

Update Information
2016 Update Number 2

<i>DCM</i>	<i>Title</i>	<i>Action/Change</i>
B5	Cataloging Basics (Descriptive Cataloging Aspect)	Appendix 5: Guidelines for Language Codes; Government Publication Codes. Minor wording revisions; Intermediate translations instructions revised. Replace.
M3	Bibliographic and Authority Database Maintenance in the LC ILS	Minor wording revisions; M.3.3.2.2.2 instructions revised. Replace.
Z1	Name and Series Authority Records	1XX – Headings. Revised to reflect PCC series practices under RDA. Replace.
Z1	Name and Series Authority Records	336 – Content type. Replace.
Z1	Name and Series Authority Records	368 – Other Attributes of Person or Corporate Body. Added instructions for subfield \$d and repeatability. Replace.
Z1	Name and Series Authority Records	375 – Gender. Revised instruction about source of terms. Replace.
Z1	Name and Series Authority Records	4XX – See From Tracings. Revised to reflect PCC series practices under RDA. Replace.
Z1	Name and Series Authority Records	Tracings and References – General Information – 5XX fields. Replace.
Z1	Name and Series Authority Records	5XX – See Also From Tracings. Revised information on subfield \$w codes. Replace.

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<i>DCM</i>	<i>Title</i>	<i>Action/Change</i>
Z1	Name and Series Authority Records	500 – See Also From Tracing – Personal Name. Revised instructions on recording relationships. Replace.
Z1	Name and Series Authority Records	510 – See Also From Tracing – Corporate Name. Revised instructions on recording relationships. Replace.
Z1	Name and Series Authority Records	511– See Also From Tracing – Meeting Name. Revised instructions on recording relationships. Replace.
Z1	Name and Series Authority Records	Appendix 1: Ambiguous entities. Added information about fictitious characters. Deleted lists of ambiguous entities. Replace
Supplement to the MARC 21 Format for Authority Data	020 International Standard Book Number	Added subfield \$q instruction for NACO. Replace.
Supplement to the MARC 21 Format for Authority Data	162 Heading – Medium of Performance Term	New.
Supplement to the MARC 21 Format for Authority Data	462 See From Tracing – Medium of Performance Term	New.
Supplement to the MARC 21 Format for Authority Data	Tracings and References – General Information – 5XX fields	Updated information on subfield \$w codes. Replace.
Supplement to the MARC 21 Format for Authority Data	500 See Also From Tracing – Personal Name	Updated references to General Information section. Replace.

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<i>DCM</i>	<i>Title</i>	<i>Action/Change</i>
Supplement to the MARC 21 Format for Authority Data	510 See Also From Tracing – Corporate Name	Updated references to General Information section. Revised subfield \$0 instruction for LC catalogers. Replace.
Supplement to the MARC 21 Format for Authority Data	511 See Also From Tracing – Meeting Name	Updated references to General Information section. Revised subfield \$0 instruction for LC catalogers. Replace.
Supplement to the MARC 21 Format for Authority Data	530 See Also From Tracing – Uniform Title	Updated references to General Information section. Revised subfield \$0 instruction for LC catalogers. Replace.
Supplement to the MARC 21 Format for Authority Data	551 See Also From Tracing – Geographic Name	Updated references to General Information section. Revised subfield \$0 instruction for LC catalogers. Replace.
Supplement to the MARC 21 Format for Authority Data	562 See Also From Tracing – Medium of Performance Term	New.
Supplement to the MARC 21 Format for Authority Data	762 Established Heading Linking Entry – Medium of Performance Term	New.

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B5.10.1 ASSIGNMENT OF LANGUAGE CODES

Language codes are included in records for retrieval purposes; they permit language to be one of the factors used in various machine searches of the catalog. The language(s) of the text of a **resource** is represented in the machine record by a three-character alphabetic code(s) assigned by the descriptive cataloger from the latest edition of *MARC Code List for Languages* (<http://www.loc.gov/marc/languages/>). For purposes of recording language codes, the “text” of a publication refers to the main content of the **resource**, but may also include prefatory matter and appendices if they are significant.

