-authenticated for the first time by the LC cataloger.
- sercoop** : CONSER Copy
Used for an LC CONSER record based on an OCLC record that was already CONSER-authenticated previously by another CONSER participant outside LC.
- serials** : Serial Bibliographic Record.
Used for LC CONSER and non-CONSER serial records, if no other ser***** code applies (or before other codes were adopted). Used also for LC integrating resources

records with Leader/07 “i” created in OCLC.

serissn : ISSN Record Created/serial not selected or not yet selected by LC
Used for a record created to register ISSN assignment for a US resource and for which LC has not yet made a selection decision or has made a decision not to acquire the resource.

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

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

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

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

undeter : Undetermined

C16.10.2.4

\$d Priority (NR)

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

1-4 : Priorities 1-4

5 : Priority 5 (*No longer assigned*)

u : Undetermined

C16.10.2.5

\$e CIP/PCN flag (NR)

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

ecip : Originally an electronic CIP record

epcn : Originally an electronic PCN record

ncip : Not originally either a CIP or PCN record

ocip : Originally a CIP record

opcn : Originally a PCN record

unde : Undetermined

C16.10.2.6

\$f Century flag (NR)

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

18 : 1800-1899

19 : 1900-1999

20 : 2000-2099

C16.10.2.7

\$g Stakeholder code (NR)

C16.10.2.7.1

General

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

C16.10.2.7.2

Maintenance prefix

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

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

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

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

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

C16.10.2.7.3

Complete Stakeholder Code

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

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

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

- n-oclserc** : Acquisitions and Bibliographic Control, serials cataloging and integrating resources cataloging staff, Record created and maintained in OCLC.
Indicates an LC CONSER serial record or an integrating resources record with Leader/07 "i," with the national level information created and maintained in OCLC and local data elements in LC ILS.
- n-rlinjack** : Acquisitions and Bibliographic Control, JACKPHY Record Maintained in RLIN 21 until August 18, 2007.
Indicates a record for a JACKPHY language resource initially input in RLIN 21 but **now maintained in the LC ILS**, despite the "n-" prefix. Changed to "y-rlinjack" in Chinese and Japanese records reloaded during JACKPHY migration to LC ILS, but KHAPY language records may still have "n-rlinjack." See guidelines in DCM M3.3.2.5 for maintaining records and in C16.10.2.7.2 for updating the 906 \$g code.
- n-undeterm** : Stakeholder Undetermined, No Regular Maintenance
- y-folklife** : American Folklife Center.
- y-gencatlg** : Acquisitions and Bibliographic Control, General Cataloging.
Indicates general cataloging by LC staff not covered by any of the other stakeholder codes.
- y-gencompf** : Acquisitions and Bibliographic Control, electronic resources cataloging staff.
Indicates a non-serial record created for an electronic resource by ABA staff who catalog electronic resources.
- y-genmicro** : Acquisitions and Bibliographic Control, microforms cataloging staff.
Indicates a non-serial record that contains an 007 field for microforms (that is, with value "h" in 007/00).

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

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

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

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

y-manuscri : Manuscript Division

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

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

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

Leader/06.

- y-rlinjack** : Acquisitions and Bibliographic Control, JACKPHY Record Maintained in LC ILS. Indicates a JACKPHY language record initially input in RLIN 21 but now maintained in the LC ILS. Used after LC JACKPHY cataloging migrated from RLIN to the LC ILS on August 20, 2007. See guidelines in DCM M3.3.2.5 for maintaining records and in C16.10.2.7.2 for changing the code from “n-rlinjack” to “y-rlinjack.”
- y-soundrec** : Motion Picture, Broadcasting, and Recorded Sound Division, Recorded Sound Section Processing Unit
- y-undeterm** : Stakeholder Interest Undetermined, Regular Maintenance. Indicates regular maintenance is done by usual procedures.
- z-acqworks** : Acquisitions and Bibliographic Access, acquisitions use
- z-cadworks** : Copyright Acquisitions Division (CAD)
- z-ilsserca** : Acquisitions and Bibliographic Control, LC Local Serials Acquisition Control (Record NOT Subject to Regular Maintenance) Indicates a non-CONSER serial record created in the LC system for basic bibliographic control and recording LC selection and location information. Also, serial IBC records have this code until cataloged.
- z-noregmai** : No Regular Maintenance

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

C16.11.1 Content Designation Summary

First and Second Indicators

: Undefined

Subfields

a : Selection decision (R)

C16.11.2 General Description and Instructions

Field 920 has no active uses now in LC bibliographic records. In the past, LC used 920 fields for selection information or for the note "LC HAS REQ'D # OF SHELF COPIES" as part of processing added copies.

Examples of former practice (Do not imitate):

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

Input selection information in **925** fields in new records. Generally do not change or delete 920 fields found in existing records. Do not do maintenance in 920 fields; instead, record new or changed selection information in field 925. Generally do not create a new 925 field for the same selection decision as in a 920 field that is already present in the record.

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

C16.12.1 Content Designation Summary

First and Second Indicators

: Undefined

Subfields

a : Book source acquisition information (R)

C16.12.2 General Description and Instructions

Field 922 has no active uses currently in LC bibliographic records. In the past, LC used field 922 for a code indicating source of material, other acquisition information, or code "lccopycat" for some former copy cataloging pilots.

Examples of past practice (Do not copy):

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

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

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

C16.13.1 Content Designation Summary

First and Second Indicators

: Undefined

Subfields

a : Additional information (R)

d : Formatted date (NR)

n : Shipment/invoice number (NR)

s : Supplier (NR)

C16.13.2 General Description and Instructions

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

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

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

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

C16.14.1 General

C16.14.1.1 Content designation summary

First Indicator–Current Decision

0 : Current decision

1 : Former decision

Second Indicator

: Undefined

Subfields

a : Selection decision for LC (NR)

b : Number of shelf copies/sets desired (NR)

c : Acquisition conditions (NR)

d : Disposition of unwanted material with outside agency (R)

e : Comment related to selection decision (R)

h : Custodial division (R) (*Only in Copyright records*)

x : Responsibility for selection decision (NR)

y : Office copy request (R)

z : Reference assignment request (R)

C16.14.1.2 General description and instructions

Field 925 contains information related to the selection of the resource for LC use. This field is mandatory in new bibliographic records that represent **published** resources, but not in those for resources that are unique, such as manuscripts and rare books. Generally do not create a new 925 field for the same selection decision as in a 920 field already present in a **completed** record. Input a new 925 field with an "Acquire" decision in an IBC record that has a 920 field with "Keep" but no 925 field.

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

C16.14.2 Subfields

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

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

acquire : LC retains shelf copies of the resource.

do not acquire : LC does not retain shelf copies of the resource.

undetermined : LC has not received the resource and it is not possible to make a decision prior to receipt.

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

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

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

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

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

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

Contains a statement of any conditions on how a resource may be acquired.

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

C16.14.2.4 *\$d Disposition of unwanted material with outside agency (R)*

Contains identification of an agency outside LC to which resources not wanted in LC are to be sent.

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

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

Contains a note with information concerning the selection decision that is not better recorded in another subfield of field 925.

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

C16.14.2.6 *\$x Responsibility for selection decision (NR)*

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

“policy default” : if the decision is based on general LC policy and no selection officer made the decision actively

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

initials : if a selection or recommending officer made or changed a decision (see recommending officers' initials at: www.loc.gov/staff/cpc/recommending.html)

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

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

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

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

Contains a statement alerting staff to assign an extra copy (beyond the number of shelf copies retained in LC, as recorded in subfield \$b) to an LC office unit that has requested one. (Does not cause acquisition; only indicates the desire for an unwanted copy if one is received.) Name the requesting unit and the requester in the statement (preferably followed by a date).

925 0# \$a acquire \$b 1 shelf copy \$x LS 04-15-99 \$y o-APLO,
S.Hayduchok, 07-22-99

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

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

Contains a statement alerting staff to assign an extra copy (beyond the number of shelf copies retained in LC, as recorded in subfield \$b) to an LC reference collection that has requested one. (Does not cause acquisition; only indicates the desire for an unwanted copy if one is received. Name the requesting reference location and the requester in the statement (preferably followed by a date)).

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

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

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

C16.15.1 Content Designation Summary

First and Second Indicators

: Undefined

Subfields

a : Cataloger's note (NR)

C16.15.2 General Description and Instructions

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

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

C16.16.1 General

C16.16.1.1 Content designation summary

First and second indicators

: Undefined

Subfields

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

C16.16.1.2 General description and instructions

LC staff input **charge statements** in field 955 (see C16.16.1.3) in order to record information of two kinds:

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

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

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

C16.16.1.3

Field 955 charge statements

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

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

Following those, when appropriate, also input:

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

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

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

```
955 ## $b jg02 2003-01-08 $c jg02 2003-01-08 to subj. $d jg16  
    2003-01-14 $e jg08 2003-01-14 to Dewey  
    (Current practice in aba)  
  
955 ## $a kklo 2001-07-18 in P&P; kklo 2001-07-23 to aale; aale  
    2001-07-30 to P&P storage  
    (Acceptable practice outside ABA)
```

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

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

C16.16.2

Tracking Locations of In-Process materials

Location information in a 955 field charge represents either:

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

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

The LC Local Bibliographic Record and Local Data Fields rev. November 2008

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

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

Example

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

C16.16.3 Tracking Added Copies

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

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

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

C16.16.4 Tracking added volumes

An “added volume” in these instructions is a part of a resource received after some other part(s) were already received for processing (as tracked in the record’s first 955 field). Track the receipt of added volumes in subfield \$a in additional, temporary 955 fields with messages about where they are sent for processing as shown in the following example:

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

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

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

C16.16.5 Identifying Functional Aspects of Cataloging

When you complete a function in the cataloging workflow, input a charge (per C16.16.1.2-C16.16.1.3) in the 955 functional aspect subfield corresponding to it (see information on subfields \$b-\$m, \$t, and \$w in C16.16.6).

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

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

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

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

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

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

Examples

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

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

C16.16.6 Subfields

C16.16.6.1 \$a Tracking information (R)

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

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

- 955 ## \$b zz17 2008-10-24 \$a zz00 2008-10-24
(Someone in a section created an IBCR. The item is located in that section awaiting processing)
- 955 ## \$b zz21 2008-11-01 \$i zz07 2008-11-05 \$a zz01 (rev.) 2008-11-06 ...
(After someone in a section created an IBCR and someone else there did whole item cataloging, someone reviewed the whole item cataloging)
- 955 ## \$a marcadia import ...
(Message identifies source of cataloging copy)

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

C16.17.1 Content Designation Summary

First and Second Indicators

: Undefined

Subfields

a : Publisher contact name/phone (R)

b : Miscellaneous note (R)

c : Congressional loan legend (R)

C16.17.2 General Description and Instructions

Contains temporary data used in CIP and PCN records. Deleted when the published item is received and CIP verification is done, at the same time as deleting field 263 (Projected Publication Date).

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

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

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

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

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

C16.18.1 General

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

Subfields

a : Comparison file (NR)

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

b : Note (NR)

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

C16.18.1.2 General description and instructions

Indicates that LC staff or contractors have compared a bibliographic record's holdings and/or item records with data from an LC manual inventory file, completing Shelflist Compare (see *Classification and Shelisting Manual, ILS Supplement*, Appendix A: <http://www.loc.gov/staff/catdir/cpso/SCMSLApA.html>) or procedures for another local file.

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

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

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

C16.19.1 General

C16.19.1.1 Content designation summary

First and Second Indicators

: Undefined

Subfields

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

C16.19.1.2 General description and instructions

Contains information about record source, loading, and maintenance. Generally, do not delete or change a 985 field found in an existing record.

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

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

Contains one or more maintenance codes that indicate content designation checks, data validation, and other data enhancements that have been made on a *PREMARC* record or on specified field(s) in one.