If the language of a **resource** being cataloged is not given in the list, request information about the code to use from the **Policy and Standards Division (PSD)**. Examine the **resource** being cataloged to determine 1) any alternate forms or spellings of the name of the language and 2) the country or geographic area in which the language is spoken. Send this information, along with the **resource**, to **PSD**.

Input language codes in lowercase. If more than one language code is to be recorded, input all the codes in field 041; also input the first code in the fixed field for Language (008/35-37). If only one code is to be recorded, input it in the fixed field for Language and do not create an 041 field. Note that whenever an 041 field exists in a record, the code in the fixed field for Language must be the same as the first code in subfield \$a of field 041. Note also that in Voyager the codes are arranged in alphabetical order by code.

B5.10.1.0 Change in Practice

Through March 2003 multiple language codes occurring in field 041 related to the same condition were not individually subfielded, i.e., the multiple codes were input immediately adjacent to one another. Beginning in April 2003, multiple language codes occurring in field 041 are individually subfielded with the subfield appropriate to the condition. For example, the codes representing the languages of a multilingual **resource** are recorded in repeated \$a subfields. Those representing summaries in multiple languages are record in repeated \$b subfields. This revised DCM reflects this change in practice as shown in the examples in which multiple codes appear, but these changes have not been noted in the margin.

It is not necessary to apply the change in practice to older records that are updated for whatever reason.

B5.10.1.1 Text in One Language

Record the appropriate code. In IBC records, the code assigned at the pre-cataloging stage appears in the fixed field for Language. Review or revise this code as appropriate.

B5.10.1.2 Text in More Than One Language

B5.10.1.2.1 Predominance

Record each code in a repeated subfield \$a. Record the code for the predominant language first if readily apparent; record codes for all other languages in alphabetical order by code (i.e., not by language name). The predominant language is the one represented by the greater

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number of pages, etc. If the various segments of text are equal in extent or if predominance is not immediately apparent or if there is doubt as to which language is predominant, record all codes in alphabetical order by code.

EXAMPLE: A **resource** in Arabic, English, and French; English is the predominant language.

Input: 041 0# \$a eng \$a ara \$a fre

B5.10.1.2.2

Number of codes recorded

Record as many as six codes for text within a **resource**. If there is text in more than six languages, record the code for the language of the title **proper** followed by the code “mul” (multilingual) in a repeated \$a subfield.

NOTE: If the **resource** is in one language but has brief lines (snippets) in another language, do **not** treat the **resource** as multilingual, i.e., do not record a code for the language of the snippets. If, however, the **resource** is basically in one language but has extended passages (over several pages), extensive quotations and/or transcriptions, etc., in another language, consider it multilingual.

B5.10.1.2.3

Bibliographies, etc.

For bibliographies, catalogs, indexes, and guides to literature that contain citations in more than one language, record as many as six codes for the languages of the citations following the guidelines in DCM B5.10.1.2.1 above. If there are citations in more than six languages, follow B5.10.1.2.2 above.

B5.10.1.2.4

Language dictionaries

Treat language dictionaries as multilingual publications, **not** as translations.

B5.10.1.2.5

Initial publication of same text in more than one language

In general, treat **resources** which represent the initial publication in a single physical entity of the same text in more than one language (e.g., government publications of multilingual countries) as multilingual publications, **not** as translations. (In general, the original text does not exist independently of the publication in hand.)

EXAMPLE: A Dutch-French bilingual government publication from Belgium.

Input: 041 0# \$a dut \$a fre

B5.10.1.2.6

Talmud

Use the codes “\$a arc \$a heb,” since the original texts are in Aramaic and Hebrew. In cases of translations of the Talmud, use these codes as the languages of the original when the translation is of the original.

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B5.10.1.3 **Translations**

B5.10.1.3.1 *Publication of original*
Treat a **resource** as a translation regardless of whether the work in the original language has been published or not.

B5.10.1.3.2 *Adaptation*
If a translation is **considered a new work because it has also been adapted**, do **not** treat as a translation. However, if a revised translation is **considered an expression of the original work**, consider it a translation for the purpose of assigning a language code.

B5.10.1.3.3 *Resources not treated as translations*
The following are **never** considered to be translations:

Editions of the Bible
Bibliographies, catalogs (including exhibition catalogs), indexes, and guides to literature

Language dictionaries
Language editions with no evidence of a language of translation
Separate but simultaneous initial publications of multilingual countries or institutions, regardless of whether a uniform title has been assigned.