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

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

The LC Local Bibliographic Record and Local Data Fields *rev. November 2008*

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

```

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

```

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

C16.20.1 General

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

Subfields

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

C16.20.1.2 General description and instructions

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

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

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

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

C16.20.3 Subfields

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

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

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

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

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

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

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

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

C16.21.1 Content Designation Summary

First and Second Indicators

: Undefined

Subfields

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

C16.21.2 General Description and Instructions

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

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

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

C16.22.1 Content Designation Summary

First and Second Indicators

: Undefined

Subfields

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

C16.22.2 General Description and Instructions

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

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

C16.23 LEADER, 008, AND 006 FIELDS

The following guidelines give only key advice for using Leader, 008, and 006 values in the context of LC bibliographic records for monographs and integrating records. For more information, see the *MARC 21 Format for Bibliographic Data*, available in Cataloger's Desktop, in print, and via the Internet (<http://www.loc.gov/marc/bibliographic/ecbdhome.html>).

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

C16.23.1 Leader

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

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

C16.23.2 008 Field

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

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

C16.23.3 006 Field in LC Integrating Resource Records

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

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

E1 **Cataloging Streams/Initial Bibliographic Control: Books**

TABLE OF CONTENTS

E1.1	INTRODUCTION	3
E1.1.1	Purpose Of DCM E1	3
E1.1.2	Summary Of Cataloging Streams	3
E1.1.3	Summary Of Record Import Software	5
E1.1.4	Summary Of Record Copy Software	5
E1.2	ORIGINAL CATALOGING: EXCLUDING RESOURCE STREAM	6
E1.2.1	IBC Record Originates In Washington--Cataloging Completed By LC Staff	6
E1.2.1.1	<i>Resource is new to LC--no record for a previous edition</i>	6
E1.2.1.2	<i>Resource is new to LC--there is a record for a previous edition</i>	6
E1.2.2	IBC Record Originates In Washington--Cataloging Completed By Other Than LC Staff	6
E1.2.3	Cataloging (Full/Partial) Originates In An LC Overseas Office--Cataloging Completed By Washington Staff	7
E1.2.3.1	<i>Full cataloging--Washington does shelflisting only</i>	7
E1.2.3.2	<i>Descriptive only--Washington does subject/shelflisting</i>	7
E1.2.4	Cataloging (Full/Partial) Originates In An LC Overseas Office--Cataloging Completed By Other Than LC Washington Staff	8
E1.2.5	CIP Record--Cataloging Completed By Other Than LC Staff	8
E1.3	ORIGINAL CATALOGING: RESOURCE STREAM	8
E1.3.1	Vendor Records Loaded Directly Into The LCDB	9
E1.3.2	Resource Records Residing In An External Database	9
E1.4	COPY CATALOGING	9
E1.4.1	Z-Processor Import	10
E1.4.1.1	Regular copy cataloging	10
E1.4.1.2	EL7 copy cataloging	10
E1.4.2	MARCADIA import	10
E1.4.3	RLIN 21 Copy Replace	11
E1.4.4	Copy Cataloging--Upgraded LC IBC Record	11
E1.5	PROGRAM FOR COOPERATIVE CATALOGING (PCC)	11
E1.5.1	Background	11
E1.5.2	Availability Of PCC Record Noted	12
E1.5.3	PCC Adapt--Z-Processor Import	12
E1.5.4	PCC Adapt--RLIN 21 Copy Replace	12
E1.5.5	PCC Adapt--MARCADIA Import	12

E1.5.6	PCC Adapt--Upgraded LC IBC Record	13
E1.6	NATIONAL COORDINATED CATALOGING PROGRAM (NCCP)	13
E1.7	SPECIAL COOPERATIVE CATALOGING PROGRAMS: GPO; NLM; CIP PARTNERS	13
E1.7.1	GPO	13
<i>E1.7.1.1</i>	<i>1981-September 1995</i>	13
<i>E1.7.1.2</i>	<i>October 1995-1999</i>	14
<i>E1.7.1.3</i>	<i>2000-</i>	14
E1.7.2	NLM	14
E1.7.3	CIP Partners	14
E1.8	LC IBC RECORD--OTHER LIBRARY COMPLETES CATALOGING--LC USES	15
E1.8.1	Upgraded LC IBC Record In RLIN 21	15
<i>E1.8.1.1</i>	<i>PCC adapt</i>	15
<i>E1.8.1.2</i>	<i>Copy cataloging</i>	15
E1.8.2	Overseas Office Upgraded LC IBC Record--Z-Processor Import ..	16
<i>E1.8.2.1</i>	<i>PCC adapt</i>	16
<i>E1.8.2.2</i>	<i>Copy cataloging</i>	16

TABLES OVERVIEW OF IDENTIFICATION OF COMPLETED RECORDS

Table 1:	LC Original Cataloging Streams Including Resource Streams but Excluding LC Overseas Offices Stream
Table 2:	LC Original Cataloging (Full/Partial) Overseas Offices Stream--Washington Staff Completes Cataloging
Table 3:	LC Copy Cataloging Streams
Table 4:	Program for Cooperative Cataloging (PCC)
Table 5:	National Coordinated Cataloging Program (NCCP)
Table 6:	Special Cooperative Cataloging Programs with GPO and NLM
Table 7:	LC IBC Record--Other Library Completes Cataloging--LC Uses

E1.1 INTRODUCTION

E1.1.1 Purpose of DCM E1

This DCM states the conventions staff doing Initial Bibliographic Control (IBC) in the Acquisitions & Bibliographic Access Directorate (ABA) follow to identify unambiguously in the IBC record and the resource itself the cataloging stream under which a resource is being processed. They are summarized in descriptions which make use of the following symbols:

CAL in 040	=	cataloging library
TRL in 040	=	transcribing (inputting) library
MOL in 040	=	modifying library
UPL in 040	=	upgrading library
CBC	=	Completed Bibliographic Control
EL7 lccopycat	=	Encoding Level 7 Copy Cataloging
IBC	=	Initial Bibliographic Control
MCL0 symbol	=	MARC Code List for Organizations [formerly Symbols of American Libraries; formerly NUC symbols]
Z39.50	=	ILS Z39.50 information retrieval protocol

When staff search for and use external records after an initial IBC record has been created, they also are asked to follow the same identifying conventions listed in the descriptions.

For quick reference Tables 1-7 provide:

- 1) an overview of the identification of completed records in each category;
- 2) information about searching headings when LC creates or uses a record;
- 3) special slip identifying cataloging stream, if any;

E1.1.2 Summary Of Cataloging Streams

For purposes of this DCM a cataloging stream is a combination of two sets of conditions. The first set includes aspects of IBC, workflow, and identifying characteristics related to a catalog record in both an in-process and a completed state. The second set is related to a resource itself, usually in the form of slips inserted in the resource and data pasted in it (LCCN barcode label) or on it (call number label on unbound non-rare books). This DCM and the tables that accompany it have been organized into cataloging streams that can be summarized as follows:

- 1) **ORIGINAL CATALOGING:** cataloging for which LC staff in Washington (906 \$c = orignew) and overseas offices (906 \$c = origode) are responsible and that reflects the full set of bibliographic conventions specified in the documentation issued to LC catalogers;
- 2) **ORIGINAL CATALOGING--CIP UPGRADE:** cataloging for which LC staff in Washington do CIP cataloging (906 \$c = orignew; 906 \$e = ocip or ecip), another library upgrades the record to reflect the resource, and staff at LC import the record to be used at the time of CIP verification at LC; such records contain an 035 field indicating the system from which the record was imported and the symbol of the upgrading library in an 040 \$d;
- 3) **ORIGINAL CATALOGING--RESOURCE STREAM:** original cataloging whose IBC record is created by using a vendor record loaded directly into the LCDB or a resource record from an external source (906 \$c = origres); the resource record exhibits one (or all) of the following conditions:

- a) the cataloging indicia (e.g., 300, most 5XX) are **not** in English;
- b) the work is one for which LC provides subject headings but there is **no** LCSH-based subject heading (6XX field with second indicator zero or one) present.

This stream is also used if records with encoding level "3" (Abbreviated record) or "7" (Minimal level) are imported.

- 4) **COPY CATALOGING:** cataloging based on a bibliographic record prepared by another institution (906 \$c = copycat); such cataloging is from an external source (e.g., OCLC); to be a candidate for copy cataloging, a record must exhibit the following conditions:
- a) the cataloging indicia (e.g., terms in 300, most 5XX) **must** be in English;
 - b) if the work is one for which LC provides subject headings, there must be at least **one** LCSH-based subject heading (6XX field with second indicator zero or one) present.

Copy cataloging also includes cataloging that originated at LC as an IBC record (encoding level = 5), is completed by another agency other than a PCC or NCCP library, and then is subsequently used by LC; see DCM B13 for the guidelines for LC copy cataloging.

- 5) **ENCODING LEVEL 7 COPY CATALOGING;** a special form of copy cataloging (EL7 lccopycat) done at encoding level 7 (enc/lvl = 7; 906 \$c = copycat); implemented beginning in March 1, 2000; it takes its name from the fact that encoding level 7 (Minimal level) is applied to records imported and done as LC copy cataloging (042 = lccopycat); this allows a section to take a flexible approach to copy cataloging because a record with a lesser encoding level does not overlay/merge with a record with a higher encoding level in other databases, particularly in OCLC; because encoding level 7 conventions for name/series authorities are applied to EL7 lccopycat, LC can adjust the complements of name and subject headings without having a negative impact on existing records in other systems; see DCM B13, Appendix 7 (B13.10) for the guidelines for EL7 lccopycat;
- 6) **PROGRAM FOR COOPERATIVE CATALOGING (PCC):** the successor program beginning in 1996 to the National Coordinated Cataloging Program (NCCP); participating libraries create records to an agreed-upon standard (906 \$c = pccadap), and for this reason, although PCC records are generically copy cataloging, their character is predictable (e.g. headings are in authorized forms) and therefore they are treated in a stream separate from copy cataloging;
- 7) **NATIONAL COORDINATED CATALOGING PROGRAM (NCCP):** a general cooperative cataloging program in existence 1988-1996 that continued the long history of cooperative cataloging in LC; under the NCCP program, participating libraries, working both in MUMS and externally, created records to an agreed-upon standard (906 \$c = nccpada (if used by LC) or nccpuna (not yet used by LC)); the records consisted of newly created ones or upgrades to records that began as LC IBC or MLC records;

- 8) **SPECIAL COOPERATIVE CATALOGING PROGRAMS (GPO; NLM; CIP PARTNERS):** special cooperative cataloging programs conducted in conjunction with the Government Printing Office and the National Library of Medicine; these programs are oriented to resources for which these agencies have special expertise; the program with GPO (906 \$c = gpocoop; 040 \$a = DPGO/DLC) was discontinued in 2000 when the GPO Library became a PCC participant (since then GPO records have been done in the PCC adapt stream); the program with NLM (906 \$c = orignew; 040 \$a = DNLM/DLC) continues (the records represent resources cataloged through the CIP program with both NLM and LC contributing to each record).

In 2005 the CIP Program began to establish CIP partnerships with university libraries; NAL was added the following year. Several of the university libraries do CIP cataloging for forthcoming publications from their university presses. The means of identifying such records is the pattern established for NLM.

Each of the major cataloging streams described above subsumes a variety of categories as laid out in this DCM and its accompanying tables.