EXAMPLE: United Nations publication in French. The same **work** has also been published separately in English, in Italian, in Spanish, and in Russian.

Input only the fixed field for language: fre

B5.10.1.3.4 *Content designation*
Indicate a **resource** is a translation by using value “1” in the first indicator position of field 041; two subfields (\$a and \$h) must be present. **As the occasion warrants, subfield \$k (Language code of intermediate translations) may also be present.**

- 1) Record the code of the language of the text in subfield \$a;
- 2) **If applicable, record the code of the intermediate language of translation in subfield \$k;**
- 3) **Record the code of the language of the original in subfield \$h.**

In most cases there will only be two language **codes** to be recorded: **that of the translation and that of the original.**

EXAMPLE 1: A **monograph** in English translated from French.

Input: 041 1# \$a eng \$h fre

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EXAMPLE 2: A **monograph** in English, translated from a Latin translation of a lost Greek original.

Input: 041 1# \$a eng \$k lat \$h grc

EXAMPLE 3: A **monograph** in English and Sanskrit translated from an **original in German and Sanskrit**.

Input: 041 1# \$a eng \$a san \$h ger \$h san

NOTE: Prior to November 1989, catalogers at the Library of Congress did not assign subfield \$h. The codes for the original languages were input in subfield \$a following the code for the language of the text in hand. The three examples above would have been content designated:

041 1# \$a engfre
041 1# \$a englatgrc
041 1# \$a engger

If field 041 in an existing record has first indicator value “1” and no subfield \$h, assume that the field was content designated prior to November 1989.

(**NOTE ALSO:** Prior to April 2003, when multiple codes were appropriate to a subfield, they were not individually subfielded.)

B5.10.1.4 *Additional Guidelines for Translations*

B5.10.1.4.1 *Text in the original language and also in one or more translations*
Treat as a translation. Record the code for the language(s) of the translation(s), followed by the code for the language of the original, each in a separate subfield \$a. Repeat the code for the language of the original in subfield \$h.

(**NOTE:** Prior to November 1990, the **resource** was not treated as a translation. The codes for the language of the translation and for the original language were recorded in alphabetical code order in subfield \$a.)

EXAMPLE: A **publication** of Plato’s *Republic* in the original Greek and in English translation:

Input: 041 1# \$a eng \$a grc \$h grc
Pre-Nov. 1990 practice: 041 0# \$a enggrc
(Note that first indicator value “0” was used.)

B5.10.1.4.2 *Original language not specified*
Treat as a translation. If the original language cannot be readily ascertained (do not investigate this matter at length), record the code “und” (undetermined) in subfield \$h.

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B5.10.1.4.3

Text in one language translated from two to six different languages

Record the code for the language of the translated text in subfield \$a of field 041. Record up to six codes, each in a repeated subfield \$h for the languages of the original. Input the code for the predominant language first if readily apparent; codes for all other languages of the originals are recorded in alphabetical order by code. If there is no predominant language or the predominance is not immediately apparent, input the codes in alphabetical order by code.

(NOTE: Prior to November 1990, only one predominant original language was recorded following the code for the language of the text of the translation. If the predominance was not determinable, the code of the original language of the first work in the **resource** was recorded.)

EXAMPLE 1: The **resource** is in French and contains three works, the first translated from German and two from Russian.

Input: 041 1# \$a fre \$h rus \$h ger
Pre-Nov. 1990 practice: 041 1# \$a frerus
(Note that only "Russian" was used for original language.)

EXAMPLE 2: The **resource** is in French and contains two works, the first translated from Spanish, the second from English.

Input: 041 1# \$a fre \$h eng \$h spa
Pre-Nov. 1990 practice: 041 1# \$a frespa
(Note that only code "spa" was used because predominance was not apparent in the **resource**.)

B5.10.1.4.4

Text in one language translated from more than six languages, with no predominance apparent for any one of the original languages

Treat as a translation. In field 041, record the code for the text of the translation in subfield \$a and the code "mul" (multilingual) in subfield \$h.

EXAMPLE: An anthology of poems translated into English from eight Indic languages.