E1.1.3

Summary Of Record Import Software

- 1) **Z39.50:** an information retrieval protocol; the term “Z39.50” used alone refers to the ILS feature invoked by clicking on the “Remote” button on the ILS search window; when using this feature, any data manipulations required subsequent to import must be done by the person importing the record;
- 2) **Z-PROCESSOR:** software outside the ILS developed in the Acquisitions & Bibliographic Access Directorate (ABA) that makes use of the Z39.50 protocol to search for and import records; the software has been designed to assist selection of candidate records prior to import and to minimize the data manipulations staff must do subsequent to import; see DCM E2.6 (Appendix 1) for the guidelines for using Z-PROCESSOR; a special version of Z-PROCESSOR called Z-PROCESSOR Cip Ver, has been developed to search OCLC for upgraded CIP records originally issued by LC;
- 3) **RLIN 21 COPY REPLACE:** an RLIN 21 feature that made it possible for staff working in RLIN 21 to “import” data from an already existing catalog record created by an RLIN member library into an LC IBC record--replacing the bibliographic data in a target record with those from a source record; this took place within the RLIN 21 system itself;
- 4) **MARCADIA IMPORT:** MARCADIA was an RLIN service in which copies of candidate LC IBC records were sent to RLIN electronically and were run against the RLIN database; any matching records were returned to LC, loaded into the LCDB, and merged with the existing IBC record.

E1.1.4

Summary Of Record Copy Software

- 1) **MAKE A COPY:** a feature of the ILS invoked by clicking on the “Record” tab and choosing “Make a Copy” while an existing record (source record) is open in the cataloging module; the feature creates a new record (resulting record) by literally copying an existing one; any

data manipulations required for the resulting record must be done by the person doing the copying;

- 2) **Z-PROCESSOR EDITIONS:** a version of Z-PROCESSOR developed especially to copy existing records residing in the LCDB to be used for subsequent editions; regardless of the type of source record, the resulting record reflects the identifying characteristics of LC original cataloging, full or core, depending upon the cataloging level of the source record; the software has been designed to minimize the data manipulations staff must do subsequent to copying a record; see DCM E2.5 for the guidelines for using Z-PROCESSOR EDITIONS.

E1.2 ORIGINAL CATALOGING: EXCLUDING RESOURCE STREAM

In the following examples, the 906 field illustrates various characteristics of the cataloging stream and the record as described in DCM C16.10. An * in subfield \$d is a surrogate for an actual priority number. Only "ncip" is used in subfield \$d except when CIP cataloging is being illustrated. Two ** in subfield \$f are surrogates for "19" or "20." Only "y-gencatlg" is used in subfield \$g.

E1.2.1 **IBC Record Originates in Washington--Cataloging Completed By LC Staff** Table 1 provides an overview of this category.

E1.2.1.1 *Resource is new to LC--no record for a previous edition (Table 1)*

```
IBC record: 906 ## $a 0 $b ibc $c orignew $d * $e ncip $f **
             $g y-gencatlg
040 ## $a DLC $c DLC
042 ## $a pcc [if to be done as core; use discontinued June
             1, 2006]

Enc level (LDR/17) = 5 [or 4 if to be done as core]
Cat source (008/39) = blank

Resource:   priority slip (unannotated); other slips included as
             appropriate; LCCN in resource
```

E1.2.1.2 *Resource is new to LC--there is a record for a previous edition (Table 1)* Staff doing IBC use Z-Processor Editions (cf. E1.1.4 2)) to copy an existing record for a previous edition when one exists. With the advent of various new cataloging modes, such a record may reflect a cataloging mode other than "full" cataloging (e.g., core level). At the time the resource is cataloged, judge whether the level applied to the previous edition is appropriate to the edition in hand.

```
IBC record: 906 ## $a 0 $b ibc $c origcop $d * $e ncip $f **
             $g y-gencatlg
040 ## $a DLC $c DLC
042 ## $a pcc [if source record is core; use discontinued
             June 1, 2006]]

Enc level (LDR/17) = 5 [or 4 if source record is core]
Cat source (008/39) = blank

Resource:   priority slip annotated "copied"; green EDITION or
             TRANSLATION slip with LCCN of record of previous edition;
             printout of record for previous edition; other slips
             included as appropriate; LCCN in resource
```

E1.2.2 **IBC Record Originates in Washington--Cataloging Completed By Other Than LC Staff**

This stream includes various categories as follows:

PCC library completes externally; LC uses: see E1.8.1.1 and Table 7

NCCP library completed in MUMS or externally; LC uses: see E1.6

Non-PCC library completes externally; LC uses: see E1.8.1.2 and Table 7

E1.2.3 **Cataloging (Full/Partial) Originates In An LC Overseas Office--Cataloging Completed By Washington Staff**

These are resources for which all or part of the cataloging has been done in one of the Library's overseas offices (indicated by the code "lcode" in field 042). Some of the resources receive full cataloging (descriptive and subject aspects) and some only the descriptive aspect. (Some resources also receive minimal level cataloging; they are not handled by Washington cataloging staff.) Records for resources in roman and in the romanizing languages are created in the LCDB. They are then distributed as encoding level 5 records through the MARC Distribution Service. This is the only category of encoding level 5 records currently distributed outside LC. The cataloging may be completed in OCLC by an OCLC library. Such records may then be subsequently used by LC cataloging staff in Washington (*cf.* E1.8).

Table 2 provides an overview of the records completed in Washington; Table 7 provides an overview of records completed by other libraries and LC's subsequent use of them.

E1.2.3.1 *Full cataloging--Washington does shelflisting only* (Table 2)

These are records for which both the descriptive and subject aspects have been done in an overseas office. The shelflisting aspect is done in Washington. Overseas subject assignment may vary from being independent in certain disciplines to being under review in others. In general, resources are sent directly to the sections. Any slips in resources are appropriate to the resource and the originating overseas office.

```
IBC record:906 ## $a 0 $b ibc $c origode $d * $e ncip $f **
                $g y-gencatlg
040 ## $a DLC $c DLC
042 ## $a lcode
985 ## $e ODE-[xx]      [xx = code for individual office]

Enc level (LDR/17) = 5
Cat source (008/39) = blank
```

Resource: as appropriate to originating office; priority slip (unannotated); other slips included as appropriate; LCCN in resource

E1.2.3.2 *Descriptive only--Washington does subject/shelflisting* (Table 2)

The descriptive aspect is done in an overseas office. The subject/shelflisting aspect is done in Washington.

```
IBC record: 906 ## $a 0 $b ibc $c origode $d * $e ncip $f **
                $g y-gencatlg
040 ## $a DLC $c DLC
042 ## $a lcode
985 ## $e ODE-[xx]      [xx = code for individual office]

Enc level (LDR/17) = 5
Cat source (008/39) = blank
```

Resource: as appropriate to originating office; priority slip (unannotated); other slips included as appropriate; LCCN in resource

E1.2.4 Cataloging (Full/Partial) Originates In An LC Overseas Office--Cataloging Completed By Other Than LC Washington Staff

This stream includes various categories as follows:

PCC library completes externally; LC uses: see E1.8.2.1 and Table 7
 NCCP library completed in MUMS or externally; LC uses: see E1.6
 Non-PCC library completes externally; LC uses: see E1.8.2.2 and Table 7

E1.2.5 CIP Record--Cataloging Completed By Other Than LC Staff (Table 1)

Staff doing CIP verification import an already upgraded record for a resource in hand using Z-CipVer. 906 subfield \$f is either "ecip" or "ocip." The second example shows the result of the data manipulations done by Z-CipVer in combination with the ILS merge profile.

```
VIP record: 906 ## $a 0 $b vip $c orignew $d 1 $e ocip $f **
             $g y-gencatlg
040 ## $a DLC $c DLC
042 ## $a pcc [if cataloging done as core; discontinued use
             June 1, 2006]

Enc level (LDR/17) = 8
Cat source (008/39) = blank

VIP record: 906 ## $a 0 $b vip $c orignew $d 1 $e ocip $f **
(after import)      $g y-gencatlg

035 ## $a [source system control number]
040 ## $a DLC $c DLC $d UPL $d DLC
042 ## $a pcc [if cataloging done as core; discontinued use
             June 1, 2006]

Enc level (LDR/17) = [blank, 4, or 8, depending upon what
                     upgrading library does]
Cat source (008/39) = blank
```

To minimize changes at CIP verification, the record reflects LC original cataloging. Field 035 is generated to show the system from which the record was imported. An 040 \$d contains the symbol of the upgrading library.

E1.3 ORIGINAL CATALOGING: RESOURCE STREAM

The records in this stream are resource records obtained from the following sources:

- 1) vendor records loaded directly into the LCDB for known-resource receipts according to the specifications of an approval plan;
- 2) resource records, including vendor records, residing in an external database (e.g., OCLC).

Records are candidates for this stream if: 1) the language of cataloging (e.g. 300, most 5XX), **not** the language of the content, is **other** than English or 2) the cataloging indicia are in English **and** the work is one for which LC normally provides subject access **but** there is **no** LCSH-based subject heading (6XX field with second indicator zero or one) present. Catalog these resources as original LC cataloging.

As noted above, LC's LCDB contains records from vendors (e.g., Puvill Libros, Barcelona, Spain (MCLO = SpBaP); Casilini libri (Fiesole, Italy (MCLO = ItFiC)). When these records are used by LC directly in the LCDB they are done as part of the resource stream and the cataloging is

done as LC original cataloging. However, when vendor records are loaded into OCLC, are upgraded/completed by another library, and are then imported for use by LC, they are usually done under the copy cataloging stream (E1.4). This is because they will usually have been changed by the other library to meet the criteria for copy cataloging (cataloging indicia = English; at least one LCSH-based subject heading (6XX field with second indicator zero or one) in cases of works given subject treatment by LC). **CAUTION:** before treating a vendor record as copy cataloging, ensure that it has actually been upgraded from the state it was in as initially issued. For example, if a record still contains one or more 653 fields, that might be a clue as to whether it has actually been upgraded or not.

Table 1 provides an overview of this category.

E1.3.1 Vendor Records Loaded Directly Into The LCDB (Table 1)

Vendor records loaded directly into the LCDB undergo a certain amount of preprocessing before they are loaded (e.g., an appropriate 906 field is generated) to minimize the number of data manipulations staff are required to do at the time a record is actually used. The records will have been preprocessed to reflect the following characteristics. In some cases it may be necessary to adjust the order of some of the variable fields.

```
IBC record: 906 ## $a 0 $b ibc $c origres $d * $e ncip $f **
           $g y-gencatlg
           035 ## $a [source system control number]
           040 ## $a DLC $c DLC
           042 ## $a pcc [core level; discontinued use June 1, 2006]
           985 ## $e VENDOR LOAD

Enc level (LDR/17) = 4
Cat source (008/39) = blank
```

```
Resource: lilac origres (906 $c = origres)slip; priority slip
(unannotated); other slips included as appropriate; LCCN in
resource
```

E1.3.2 Resource Records Residing In An External Database (Table 1)

For resource records residing in an external database, use Z-Processor to import them into the LCDB. Z-Processor does the data manipulations that result in the following:

```
IBC record: 906 ## $a 0 $b ibc $c origres $d * $e ncip $f **
           $g y-gencatlg
           040 ## $a DLC $c DLC

Enc level (LDR/17) = 5
Cat source (008/39) = blank
```

```
Resource: lilac origres (906 $c = origres)slip; priority slip
(unannotated); other slips included as appropriate; LCCN in
resource
```

E1.4 COPY CATALOGING

To be used for copy cataloging, a record must contain the following **two** characteristics: 1) the language of cataloging (e.g., 300, most 5XX) must be in English **and** 2) if the work is one for which LC normally provides subject access, there must be at least **one** LCSH-based subject heading (6XX field with second indicator zero or one) present. See DCM B13 for the guidelines applicable to copy cataloging. If a record does not fit these conditions, change it into one done in the resource stream as described in E1.3.2.

Copy cataloging records are identified by the code "lccopycat" in field 042.

Table 3 and part of Table 7 provide an overview of this category.

LC-created IBC records that are completed by non-PCC libraries and are then used by ABA sections are treated as copy cataloging; see E1.8.1.2 and E1.8.2.2 and Table 7.