Input: 041 1# \$a eng \$h mul
Pre-Nov. 1989 practice: 041 1# \$a engmul

B5.10.1.4.5

Text in one language translated chiefly from one language but with some translations from other languages

Record the code for the text of the translation in subfield \$a of field 041 and the code for the predominant original language in subfield \$h.

EXAMPLE: An anthology of Spanish (with some Catalan) poetry translated into English.

Input: 041 1# \$a eng \$h spa

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B5.10.1.4.6 *Text in one language, some translated from the original, the rest from an intermediate language*
Record original and intermediate languages each in repeated subfields \$h.

EXAMPLE: **Resource** in English, part translated directly from Romanian original and part from French translation of Romanian original.

Input: 041 1# \$a eng \$k fre \$h rum

B5.10.1.4.7 *Text in one language with some translations*
Record the code for the single language of the text. Do **not** treat as a translation. Examples would be an anthology of the world's greatest poems, with the entire text in English; or conference proceedings in one language, in which some papers were translated for publication.

B5.10.1.4.8 *Text in two or more languages translated from one language*
Treat as a translation. Record up to six codes for the languages of the text, each in a repeated \$a subfield following the guidelines in DCM B5.10.1.2. If more than six languages are involved, input code "mul" (multilingual). Record in subfield \$h the code for the language of the original.

(NOTE: Prior to November 1990, only the code for the predominant text (or code "mul," if no language predominated or if there was doubt that one did) was input in subfield \$a.)

EXAMPLE 1: Text in English and French, translated from Vietnamese.

Input: 041 1# \$a eng \$a fre \$h vie
Pre-Nov. 1990 practice: 041 1# \$a mulvie
(Note code "mul")

EXAMPLE 2: Text in English and French; originally published in Inuit, with English translation.

Input: 041 1# \$a eng \$a fre \$h esk
Old practice: 041 1# \$a mulesk

B5.10.1.4.9 *Mixture of translations and originals*
If a **resource** contains separate pieces in various languages, some of which are translations and some of which are originals, follow DCM B5.10.1.2 to record languages of the text. Do **not** treat as a translation.

B5.10.1.5 **Summaries/Tables of Contents**

B5.10.1.5.1 *Summaries alone*

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If a **resource** includes a summary or summaries in language(s) other than that of the text(s), input codes for the languages of the summaries in alphabetical order by code, each in a repeated subfield \$b of field 041. (Abstracts are included in the category of “summaries.”) Subfields \$a and \$b are required, one for each code as appropriate.

EXAMPLE: Text in English with summaries in French, German, and Russian.

Input: 041 0# \$a eng \$b fre \$b ger \$b rus

B5.10.1.5.2

Translations with summary in the original language

Treat the **resource** as a translation. In addition, in subfield \$b record the code for the summary following the code for the original language. **NOTE** that the input order of subfields is \$a \$h \$b.

EXAMPLE: Text in English translated from Danish with a summary in Danish.

Input: 041 1# \$a eng \$h dan \$b dan

B5.10.1.5.3

Tables of contents

If a **resource** includes a table of contents in language(s) other than that of the text(s) and that fact is noted in field 546 (Language Note), input a code for each table of contents in alphabetical order by code in repeated subfields \$f of field 041.

EXAMPLE 1: 546 ## \$a Table of contents in English.

041 0# \$a rus \$f eng

EXAMPLE 2: 546 ## \$a Summary and table of contents in English.

041 0# \$a rus \$b eng \$f eng

EXAMPLE 3: 546 ## \$a Summaries in German; table of contents
in Polish and German.

041 0# \$a pol \$b ger \$f ger

EXAMPLE 4: 546 ## \$a Articles in Russian, English, and Italian with
summaries in French; table of contents in French;
abstract in English.

041 0# \$a rus \$a eng \$a ita \$b eng \$b fre \$f fre

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EXAMPLE 5: 546 ## \$a Text in Romanian with the table of contents in
Romanian, English, and Russian.

041 0# \$a rum \$f eng \$f rus

B5.10.1.6 Sign Languages

The 1996 edition of the *MARC Code List for Languages* incorporated a newly established code (“sgn”) for Sign languages. The code is a general one used to indicate “sign language” in a generic sense. Use of this code in bibliographic records indicates materials containing a sign language or the representation of a sign language. The particular sign system present is stated in a 546 field (Language Note).

If the sole medium of communication is a sign language, e.g., a book containing pictures of the handshape of each letter of a particular sign system, or a videorecording that is signed, use the code for Sign languages in the fixed field for Language (008/35-37).

When the medium of communication includes a sign language or its representation as well as one or more other languages, judge whether the sign language or its representation is substantial. If so, assign language codes in field 041 for all the languages, including the one for Sign languages. The important thing is to indicate whether sign language is present or not, rather than to worry about predominance or other discriminations more easily determined for other languages. If predominance is apparent, code for the predominant language in the fixed field and as the first \$a subfield in field 041. If such discriminations are not readily apparent, assign codes in alphabetical order by code, each in a repeated \$a subfield, using in the fixed field for Language the same code as in the first \$a subfield.

Use the 546 Language Note to state the particular sign system, e.g., American Sign language, British Sign language. Formulate the note to reflect the situation, i.e., use terminology to distinguish between cases in which the content of the whole **resource** is signed, whether as the sole medium of communication or in conjunction with one or more others, and those in which sign language is present but the whole **resource** is not signed (or it is not clear whether it is). For example, if the sole medium of communication in a video recording is a sign language, then it would be appropriate to express that in the note as “Signed in [name of sign system].” If a video recording includes open signing (i.e., a sign language interpreter appears in a separate frame), record the note as “Open signed in [name of sign system].” For those situations that are less straight forward, for example a book in which both a language and a sign language occur, possibly a dictionary or a manual, use in the 546 field the more general statement “Includes sign language; the sign system represented is [name of sign system].” If it cannot be determined what sign system has been used, record an appropriate note indicating that the **resource** is signed but not specifying the sign system (i.e., “Includes sign language.”; “Open signed.”).

B5.10.2 ASSIGNMENT OF GOVERNMENT PUBLICATION CODE

If a **resource** is a government publication, input a one-character alphabetic code representing the jurisdictional level of the body publishing the **resource** in the fixed field for Government publication (008/28). The codes to be used and the jurisdictional levels they represent are as follows:

–	Not a government publication
a	Autonomous or semi-autonomous component
c	Multilocal (i.e., regional combinations of jurisdictions below the state level)
f	Federal/national (i.e., sovereign nations, e.g., Canada)
i	International intergovernmental
l	Local (i.e., counties, cities, towns, etc.)
m	Multistate (i.e., regional combinations of jurisdictions at the state, provincial, territorial, etc. level)
o	Government publication-level undetermined
s	State, provincial, territorial, dependent, etc.
u	Unknown if item is government publication
z	Other
	No attempt to code

B5.10.3 NOTES ON ASSIGNING GOVERNMENT PUBLICATION CODE

Use the following notes as a guide to assigning the government publication code, recognizing that the process cannot always be a precise one and that it is necessary in some cases simply to use one's best judgment.

B5.10.3.1 Definition

A government publication is defined as any **resource** published by or for an international, national, state, or local government agency (including intergovernmental bodies of all types), or by any subdivision of such a body. Note that under this guideline a government body and all its subdivisions are treated as government bodies regardless of how they may be entered as headings (i.e., entered under jurisdiction or not). In the bibliographic record created for the **resource** being cataloged, the body may be a main or added entry, but it should be named as publisher, etc., in the publication, distribution, etc., area, or have caused the **resource** to be published (usually inferred when the governmental body is responsible for the content of the work). When in doubt, treat the **resource** as a government publication.

B5.10.3.2 Autonomous or Semi-Autonomous Level

Use code “a” only for autonomous or semi-autonomous components of Malaysia.

B5.10.3.3 Communist Countries

Since coding of all **resources** published in communist countries would limit the usefulness of this fixed field, government coding should be used only for the same types of bodies that would be considered government in a non-communist country. In coding **resources** in this manner, one may often have to follow the statement that “when in doubt, treat the **resource** as a government

publication.”

B5.10.3.4

Great Britain

Use code “f” for **resources** published by or for the governments of England, Wales, Scotland, and Northern Ireland.

B5.10.3.5

District of Columbia

Use code “l” for **resources** published by or for the government of the District of Columbia.