E1.4.1 Z-Processor Import (Table 3)

Z-Processor may be used at the acquisitions stage to create IBC records. In addition, some cataloging staff search for copy after a resource has received IBC and is represented by an IBC record. In the latter case, when an imported record is saved, it undergoes a merge process with the IBC record already residing in the LCDB. In either case the resulting record exemplifies the characteristics of a copy cataloging record described below. See the following sections for interactions with PCC, NCCP, or LC IBC records completed externally and then used by LC.

E1.4.1.1 Regular copy cataloging (Table 3)

```
IBC record: 906 ## $a 0 $b ibc $c copycat $d * $e ncip $f **
           $g y-gencatlg
           035 ## $a [source system control number]
           040 ## $a CAL $c TRL $d DLC
           042 ## $a lccopycat
           097 00 [any LC or LC-based call number in 050 or 090 is
                converted to 097 00]
```

Enc level (Ldr/17) = if 4 in source record, retained, else 5
Cat source (008/39) = d (Other) or blank (Nat'l. bib agency)

Resource: white copycat (906 \$c = copycat)slip; priority slip (unannotated); other slips included as appropriate; LCCN in resource

E1.4.1.2 EL7 copy cataloging (Table 3)

A special form of copy cataloging called "Encoding-level 7 copy cataloging" (EL7 lccopycat) was implemented beginning in March 1, 2000. It takes its name from the fact that encoding level 7 (Minimal level) is applied to records imported and done as LC copy cataloging (042 = lccopycat). This allows a section to take a flexible approach to copy cataloging because a record with a lesser encoding level does not overlay/merge with a record with a higher encoding level in other databases, particularly in OCLC. Because encoding level 7 conventions for name authorities are applied to EL7 lccopycat records, LC can adjust the complements of name and subject headings without having a negative impact on existing records in other systems. See DCM B13, Appendix 7 (B13.10) for the guidelines for EL7 lccopycat.

The post-import characteristics of a record that is a candidate for EL7 lccopycat are the same as for regular copy cataloging described above in E1.4.1.1. The only difference is that the encoding level in the completed record is 7 instead of blank. The encoding level on initial import depends upon the value in the source record. If Z-Processor is used, 4 is retained, otherwise it is set to 5 (when it is changed to 7 is at the discretion of the section; PCC records are set to 5 (if source record is full) or 4 (if source record is core).

Resource: white copycat (906 \$c = copycat)slip; priority slip (unannotated); other slips included as appropriate; LCCN in resource

E1.4.2 MARCADIA Import (Table 3)

Retained for historical purposes. MARCADIA was an RLIN service in which copies of candidate LC IBC records were sent to RLIN and were run against the RLIN database. Any matching records were returned to LC, loaded into the LCDB, and merged with the existing IBC record. A MARCADIA import was treated as LC copy cataloging or as a PCC adapt (cf. E1.5.5). The post-import characteristics of a copy cataloging record processed through MARCADIA were similar to those for regular copy cataloging described above in E1.4.1.1 except that preprocessing done before they were loaded set the encoding level to 7 (for EL7 lccopycat) and created 955 and 985 fields that indicated the

record had received MARCADIA processing. 050 and 090 fields were retained; call number data in field 950 were converted to 097 00.

```
IBC record: 035 ## $a [LC ILS control number]
            906 ## $a 0 $b ibc $c copycat $d * $e ncip $f **
              $g y-gencatlg
            955 ## $a $a marcadia import
            040 ## $a CAL $c TRL $d DLC
            042 ## $a lccopycat
            985 ## $a rlin $c rlin $e marcadia

Enc level (Ldr/17) = 7
Cat source (008/39) = d (Other) or blank (Nat'l. bib agency)
```

E1.4.3 **RLIN 21 Copy Replace** (Table 3)

Retained for historical purposes. This was an RLIN 21 feature that made it possible for staff working in RLIN 21 to "import" data from an existing catalog record created by an RLIN member library into an LC IBC record thus replacing the bibliographic data in a target record with those from a source record; this took place within the RLIN 21 system itself.

```
IBC record: 906 ## $a 0 $b ibc $c copycat $d * $e ncip $f **
              $g n-rlinjack
            035 ## $a [RLIN 21 control number]
            040 ## $a CAL $c TRL $d DLC-R
            042 ## $a lccopycat

Enc level (Ldr/17) = 5
Cat source (008/39) = d (Other) or blank (Nat'l. bib agency)
```

E1.4.4 **Copy Cataloging--Upgraded LC IBC Record** (Table 7)

See E1.8.1.2 and E1.8.2.2 and Table 7 for the current treatment of LC IBC records upgraded by another library and used by LC.

E1.5 PROGRAM FOR COOPERATIVE CATALOGING (PCC)

E1.5.1 **Background**

In February 1995 the Program for Cooperative Cataloging (PCC) succeeded the National Coordinated Cataloging Program (NCCP). The records in this stream are PCC records created externally beginning in 1996.

Although PCC records are generically copy cataloging, because they are done to a known standard, their character is predictable (e.g., headings are in authorized forms) and they are treated in a stream separate from that of copy cataloging, namely the "PCC adapt stream."

The process of incorporating a resource represented by a PCC record into LC's collections is called the "PCC adapt" procedure or "PCC adapts" for short. PCC adapts are done by staff in ABA sections. Accept the headings without researching them.

A pink slip (pccacap (906 \$c = pccadap)) identifies records in the PCC adapt stream. It asks IBC staff to check a box indicating the record contains an LC-based call number. Whether the record has an LC call number or not determines whether the resource can be routed for shelisting.

PCC records are identified with the code "pcc" in field 042. Cataloging source (008/39) is "c" (Cooperative cataloging program) or blank (National bibliographic agency). The encoding level (Ldr/17) is either blank (Full level) or "4" (Core level). For resources done at core level, ensure the record reflects any data elements beyond the PCC standard that LC includes as part of an LC

core level record (cf. DCM B16, Appendices 2-3).

Table 4 and part of Table 7 provide an overview of this category.

NOTE ABOUT CLASSIFICATION: Be aware of a shift in orientation in LC's approach to LC classification practice from what was expected in NCCP (cf. E1.6) to what is found in PCC records. Whereas NCCP was oriented closely to LC practice, PCC is not. For PCC, the core-level book standard states "Assign at least one classification number from an established classification system recognized by MARC 21." Unlike NCCP, PCC libraries cannot be expected to follow strict LC practice regarding the application of LC classification. Consequently, there will be variations.

This shift in orientation has an impact on LC's use of PCC records. To insure an expedient workflow, those records containing an LC class number go directly to shelflisting. If in shelflisting staff discover that LC would use a different class number, change to that number. In some cases the discovery may not occur. If later it is brought to our attention, change the classification. Continue to support LC practice with respect to editions, bibliographies, and literary author numbers to the extent we know about a particular condition, whether it is discovered at the time of the PCC adapt or whether it comes to light subsequently. However, not all discrepancies will be caught and the policy is to accept the few inconsistencies that may be introduced. It is expected that the subject orientation of the sections will enable many of the inconsistencies to be resolved when resources are shelflisted.

E1.5.2 Availability Of PCC Record Noted

When using Z-Processor, the program will alert staff to the availability of a PCC record, which is preferred to other records that might be available.

E1.5.3 PCC Adapt--Z-Processor Import (Table 4)

```
IBC record: 906 ## $a 0 $b ibc $c pccadap $d * $e ncip $f **
           $g y-gencatlg
           035 ## $a [source system control number]
           040 ## $a CAL $c TRL $d DLC
           042 ## $a pcc
           097 00 [any LC or LC-based call number in 050 or 090 is
                 converted to 097 00]
```

Enc level (Ldr/17) = if 4 in source record, retained, else 5
Cat source (008/39) = c (Cooperative cataloging program) or
blank (National bibliographic agency)

Resource: pink pccadap (906 \$c = pccadap) slip; priority slip
(unannotated); other slips included as appropriate; LCCN in
resource

E1.5.4 PCC Adapt--RLIN 21 Copy Replace (Table 4)

Retained for historical purposes.

```
IBC record: 906 ## $a 0 $b ibc $c pccadap $d * $e ncip $f **
           $g n-rlinjack
           035 ## $a [RLIN 21 control number]
           040 ## $a CAL $c TRL $d DLC-R
           042 ## $a pcc
```

Enc level (Ldr/17) = if 4 in source record, retained, else 5
Cat source (008/39) = c (Cooperative cataloging program) or
blank (National bibliographic agency)

E1.5.5 PCC Adapt--MARCADIA Import (Table 4)

MARCADIA was an RLIN service in which copies of candidate LC IBC records were sent to RLIN and were run against the RLIN database. Any matching records were returned to LC, loaded into the LCDB, and merged with the existing IBC record. A MARCADIA import could be treated as a PCC adapt or as LC copy cataloging (cf. E1.4.2). The post-import characteristics of a PCC adapt record processed through MARCADIA were similar to those for other PCC adapts described above in E1.5.3. Preprocessing done before they were loaded set the encoding level to 5 (if source record was full) or 4 (if source record was core) and created 955 and 985 fields that indicated the record had received MARCADIA processing. 050 and 090 fields were retained; call number data in field 950 were converted to 097 00.

```
IBC record: 035 ## [LC ILS control number]
           906 ## $a 0 $b ibc $c pccadap $d * $e ncip $f **
             $g y-gencatlg
           955 ## $a marcadia import
           035 ## $a [LC ILS control number]
           040 ## $a CAL $c TRL $d DLC
           042 ## $a pcc
           985 ## $a rlin $c rlin $e marcadia
```

Enc level (Ldr/17) = if 4 in source record, retained, else 5
Cat source (008/39) = c (Cooperative cataloging program) or
blank (National bibliographic agency)

E1.5.6 PCC Adapt--Upgraded LC IBC Record (Table 7)

See E1.8.1.1 and E1.8.2.1 and Table 7 for the current treatment of LC IBC records upgraded by another library and used by LC.

E1.6 NATIONAL COORDINATED CATALOGING PROGRAM (NCCP)

The records in this stream are National Coordinated Cataloging (NCCP) records that were created either internally in MUMS or externally in OCLC 1988-1996. The process of incorporating a resource represented by an NCCP record into LC's collections is called the "NCCP adapt" process or "NCCP adapts" for short. This source will gradually diminish. The information about NCCP is being retained in this DCM because there are still some records in the LCDB that are candidates for NCCP adapt.

NCCP records are identified by the code "lcncpp" in an 042 field. NCCP records that were used by LC contain the code "nccadap" in 906 \$c. Those that have not yet been used contain "nccpuna." Table 5 provides an overview of this category (note that it reflects import software used before Z-Processor was developed). If a section receives a resource that fits any of the descriptions in that table, process the resource through the NCCP adapt process. If there are questions, consult ABA Policy.

E1.7 SPECIAL COOPERATIVE CATALOGING PROGRAMS: GPO; NLM; CIP PARTNERS

The distinguishing features of these programs are the data elements that identify the specific program (040 \$a subfield) and the data element used to identify a cooperative cataloging program in general (008/39 (Cataloging source)).

Table 6 provides an overview of this category.

E1.7.1 GPO (Table 6)

LC had a formal cooperative cataloging program with the Government Printing Office for the period 1981-2000. Under this program, LC made use of cataloging done by GPO.