B5.10.3.6

Uncertainty Whether Government Publication

Use code “u” (Unknown if **resource** is government publication) if one is not sure whether the **resource** is published by or for a government agency.

B5.10.3.7

Uncertainty of Government Level

Use code “o” (Government publication--level undetermined) when the **resource** is clearly published by or for a government body but the jurisdictional level cannot readily be determined.

B5.10.3.8

Two Levels

If a **resource** is published jointly by government agencies at two different levels, code for the higher government level.

B5.10.3.9

Academic Institutions and University Presses

Treat **resources** published by academic institutions as government publications if the institutions are created or controlled by a government. This criterion includes state university presses in the United States. **NOTE:** Do not consider **resources** published by British university presses as government publications.

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M3.1 SUMMARY

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

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

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

<i>Subject Headings Manual</i> , H 165	Subject Heading Changes in Bibliographic Records
<i>Subject Headings Manual</i> , H 193	Changing a Heading or Deleting a Subject Authority Record
<i>Classification and Shelflisting Manual</i> , F 50	Classification Proposals
<i>Classification and Shelflisting Manual</i> , F 170	Call Number Changes
<i>Classification and Shelflisting Manual</i> , ILS Supplement, Workflow #20	Changing Call Numbers (www.loc.gov/staff/aba/psd/WF20.PDF)

M3.2 GENERAL GUIDELINES ON MODIFYING RECORDS

M3.2.1 Basic Policy

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

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

M3.2.2 Basic Procedure

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

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

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

M3.3 BIBLIOGRAPHIC RECORD MAINTENANCE

M3.3.1 Distribution of Responsibility for Maintenance

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

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

1) Eligibility	Is this record eligible for modification within the LC ILS system?
2) Responsibility	Can you do the maintenance needed in this record yourself? Or should you get cooperation from someone with necessary expertise to do it?
3) Workload	Do you absorb maintenance into your local workload? Or do you send maintenance requests to PSD?

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

M3.3.1.1

Determining eligibility

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

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

M3.3.1.2

Determining responsibility

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

Heading-only or non-heading maintenance?: If the record requires **maintenance only in headings**, generally you (individual/unit) can do the maintenance yourself (see also M3.3.2.1). If the record requires **changes in other record elements** (in

addition to or instead of heading changes), proceed to the next decision point, considering the record's processing status.

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

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

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

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

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

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

M3.3.1.3

Distributing workload

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

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

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

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

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

M3.3.2 Guidelines for Doing Record Maintenance

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

M3.3.2.1 *Heading maintenance guidelines*

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

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

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

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

In all other cases apply regular maintenance procedures.

M3.3.2.2.1

General procedures

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

M3.3.2.2.2

Notification of CIP pre-publication changes

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

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

When an ECIP record is still at the prepublication state and not yet in a CIP verification state (263=1111), it is important to notify the U.S. Programs, Law, and Literature Division CIP Publisher Liaison Team (USPRLL/CIPPL) if a change is made, especially if there is a change to an access point. Such notification applies to situations when the change is done outside the normal Traffic Manager change request workflow. Changing 906 \$b to “rip” does not automatically send revised CIP data to the publisher. A CIP Publisher Liaison sends revised CIP data to the publisher and updates the information in the Traffic Manager to indicate that revised CIP data was sent.

To provide notification of a pre-publication change outside of the standard Traffic Manager change request workflow, please send an email to a CIP Publisher Liaison or to a CIP Program Specialist with the LCCN of the pre-publication record that has been changed, and indicate that the CIP data needs to be resent.

M3.3.2.3

Specific elements

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

M3.3.2.4

Call numbers

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

M3.3.2.5

Maintaining monograph records with nonroman data

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

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

M3.3.3

Maintaining Less-Than-Full Records

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

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

M3.3.4 Canceling Records

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

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

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

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

M3.3.4.1

Inputting cancellation message

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

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

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

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

M3.3.4.2

Retrieving items in LC collections

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

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

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

M3.3.4.3 Tracking canceled LCCN

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

M3.3.4.4 Transferring holdings data and item records

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

M3.3.4.5 Preparation for re-labeling

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

M3.3.4.6 Deleting record or requesting deletion

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

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

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

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

M3.3.5 Changes in Type of Record (Leader/06)

M3.3.5.1 General

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

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

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

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

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

M3.3.5.2

Exceptional changes permitted in bibliographic Leader/06

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

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

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

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

M3.3.6 Changes in Bibliographic Level (Leader/07)

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

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

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

M3.4 AUTHORITY RECORD MAINTENANCE

M3.4.1 **Distribution of Responsibility for Maintenance**

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

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

M3.4.1.1 Determining eligibility

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

M3.4.1.2 Determining responsibility

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

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

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

M3.4.1.3 Distributing workload

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

M3.4.2 Guidelines for Doing Record Maintenance

M3.4.2.1 Coding records as “Being updated”

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

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

M3.4.2.2 Specific elements

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

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

M3.4.3 Canceling Records

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

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

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

M3.4.3.1 Inputting cancellation message

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

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

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

M3.4.3.2 Tracking canceled LCCN

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

M3.4.3.3 Deleting record or requesting deletion

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

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

M3.4.3.4 Determining and expediting needed database maintenance

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

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

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

M3.4.4 Changing Kind of Authority Record

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

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

M3.5 APPENDIX 1: UPGRADING BRIEF JACKPHY RECORDS

M3.5.1 General

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

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

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

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

M3.5.2 Procedure

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

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

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

M3.6 APPENDIX 2: FORMER UPGRADING PROCEDURES

M3.6.1 Upgraded Less-Than-Full Records

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

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

M3.6.2 Inactive CIP Records

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

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

1XX Headings

General

Note: The use of subfield \$h for the addition of content type in an authorized or variant access point is pending at this time.

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

When modifying an authority record for any reason, delete a final mark of punctuation in the 1XX field unless it is a part of the data (e.g., a period in an abbreviation) or is called for by the cataloging *instructions* (e.g., a parenthetical qualifier).

Note: in order to minimize the impact of database maintenance with associated bibliographic records and/or related authority records, catalogers are urged to refrain from making unnecessary changes to 1XXs.

NARs

Canadian Headings: RDA

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

SARs

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

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

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

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

For the title proper of a multipart **monograph**, consult **RDA 2.1.2.3**.

Choosing a monographic series title proper:

- (1) If the **resource** has more than one form of series title, consult **RDA 2.12.2.2 and 2.12.2.5**.
- (2) If the **resource** has the series title in more than one language or script on the same source, consult **RDA 2.12.2.4**.
- (3) If the **resource** has series title pages in more than one language and or script, consult **RDA 2.2.3.1**.
- (4) Consider spacing and changes in typography when determining where the series title begins and ends. Also consult **RDA 2.12.2.3**.

Establishing an SAR **access point**:

- (1) Determine choice of **authorized access point based on RDA 6.27 and its associated LC-PCC PS**.
- (2) Exclude from the **authorized access point** the following information included in the series statement in the bibliographic record **for the component part**:
 - (a) initial article in subfields \$a, \$t, \$n, and \$p;
 - (b) other title information;
 - (c) statement of responsibility;
 - (d) parallel title(s);
 - (e) ISSN;
 - (f) numeric/chronological designations.
- (3) Add a parenthetical qualifier(s) if appropriate according to the guidelines in **LC-PCC PS 6.27.1.9**.
- (4) If you **find** a CONSER record,
 - (a) do not use an **access point** from a record in the following categories:
 - 010 prefix is "cf"
 - 010 prefix is "cn" and 040 \$b is "fre"**unless you have determined that the access point on such a record is the correct RDA authorized access point**
 - (b) **accept** the choice and form of **access point** on records with 042 code of **lc**, **lcd**, or **pcc** as the **authorized access point** unless there is a clear-cut error. **If you are a CONSER participant, correct** an error in **form** of qualifier; **choice** of qualifier is accepted as found. If you are not a CONSER participant, notify the CONSER Coordinator (lhaw@loc.gov) if an error is discovered; use the correct **authorized access point** on the SAR.

336 Content Type

General

Note: The use of subfield \$h for the addition of content type in an authorized or variant access point is pending at this time.

Field 336 may only be used in NARs and SARs for expressions. 336 is always accompanied by a subfield \$2.

Subfield \$2 – Source of term

In subfield \$2 give “rdacontent.”