*E1.7.1.1**1981-September 1995*

LC worked closely with GPO in training GPO staff regarding the conventions followed by LC in descriptive cataloging. The resources in this phase of the program included hearings, committee prints, and other selected federal publications cataloged by GPO. It was processed by the then Coop Team, RCCD. In general, the records representing these resources are identified as follows:

```
040 ## $a DGPO/DLC $c DGPO $d DLC
      [before LC began to import records directly from OCLC, the 040 read:
040 ## $a DGPO/DLC $c DLC $d DLC]
```

Cat source (008/39) = c

*E1.7.1.2**October 1995-1999*

As of October 1995, the resources in the program were limited to hearings cataloged by GPO. They were processed by the then Law Team, SSCD; they were imported from OCLC by staff in the then Exchange & Gift Division and are identified as follows:

```
IBC record: 906 ## $a 0 $b ibc $c gpocoop $d * $e ncip $f **
              $g y-gencatlg
035 ## $a [OCLC control number]
040 ## $a DGPO $c DGPO $d DLC
              [at desc cat stage $a subfield changed to:
              DGPO/DLC]
042 ## $a lccopycat [removed at desc cat stage]
050 00 $a IN PROCESS (UTILITY LOAD)
985 ## $c UTILITY $e LOAD
```

Cat source (008/39) = d [changed to c at desc cat stage]

Resources other than hearings cataloged by GPO (including hearings **not** cataloged by GPO) and **all** other federal publications (whether cataloged by GPO or not) were done as LC copy cataloging according to the conventions described above under E1.4.1.1 (or, if no copy was available, as original cataloging)

*E1.7.1.3**2000-*

In 2000 the GPO Library became a PCC library. Their records are now imported by staff in the U.S. Government Documents Section of the U.S. Anglo Division as PCC adapts (cf. E1.5.3). Hearings and other non-law resources are done in that section; law resources are routed to the Law Section, USPL.

E1.7.2**NLM**

Since 1984 LC has had a cooperative cataloging program with NLM for CIP material for clinical medicine. NLM works with these resources based either on a paper or electronic mode. An IBC record is transmitted electronically to LC. Staff in LC, mostly in the Science, Technology, Medicine Section, USPL, completes the cataloging, contributing LC call numbers and LCSH subject headings. These resources are identified as follows:

```
IBC record: 906 ## $a 0 $b ibc $c orignew $d * $e ecip [or ocip] $f **
              $g y-gencatlg
040 ## $a DNLN/DLC $c DLC
042 ## $a pcc [indicates NLM is a PCC library]
985 ## $a NLMCIP $d [yyyy-mm-dd]
```

Cat source (008/39)= blank since 2000; c through 1999

E1.7.3 CIP Partners

In 2005 the CIP Program began to establish CIP partnerships with university libraries (Cornell University Library was the first to join; the National Agricultural Library was added in 2006). Several of the university libraries do CIP cataloging for forthcoming publications from their university presses. The means of identifying such records is the pattern established for NLM.

```
IBC record: 906 ## $a 0 $b ibc $c orignew $d * $e ecip $f **
              $g y-gencatlg
040 ## $a [partner MCL0]/DLC $c DLC
042 ## $a pcc [indicates partner is a PCC library]
985 ## $a [partner MCL0]CIP $d [yyyy-mm-dd]
```

```
Cat source (008/39)= c [blank if national bibl. agency]
```

E1.8 LC IBC RECORD--OTHER LIBRARY COMPLETES CATALOGING--LC USES

Although LC discontinued distributing IBC records in May, 2000, IBC records from overseas offices (042 = lcode) continue to be distributed by CDS through the MARC Distribution Service as encoding level 5 records; these records can be completed by other libraries and can be imported back into LC for use by LC cataloging staff.

Records completed by PCC libraries are treated as PCC adapt records; those completed by non-PCC libraries are treated as copy cataloging records.

Table 7 provides a current overview of this category.

Since these records have all been issued/created as LC encoding level 5 records, it is assumed that use of externally completed cataloging stems from subsequent use by a cataloging section according to section discretion and practice.

E1.8.1 Upgraded LC IBC Record In RLIN 21

Retained for historical purposes.

E.1.8.1.1 PCC adapt (Table 7)

This procedure was the PCC adapt procedure described in E1.5.4 except the record originated as an LC IBC record.

```
IBC record: 906 ## $a 0 $b ibc $c pccadap $d * $e ncip $f **
              $g n-rlinjack
035 ## $a [RLIN 21 control number]
040 ## $a DLC-R $c DLC-R $d UPL $d DLC-R
042 ## $a pcc
```

```
Enc level (Ldr/17) = if 4 in source record, retained, else 5
Cat source (008/39) = blank [an exception (usually "c" when
042 = pcc); the team that used the record ensured
008/39 = blank]
```

E1.8.1.2 Copy cataloging (Table 7)

This procedure was the copy cataloging procedure described in E1.4.3 except the record originated as an overseas office-created IBC record.

```
IBC record: 906 ## $a 0 $b ibc $c copycat $d * $e ncip $f **
              $g n-rlinjack
035 ## $a [RLIN 21 control number]
040 ## $a DLC-R $c DLC-R $d UPL $d DLC-R
042 ## $a lccopycat
```

Enc level (Ldr/17) = 5
 Cat source (008/39) = blank [an exception (usually "d" when 042 = lccopycat); the team that used the record ensured 008/39 = **blank**]

E.1.8.2 Overseas Office Upgraded LC IBC Record--Z-Processor Import

E1.8.2.1

PCC Adapt (Table 7)

This procedure is the PCC adapt procedure described in E1.5.3 except the record originated as an overseas office-created IBC record.

IBC record: 906 ## \$a 0 \$b ibc \$c pccadap \$d * \$e ncip \$f **
 \$g y-gencatlg
 035 ## \$a [source system control number]
 040 ## \$a DLC \$c DLC \$d UPL \$d DLC
 042 ## \$a lcode \$a pcc
 097 00 [any LC or LC-based call number in 050 or 090 is
 converted to 097 00]

Enc level (Ldr/17) = if 4 in source record, retained, else 5
 Cat source (008/39) = blank [an exception (usually "c" when 042 = pcc); the section that uses the record ensures 008/39 = **blank**]

Resource: when a staff member searches and imports an LC IBC record completed by a PCC library (042 = pcc), the staff member adds the pink pccadap (906 \$c = pccadap) slip or not according to section practice; the resource already contains a priority slip (unannotated) and other slips as appropriate; LCCN in resource

E1.8.2.2

Copy cataloging (Table 7)

This procedure is the copy cataloging procedure described in E1.4.1.1 except the record originated as an overseas office-created IBC record.

IBC record: 906 ## \$a 0 \$b ibc \$c copycat \$d * \$e ncip \$f **
 \$g y-gencatlg
 035 ## \$a [source system control number]
 040 ## \$a DLC \$c DLC \$d UPL \$d DLC
 042 ## \$a lcode \$a lccopycat
 097 00 [any LC or LC-based call number in 050 or 090 is
 converted to 097 00]

Enc level (Ldr/17) = 5
 Cat source (008/39) = blank [an exception (usually "d" when 042 = lccopycat); the section that uses the record ensures 008/39 = **blank**]

Resource: when a staff member searches and imports an LC IBC record completed by a non-PCC library, the staff member adds the white copycat (906 \$c = copycat) slip or not according to section practice; the resource already contains a priority slip (unannotated) and other slips as appropriate; LCCN in resource

DESCRIPTIVE CATALOGING MANUAL
Overview of Identification of Completed Records

E1 Table 1
rev. Feb. 2009

CAL = Cataloging library
TRL = Transcribing (inputting) library

MOL = Modifying library
UPL = Upgrading library

ILS Z39.50 = Z39.50 protocol search invoked through the ILS
Z-Proc/Eds = Z-Processor Editions
Z-Proc = Z-Processor

MCLO symbols used in 040 (OCLC symbols may occur in CIPs upgraded externally) 906 \$b = cbc (completed bibliographic control) in all cases

Table 1: LC Original Cataloging Streams Including Resource Streams but Excluding LC Overseas Offices Stream					
LC-Created IBC Record (Washington)				Resource Stream IBC Record (not eligible for copy cataloging)	
	New; No Rec for Prev Ed	New; Rec for Prev Ed (Z-Proc/Eds)	CIP Rec Upgraded Ex- ternally, Used by LC (Z-CipVer)	Vendor Rec Loaded Directly to LCDB	External Resource DB (Z-Proc)
906 \$c	orignew	origcop	orignew	origres	origres
035	none	none	source system control number	source system control number	none
040	\$a DLC \$c DLC	\$a DLC \$c DLC	\$a DLC \$c DLC \$d UPL \$d DLC	\$a DLC \$c DLC	\$a DLC \$c DLC
042	pcc if core (used before June 1, 2006)	pcc if core (used be- fore June 1, 2006)	pcc if core (used before June 1, 2006)	pcc (used before June 1, 2006)	pcc if core (used before June 1, 2006)
985	none	none	none	\$e VENDOR RECORD	none
008/39 (Cat Src)	blank	blank	blank	blank	blank
Special Slip	no	priority slip: "copied"	no	lilac origres (906 \$c = origres) slip	lilac origres (906 \$c = origres) slip
Search Hdgs	yes	yes	yes	yes	yes

DESCRIPTIVE CATALOGING MANUAL
Overview of Identification of Completed Records

E1 Table 2
rev. Feb. 2009

CAL = Cataloging library
TRL = Transcribing (inputting) library)

MOL = Modifying library
UPL = Upgrading library

MCLO symbols used in 040

906 \$b = cbc (completed bibliographic control) in all cases

Table 2: LC Original Cataloging (Full/Partial) Overseas Offices Stream--Washington Staff Completes Cataloging		
	Full; Washington Staff Does Shelflisting Only	Descriptive Only; Washington Staff Does Subject/Shelflisting
906 \$c	origode	origode
035	none	none
040	\$a DLC \$c DLC	\$a DLC \$c DLC
042	lcode	lcode
985	ODE-[xx] [xx = code for individual office]	ODE-[xx] [xx = code for individual office]
008/39 (Cat Src)	blank	blank
Special Slip	only as appropriate to the particular overseas office	only as appropriate to the particular overseas office
Search Hdgs	no, if overseas office is independent	subject only

DESCRIPTIVE CATALOGING MANUAL
Overview of Identification of Completed Records

E1 Table 3
rev. Feb. 2009

CAL = Cataloging library
TRL = Transcribing (inputting) library

MOL = Modifying library
UPL = Upgrading library

EL7 = Encoding level 7 copy cataloging

MCLO or OCLC symbols used in 040

906 \$b = cbc (completed bibliographic control) in all cases

Table 3: LC Copy Cataloging Streams (see also Table 7)			
	Z-Processor Import	RLIN 21 Copy Replace (historical)	MARCADIA EL7 (historical)
906 \$c	copycat	copycat	copycat
035	source system control number	RLIN 21 control number	LC ILS control number
040	\$a CAL \$c TRL \$d DLC	\$a CAL \$c TRL \$d DLC-R	\$a CAL \$c TRL \$d DLC
042	lccopycat	lccopycat	lccopycat
985	none	none	\$a rlin \$c rlin \$e marcadia
Ldr/17 (Enc Lvl)	blank, 4, or 7 (EL 7)	blank or 7 (EL 7)	7
008/39 (Cat Src)	d (Other) or blank (National bibliographic agency)	d (Other) or blank (National bibliographic agency)	d (Other) or blank (National bibliographic agency)
Special Slip	white copycat (906 \$c = copycat) slip	white copycat (906 \$c = copycat) slip	white copycat (906 \$c = copycat) slip or division option
Search Hdgs	yes	yes	yes

DESCRIPTIVE CATALOGING MANUAL
Overview of Identification of Completed Records

E1 Table 4
rev. Feb. 2009

CAL = Cataloging library
TRL = Transcribing (inputting) library

MOL = Modifying library
UPL = Upgrading library

MCLO or OCLC symbols used in 040

906 \$b = cbc (completed bibliographic control) in all cases

Table 4: Program for Cooperative Cataloging (see also Table 7)			
	Z-Processor Import	RLIN 21 Copy Replace (historical)	MARCADIA (historical)
906 \$c	pccadap	pccadap	pccadap
035	source system control number	RLIN 21 control number	LC ILS control number
040	\$a CAL \$c TRL \$d DLC	\$a CAL \$c TRL \$d DLC-R	\$a CAL \$c TRL \$d DLC
042	pcc	pcc	pcc
985	none	none	\$a rlin \$c rlin \$e marcadia
Ldr/17 (Enc Lvl)	blank (Full level) or 4 (Core level)	blank (Full level) or 4 (Core level)	blank (Full level) or 4 (Core level)
008/39 (Cat Src)	c (Cooperative cataloging program) or blank (National bibliographic agency)	c (Cooperative cataloging program) or blank (National bibliographic agency)	c (Cooperative cataloging program) or blank (National bibliographic agency)
Special Slip	pink pccadap (906 \$c = pccadap) slip	pink pccadap (906 \$c = pccadap) slip	team/division discretion
Search Hdgs	no	no except series	no except series

DESCRIPTIVE CATALOGING MANUAL
Overview of Identification of Completed Records

E1 Table 5
rev. Feb. 2009

CAL = Cataloging library
TRL = Transcribing (inputting) library

MOL = Modifying library (NUC symbol)
UPL = Upgrading library (NUC symbol)

gl/OCLC = OCLC load software
Z39.50 = Information retrieval feature

MCLO symbols used in 040 906 \$b = cbc in all cases 906 \$c = nccpada (if LC used record) or nccpuna (if LC has not yet used record)

Table 5: National Coordinated Cataloging Program (NCCP)				
	Internal Source (MUMS)		External Source (OCLC Only)	
	NCCP Adapt	MLC (enc lvl 7) Upgrade	NCCP Adapt	MLC (enc lvl 7) Upgrade
	New		gl/OCLC Import	
035	n/a	n/a	OCLC control number	n/a
040	\$a CAL \$c TRL \$d DLC	\$a DLC \$c DLC \$d UPL	\$a CAL \$c TRL \$d DLC	\$a DLC \$c DLC \$d UPL
042	lcncpp	lcncpp	lcncpp	lcncpp
985	as appropriate	as appropriate	UTILITY LOAD	n/a
008/39 (Cat Src)	c	by exception: blank (usually c when 042= lcncpp)	c	by exception: blank (usually c when 042= lcncpp)
Special Slip	pink NCCP ADAPT slip	n/a	pink NCCP ADAPT slip	n/a
Search Hdgs	no	n/a; LC usually did not handle	no	n/a; LC did not handle

DESCRIPTIVE CATALOGING MANUAL
 Overview of Identification of Completed Records

E1 Table 6
 rev. Feb. 2009

CAL = Cataloging library
 TRL = Transcribing (inputting) library

MOL = Modifying library
 UPL = Upgrading library

MCLO or OCLC symbols used in 040

906 \$b = cbc (completed bibliographic control) in all cases

Table 6: Special Cooperative Cataloging Programs with GPO and NLM				
	GPO 1981-2000; GPO Library became PCC library in 2000 and records done as PCC Adapts since then (cf. Table 4)		CIP Material For Clinical Medicine (Science, Technology, Medicine Section, USPL)	
	Hearings Cataloged by GPO (Law Team, SSCD)	Materials Other Than Hearings Cataloged by GPO (Appropriate Team)	Pre-ILS	ILS
906 \$c	gpocoop	copycat	none	orignew
035	OCLC control number	OCLC control number	none	NLM control number
040	\$a DGPO/DLC \$c DGPO \$d DLC	\$a DGPO \$c DGPO \$d DLC	\$a DNLM/DLC \$cDLC	\$a DNLM/DLC \$c DLC
042	none	lccopycat	none	pcc to indicate NLM is a PCC library
985	UTILITY LOAD	UTILITY LOAD	APIF/MIG	NLMCIP [date]
008/39 (Cat Src)	c	d	c	c; blank after 2000
Special Slip	yellow HEARINGS slip	white COPY CATALOGING slip	as appropriate to CIP materials	as appropriate to CIP materials
Search Hdgs	subject only	yes	LC subjects only	LC subjects only

DESCRIPTIVE CATALOGING MANUAL
Overview of Identification of Completed Records

E1 Table 7
rev. Feb. 2009

CAL = Cataloging library MOL = Modifying library
TRL = Transcribing (inputting) library UPL = Upgrading library

MCLO symbols used in 040 (OCLC symbols may occur in records completed in OCLC)

906 \$b = cbc (completed bibliographic control) in all cases

	Table 7: LC IBC Record--Other Library Completes Cataloging--LC Uses			
	Overseas Office IBC (042 = lcode) Z-Processor Import		LC IBC Record in RLIN RLIN 21 Copy Replace (historical)	
	PCC Library Completed Record	Non PCC Library Completed Record	PCC Library Completed Record	Non PCC Library Completed Record
906 \$c	pccadap	copycat	pccadap	copycat
035	source system control number	source system control number	RLIN control number	RLIN control number
040	\$a DLC \$c DLC \$d UPL \$d DLC	\$a DLC \$c DLC \$d UPL \$d DLC	\$a DLC-R \$c DLC-R \$d UPL \$d DLC-R	\$a DLC-R \$c DLC-R \$d UPL \$d DLC-R
042	lcode pcc	lcode lccopycat	pcc	lccopycat
985	none	none	none	none
008/39 (Cat Src)	by exception blank (usually c when PCC)	by exception blank (usually d when lccopycat)	by exception blank (usually c when PCC)	by exception blank (usually d when lccopycat)
Special Slip	pink pccadap (906 \$c = pccadap slip (at discretion of section))	white copycat (906 \$c = copycat slip (at discretion of section))	pink pccadap (906 \$c = pccadap slip (at discretion of team))	white copycat (906 \$c = copycat slip (at discretion of team))
Search Hdgs	no	yes except series	no except series	yes

TABLE OF CONTENTS

M4.1	SUMMARY	1
M4.2	LC GENERAL POLICY	1
M4.3	BASES FOR SERIAL VERSUS NON-SERIAL	3
M4.4	RESOLVING SERIAL VERSUS NON-SERIAL QUESTIONS	3
M4.4.1	Known LC Serials	4
M4.4.2	Possible Serials	6
M4.5	NON-SERIAL INSTEAD OF SERIAL	8

M4.1 SUMMARY

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

M4.2 LC GENERAL POLICY

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

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

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

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

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

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

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

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

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

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

M4.3 BASES FOR SERIAL VERSUS NON-SERIAL

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

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

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

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

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

M4.4 RESOLVING SERIAL VERSUS NON-SERIAL QUESTIONS

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

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

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

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

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

M4.4.1 Known LC Serials

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

M4.4.2

Possible Serials

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

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

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

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

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

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

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

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

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

M4.5 NON-SERIAL INSTEAD OF SERIAL

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

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

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

DESCRIPTIVE CATALOGING MANUAL

Z1: NAME AND SERIES AUTHORITY RECORDS

Prepared by the

Policy and Standards Division

Library of Congress

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APPENDIX FOR LC STAFF

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APPENDIX FOR LC STAFF

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

- Subfield \$z when classifying “as a collection”
- “acq” records for collected sets
- Analytic record needed for multi-part item
- Number and relationship of bibliographic, holdings, and item records for multipart items and monographic series
- Technical report monographic series
- Multiple 050 fields in bibliographic records
- Catalog for cataloging purposes
- New headings matching entries with “[from old catalog]”
- Saving bibliographic records in LC ILS
- Authority generation/templates
- LAC name authority record adapt procedures for LC catalogers

Subfield \$z When Classifying “As a Collection”

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

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

“See separate records for volumes in this publication to identify LC’s holdings and to request individual volumes.”

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

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

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

“acq” Records for Collected Sets

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

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

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

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

Also, if the monographic series is selected for “technical report” treatment, use an existing “acq” record for the series for the local serial record for the series (see the technical

report section below).

Analytic Record Needed for Multipart Item

If parts of a new multipart monograph were sent for cataloging without analytic bibliographic records for the parts, and the person doing the cataloging decides the parts should be analyzed, follow section practice for creating the needed "ibc" analytic bibliographic records.

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

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

Holdings records (HR):

There should be holdings records for all bibliographic records (analytic records and collected set records) regardless of analysis decision.

Item records (IR):

There should be an item record for every part of a multipart item and for every monograph volume of a monographic series, regardless of analysis decision or classification decision.

At time of shelflisting, there should be an item record for every volume of a serial published annually or less often in a monographic series. At time of shelflisting, there will probably not be an item record for any volume of a serial published more often than annually in a monographic series.

Classification decision = classified separately

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

Anal. Bibl.

|

HR

Anal. Bibl.

|

HR

Anal. Bibl.

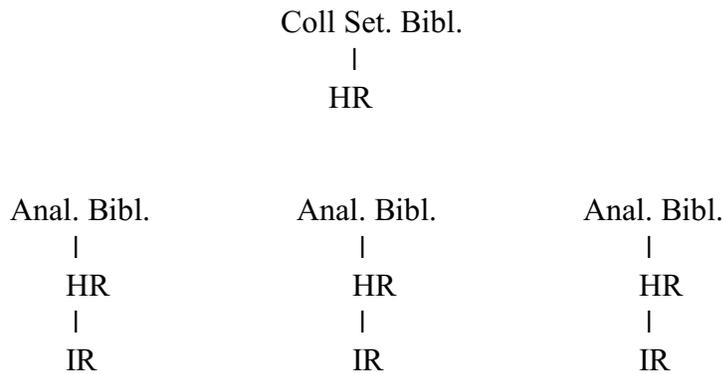
|

HR



Classification decision = classified as a collection and analysis decision = analyzed in full

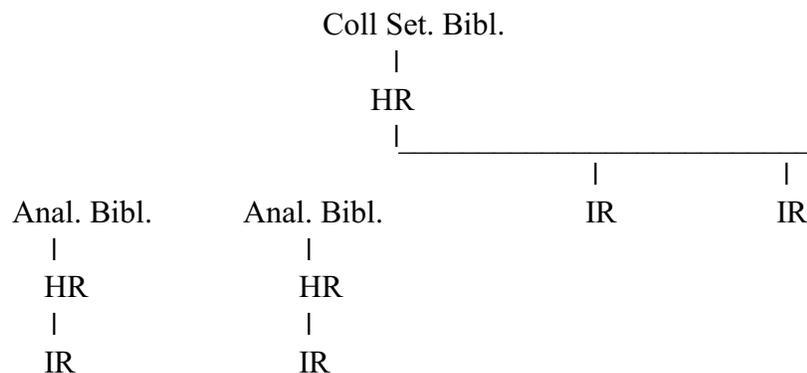
The holdings record for the collected set bibliographic record for the multipart item/monographic series will have no item records linked to it. Each item record will be linked to the holdings record which is attached to the specific analytic bibliographic record.



Classification decision = classified as a collection and analysis decision = analyzed in part

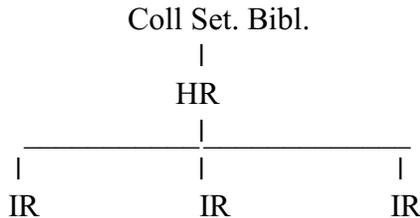
The holdings record for the collected set bibliographic record for the multipart item/monographic series will have linked to it the item records for the parts/volumes that are not analyzed.

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



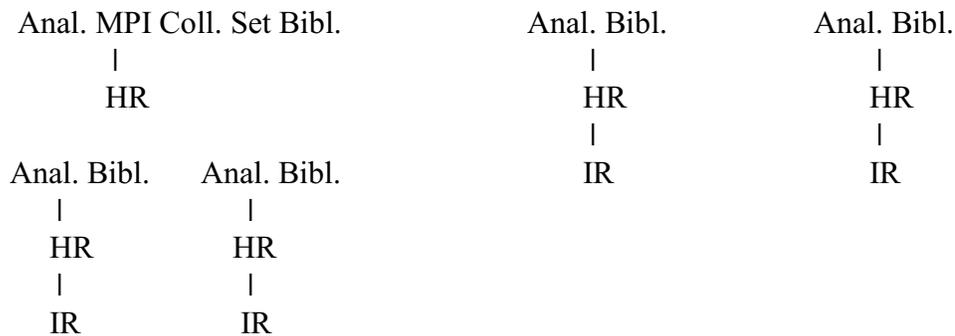
Classification decision = classified as a collection and analysis decision = not analyzed

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



Analytic is a multipart item

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



Technical Report Monographic Series

Decisions and series authority record

The “technical report” workflow at LC handles a brief, unbound item in a numbered

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

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

The Germanic and Slavic Division (GS) will have internal procedures for handling known and possible technical report issues.

Local serial bibliographic record

ST&B staff (and occasionally ASME catalogers) will process new technical report series by creating brief local serial records by using (a) acquisitions records if they are available, or (b) a technical report local serial record template.

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

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

Workflow for creation of a local serial bibliographic record

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

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

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

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

a. Ensure that the Leader has the following values

- (1) Status = n
- (2) Type = a
- (3) Bib/l = s
- (4) Arch = blank
- (5) Enc/l = 3
- (6) Form = a

b. Accept 008 as coded.

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

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

e. Add 500 “Technical report” note via macro “Alt+Shift+F5.”

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

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

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

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

i. Add/adjust 92X field to read:

- (1) \$a = acquire
- (2) \$b = 1 shelf copy
- (3) \$x = policy default

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

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

2. Modify the holdings record for that bibliographic record.

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

b. Add “UNCLASSSED” in 852 \$h; there will be no 852 \$i.

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

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

5. Send publication(s) to custodial location.

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

C. No serial bibliographic record in the LC Database:

1. Create serial bibliographic record by using bibliographic template “Techreport.tem.”

a. Code following 008 information (ignore others):

- (1) Place of publication
- (2) Language

b. Give the series title in the 245 field. If a qualifier is needed to break a conflict, add a 130 field with the series title plus a qualifier.

c. Input 260 \$ab; there will be no 260 \$c even if first issue is in hand.

d. Supply height in 300 \$c. Do not supply number of volumes in \$a and do not supply \$b.

Example:

300 \$a v. \$c 28 cm.

e. In 500 “Description based on” note, add information from the issue to give the numbering to complete the note.

f. Add 710(s) for body(ies).

g. Complete 955 field by adding appropriate location with cataloger's code and date.

2. Create holdings record for the bibliographic record.

a. If you did not change the default location in your session defaults and

preferences, delete the default location in 852 \$b. Input the correct location (either “c-Asian” or “c-TRS/ST&B”) or select it by keying “Ctrl-I” (cursor must be in the data column) and then clicking on the appropriate line.

b. Add “UNCLASSIFIED” in 852 \$h; there will be no 852 \$i.

3. Do not create item record(s).

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

5. Send publication(s) to custodial division.

Contents of template for technical report local serial bibliographic record:

Leader:

Status = n
 Type = a
 Bib/l = s
 Arch = blank
 Enc/l = 3
 Form = a

008:

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

906	\$a 0 \$b bbc \$c serials \$d u \$e ncip \$f 19 \$g y-gencatlg
92_	\$a acquire \$b 1 shelf copy \$x policy default
955	\$a To
130 0	\$a
245	\$a
260	\$a \$b
300	\$a v. \$c
500	\$a Technical report
500	\$a Description based on:
710	\$a

Multiple 050 Fields in Bibliographic Records

In order to have all the assigned call numbers in the shelflist browse index and to have a consistent policy for all multipart item records, multiple 050 fields will be used in all multipart item collected set records when the parts have different call numbers. Serial records already use multiple 050 fields in such situations. The following information, from the SCM: SL, explains the procedures for multiple 050 fields.

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

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

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

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

(c) In the multipart item record:

(i) Give multiple 050 fields containing the different call numbers for the volumes, with the 050 fields in call number order.

(ii) Ensure that the call number for each collected larger multipart item/monographic series is also given in \$1 of the 490 for each larger multipart item/monographic series."

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

“2.c. Analytics in more than one multipart item/monographic series

...

(5) If different volumes of a classed-together multipart item analytic or serial analytic are in different larger multipart item/monographic series and the classification decision for one is “classified as a collection” and the classification decision for the other is “classified separately,”

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

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

(c) In the multipart item analytic record:

(i) Give multiple 050 fields containing the different call numbers for the volumes of the multipart item analytic, with the 050 fields in call number order.

(ii) Ensure that the call number for each collected larger multipart item/monographic series is also given in \$1 of the 490 for each larger multipart item/monographic series.

(d) In the serial analytic record:

(i) Give multiple 050 fields containing the different call numbers for the volumes of the serial analytic, with the call number for the most current volume as the first 050 field.

(ii) Ensure that the call number for each collected monographic series is also given in \$1 of the 490 for each series.”

The “Catalog” for Cataloging Purposes *

For all LC catalogers establishing new name, title, and name/title headings, the local catalog (or “catalog for cataloging purposes”) includes authority records and the bibliographic records in the LC database (including old PREMARC records) which have cbc, cbu, rip, rix, par, or vip in 906 \$b. For LC catalogers working in OCLC, the “catalog for cataloging purposes” includes the above plus the bibliographic records in the OCLC database.

*The “catalog” is defined as the database against which searching is performed in order to determine conflicts.

New Headings Matching Entries With “[from old catalog]”

If searching in the local catalog in conjunction with establishing a new name, title, or name/title heading finds entries in old PREMARC records for what looks like the same heading plus “[from old catalog],” determine whether the new heading represents the same entity as the old heading with “[from old catalog].”

If the new heading represents the same entity as the old heading with “[from old catalog]”:

Establish the new heading according to the appropriate standards, instructions, and procedures.

Modify the entries in the old PREMARC records as necessary to have the newly established heading and remove the “[from old catalog]” labels.

If the new heading represents a different entity from the old heading with “[from old catalog]”:

1. Establish the new heading, including qualifying information to break the conflict between it and the old heading, according to the appropriate standards, instructions, and procedures.
2. Do not modify the entries with “[from old catalog]” in the old PREMARC records.

LC ILS Authority Validation

Saving Bibliographic Records in LC ILS

The prescribed “Bypass Authority Control Validation” setting on the Validation tab of Session Defaults and Preferences in the LC ILS cataloging module (see DCM M6) is “**not checked**” (that is, authority control validation **not** bypassed).

Consequently, the LC ILS runs authority validation on a new or modified bibliographic record before saving it in the LC ILS database and the result is a display like the following:

Heading	Tag(s)	Validation	Bib Heading	Near Heading
Name	710	Nonexistent Heading	‡a North American Milk Bottle Association.	
Subject	650	Partial Heading Validation	‡a Milk bottles ‡x Collectors and collecting ‡z United States.	‡a Milk bottles [2]
Subject	651	Nonexistent Heading	‡a Untied States.	
Subject	651	Heading Validated	‡a Canada.	‡a Canada

Buttons: Create auth, Retrieve auth, Copy, Search..., Continue, Close

Do not rely on this LC ILS authority validation or on information in this display as satisfactory confirmation that headings in the bibliographic record are valid and under authority control. Instead, do that by finding and looking at the authority records for each heading individually and by consulting descriptive cataloging guidelines and subject heading instructions, as necessary. (In many cases, this validation is done in the course of preparations for the new record or modifications.)

This authority validation display can be of assistance in the following ways:

- If LC ILS authority validation matched a heading with an authority record (fully or partially, through an established heading or through a reference), you can retrieve the authority record and look at it by selecting the heading's line in the authority validation display and clicking "Retrieve auth."
- In some cases, "Nonexistent Heading" under Validation may be a clue that there is a typographical error in the heading in the bibliographic record. If you determine that is the case, correct the error.
- In other cases, "Nonexistent Heading" may signal that you need to create an authority record or ask a cataloger to create one. Search to confirm that before initiating creation of an authority record
- If you are creating the new name authority record, you can initiate the NAR process by selecting the heading's line in the authority validation display and clicking "Create auth." (Also see guidelines in DCM Z1, Appendix for LC Staff, "Authority Generation/Templates/Macros.")

Right-Click Validating Single Headings in LC ILS

You can get a validation message from LC ILS for a single heading field in an LC ILS bibliographic record by selecting the field (that is, by putting the cursor in the gray box to its left), “right clicking” the mouse, and clicking “Validate Heading in this field” from the resulting choices. Possible results are “This heading is validated” or a browse list of headings from bibliographic and authority records (none exactly matching the selected heading).

Do not rely on either result as satisfactory confirmation that the selected heading is valid and under authority control or not. Instead, obtain that confirmation by finding and looking at the authority record for the heading (for example, by clicking **Record / Retrieve authorities** on the menu bar and then selecting the authority record’s line on the resulting list) or by searching to determine that there is no authority record.

Authority Generation/Templates/Macros

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

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

NAR macro (“Ctrl+F7”)

Macro updates 008/39; adds tag 953 and waits for cataloger to add code and press “Enter” key;
macro adds \$b in 040; adds tag 010 and waits for cataloger to add LCCN.

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

LAC name authority record adapt procedures for LC catalogers

Section 1: Assumptions

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

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

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

Section 5: Searching Hints For The Amicus Authority File

Section 6: ILS Database Searching Parameters**Section 7: Sample Searches****Section 8: Comparison Between the Builder Search Codes and the Keyword Search Codes****Section 9: Procedures for LAC Verification for PCC Participants****Section 10: List of LAC Liaisons in ABA****Section 1: Assumptions:**

1. The Library and Archives, Canada's (LAC) authority file module of the AMICUS database is available as a remote database site in the System Administration module of the LC ILS so that it is available for catalogers to search via Z39.50 while in the cataloging module.
2. LC/PCC Catalogers will search Canadian corporate and personal name headings in the AMICUS authority file for verification of the heading form and to resolve complex authority record problems, conflicts, etc. involving Canadian name headings, when these fall into the parameters stated in DCM Z1 1XX section.
3. When a corporate name heading is **not** found in the AMICUS authority file, LC and PCC catalogers will continue to request verification from LAC, via the Web form found at: <http://www.loc.gov/catdir/pcc/naco/LAC-nacohdgform.html> (cf. DCM Z1 section 1XX for more information.)
4. It is not necessary to request LAC verification for personal name headings if these are not found in the AMICUS authority file.
5. When the appropriate name authority record (NAR) is found in the AMICUS authority file, the LC cataloger will "adapt" the NAR (cf. attached guidelines) and add the NAR by clicking on the sailboat icon to save it to the LC database.
6. Statistics will be kept to allow the inclusion of the LAC "adapted" NARs in the COIN Cooperative Projects Section's statistical reports. |
7. COIN has established procedures that will continue to assure that the AMICUS password is changed every six months (as per current procedures) without loss of access to the LAC database. |

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

Once the desired name authority record is found for an LAC corporate or a personal name it is incumbent upon the cataloger to examine the record carefully and assure that all fields comply with the current conventions and cataloging practices for creation of a new name authority records **before saving it** to the LC Database (Cf.: *Anglo American Cataloging Rules*

2ed. rev., Chapters 22-26, *Library of Congress Rule Interpretations* (LCRIs) Chapters 22-26, *MARC 21 Authority Format, LC ILS Bibliographic Workflow Training Document* no. 6, *Descriptive Cataloging Manual Z1*, section 1XX).

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

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

C. **010**: Add an LCCN using the generator icon for names as described in the “010 Guidelines for LC Staff” in DCM Z1 010 section.

D. **040**: Add a subfield \$d DLC and assure that the subfield \$b is set to “eng.”

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

F. **1XX**: Accept the heading “as is” unless modifications are necessary to conform with the principles set out in DCM Z1, section 1XX.

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

G. **4XX-5XX**:

Normally do not delete any 4xxs or 5xxs; however, adjustments may be made as necessary to conform to the current cataloging practices (e.g., add dates and/or qualifiers to references if these are included in the heading) and the conventions stated in DCM Z1, section 1XX.

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

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

H. **6XX**: Adjust 670s to reflect the current conventions set out in DCM Z1 for creation of NARs (e.g., add subfield \$b information when cataloging the same title, etc.) Add a 670 for the

book in hand if it is a **different title and it provides more** or variant information. Add other 670s and/or 675s as needed. **Delete 665 notes**; these may be converted to 670s.

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

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

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

L. **Keep a tally** of all LAC headings added to the LC Database and send these to the COIN Cooperative Projects Section on a weekly basis. |

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

LC-ILS	MARC21	Value in bold-type is the valid value when adapting LAC NARs. When in doubt check the <i>MARC 21 Authority Format</i>
Leader:		
Status (Record status)	05	n =(new)
Enc/1 (Encoding level)	17	n =(verified record) o =early notice record; if used-- add 667 field
008:	008:	
Subdivision	008/06	n =(not applicable)
Language of cataloging	008/08	underscore or blank is valid value
Cataloging rules	008/10	c =(AACR2)
Type of series	008/12	n =(not a series)
Heading use boxes:		
Main or added entry Subject added entry Series added entry	008/16	Check all boxes except for Series added entry
Personal name	008/32	May be set to any of these; adjust if necessary a=unique personal name b=nonunique name n=not a personal name
Modified record	008/38	underscore or blank is valid value
Romanization scheme	008/07	fill character is ONLY valid value; unless hdg. is Chinese*
Kind of record	008/09	a =(established)
Subject heading	008/11	a =(LCSH)
Numbered series	008/13	n =(not applicable)
Subject subdivision	008/17	n =(not applicable)
Govt. agency	008/28	fill character is ONLY valid value
Reference evaluation	008/29	May be adjusted if references added or deleted; a=references evaluated b=refs. not evaluated (not valid value for LAC) n=no references
Record update	008/31	a=is default b=rec. being updated; if used add 667 note
Level of establishment	008/33	a=is default; may be adjusted if necessary b=memo c=provisional d=preliminary n=not applicable
Cataloging source	008/39	underscore or blank is only valid value for LAC records

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

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

- 1) Click on the Voyager icon and then follow the usual procedures to access LC/ILS cataloging session.
- 2) After opening a session of the Voyager Unicode cataloging module click on the Search icon. A search box will appear (**figure 1**). Select remote.

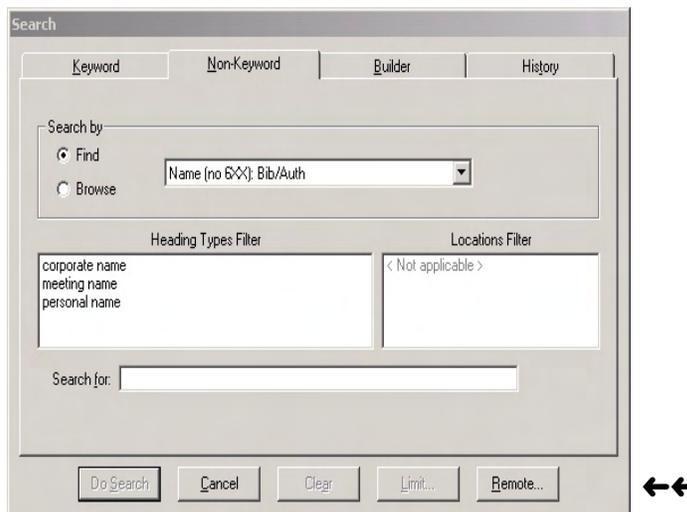


Figure 2

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

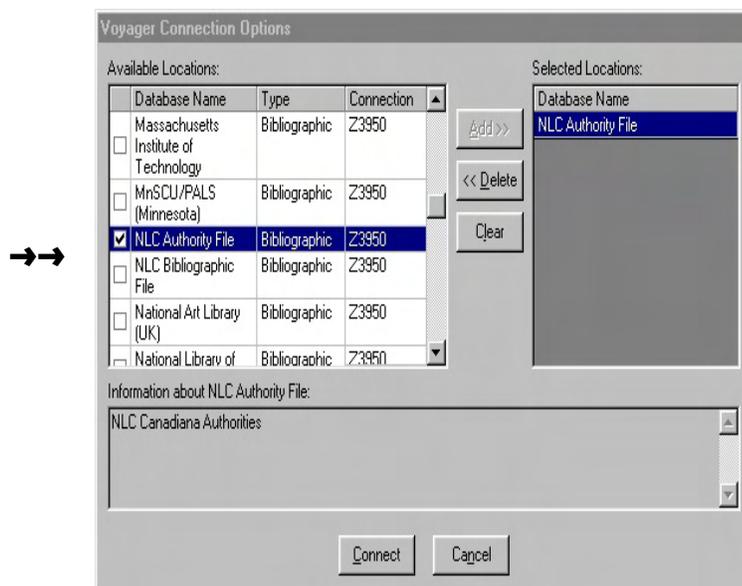


Figure 3

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



Figure 4

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

Section 5: Searching Hints for the Amicus Authority File

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

A) Non-Keyword Tab Search:

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

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

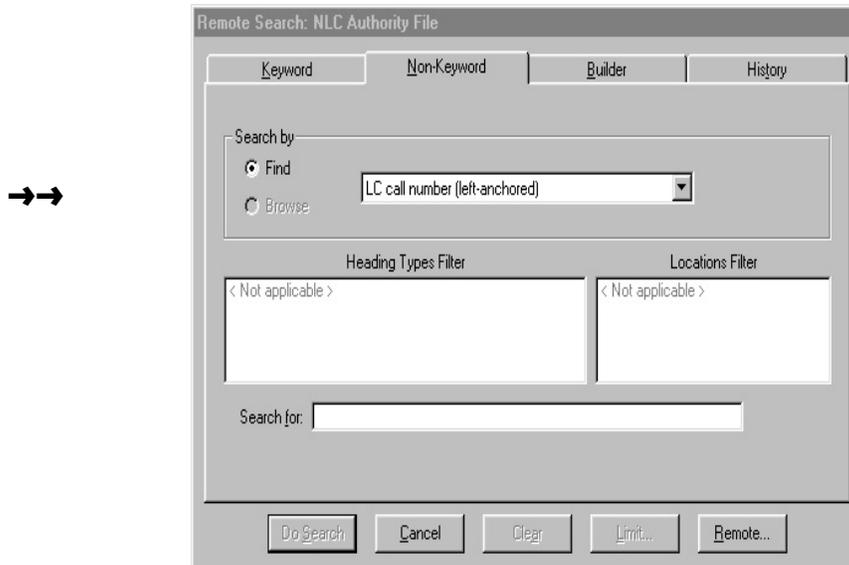


Figure 5

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

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

B) KEYWORD TAB SEARCH:

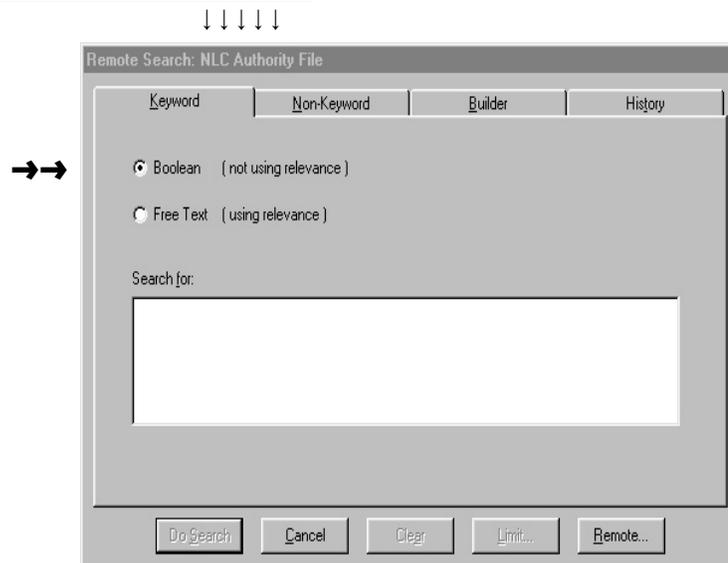


Figure 6

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

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

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

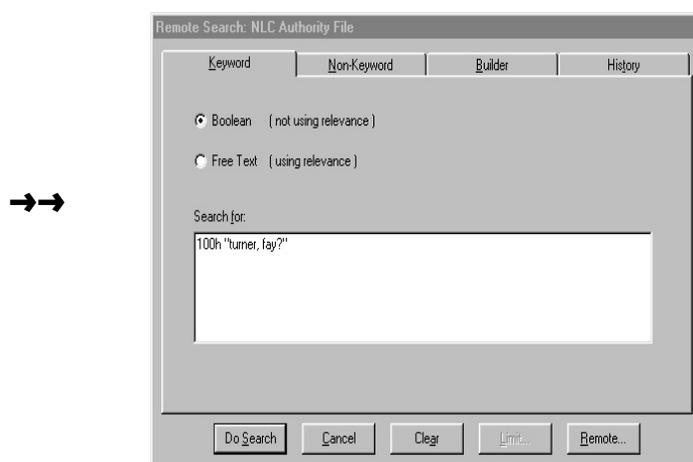


Figure 7

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

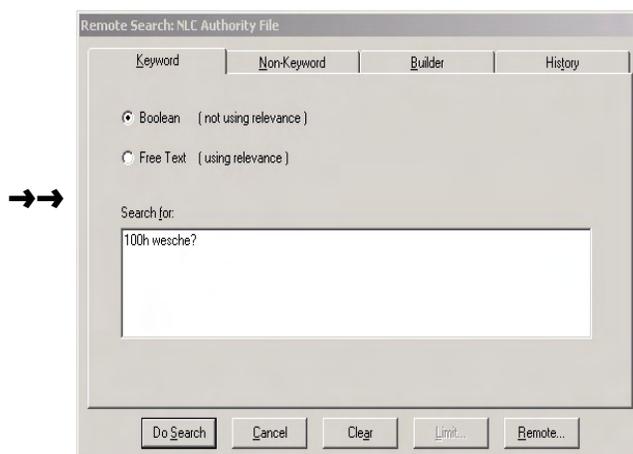


Figure 8

Section 6: ILS Database Searching Parameters

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

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

Section 7: Sample Searches

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

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

Section 8: Comparison Between Non-Keyword and Keyword searches

Codes:

The search codes in a non-keyword search has the same meaning as those in the keyword search. The only difference is that with the keyword search

one must type in a search command whereas in non-keyword one can choose from a list provided in a drop down menu.

KEYWORD SEARCH CODES

NALL
111H
110H
ISSL
05XX
100H
SALL
TALS

NON-KEYWORD SEARCH CODES

Author (left-anchored)
Conference name (left-anchored)
Corporate name (left-anchored)
ISSN (left-anchored)
LC call number (left-anchored)
Personal name (left-anchored)
Subject (left-anchored)
Title (left-anchored)

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

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

LC and PCC Participants will create an NAR and then request verification of LAC corporate name headings using the Web form at:

<http://www.loc.gov/catdir/pcc/naco/LAC-nacohdgform.html> The Coop Team's liaison is automatically copied on each request and will keep a statistical tally of the requests for verification. LAC will respond directly to the cataloger requesting verification and approve the heading or request modification of the NAR to match the LAC heading.

Section 10: List of LAC Liaisons in ABA.

<u>NAME</u>	<u>DIVISION</u>	<u>TELEPHONE</u>	
1) Doughty, Beth	USAN	7-2648	
2) Gilliam, Gracie	COIN	7-2250	
3) Richey, Alex	G&M	7-8508	
4) Thompson, Kimberly	USGEN	7-3465	