Subfield \$a – Content Type

Use terms from RDA 6.9. The list of terms is also available in the *Term and Code List for RDA Content Types* at: <http://www.loc.gov/standards/valuelist/rdacontent.html>

Subfield \$b – Content Type code

If giving subfield \$b instead of/or in addition to subfield \$a, use the code from the MARC format *Term and Code List for RDA Content Types* at: <http://www.loc.gov/standards/valuelist/rdacontent.html>

368 Other Attributes of Person or Corporate Body*General*

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

Examples:

110 2# \$a Freer Gallery of Art
368 ## \$a Art museums (institutions) \$2 aat

151 ## \$a France
368 ## \$b Countries (sovereign states) \$2 aat

100 0# \$a Joan, \$c of Arc, Saint, \$d 1412-1431
368 ## \$c Saints \$2 lcs

100 0# \$a Palamedes \$c (Arthurian legendary character)
368 ## \$c Arthurian legendary character

110 2# \$a Indiana (Battleship : BB-50)
368 ## \$a Battleships \$2 lcs
368 ## \$c BB-50

Do not record professions or occupations in subfield \$c (Other designation). Profession or occupation may be recorded in field 374.

Record titles of royalty, nobility or religious rank (RDA 9.4.1.4–9.4.1.8) in subfield \$d in the form used in the authorized or variant access points.

Examples:

100 0# \$a Alexander \$b VI, \$c Pope, \$d 1431-1503
368 ## \$d Pope \$s 1492 \$t 1503

100 0# \$a Jane Seymour, \$c Queen, consort of Henry VIII, King of
England, \$d 1509?-1537
368 ## \$d Queen, consort of Henry VIII, King of England

100 0# \$a Jeanne Marie, \$c sœur, \$d 1926-2013
368 ## \$d sœur

100 1# \$a Walsh, Joseph-Alexis, \$c vicomte, \$d 1782-1860
368 ## \$d vicomte

Repeatability:

In choosing between repeating a field vs. repeating a subfield: If the only addition to an existing field is an additional term from the same vocabulary, repeat the affected subfield. If the

vocabulary source differs, or if another associated element differs (such as a range of dates), repeat the field. Overall best practice: repeat the field when needed for clarity.

Example:

368 ## \$c Saints \$2 lcsb

368 ## \$d Metropolitan of Rostov

(One 368 uses a controlled vocabulary term and the other does not)

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

Follow the LC/PCC practice for subfield \$u and subfield \$v provided in the 046 field.

375 Gender*General*

When recording a term indicating gender, prefer controlled vocabulary, such as LCSH, recording the source in subfield \$2. For consistency, capitalize the first term in each subfield \$a. When terms do not come from a controlled vocabulary, use a singular form. Prefer use of terms over the ISO 5218 codes.

Repeatability:

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

4XX See From TracingsGeneral

Note: The use of subfield \$h for the addition of content type in an authorized or variant access point is pending at this time.

Consult RDA chapters 6, 9-11, and 16 for guidelines for possible variants for persons, families, corporate bodies, **places, works, and expressions**.

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

Not all 4XX references require justification; see "Justifying references" in the 670 **section of this document**.

Do not make a 4XX that normalizes to the same form as another 4XX on the same authority record or a 1XX on any name authority record. See the section "NACO normalization" in the Introduction.

Best practice guidelines for RDA:

- Record variants found in the manifestation being cataloged:
 - Use cataloger's judgment;
 - No limitation on the number or form of references;
 - Instead of or in addition to adding variants, consider providing access by adding 37X fields.

Example showing 378 without a variant for the fuller form of name:

```
100 1# $a Bucknum, David W.
378 ## $q David Walter
```

- Establish additional NARs for the authorized access points needed to support elements used in 4XX variant access points (e.g. parent body associated with subordinate body being established).
- **Generally** provide a variant form 4XX access point for a former 1XX authorized access point, unless the former authorized access point was egregiously incorrect. See the section "Subfield \$w (control subfield)" for more information.
- Use the established form of components in 4XX variant access points, except for non-Latin script variants, which may represent a mixture of scripts or may be entirely in a non-Latin script.
- Generally, do not remove variants unless egregiously incorrect (e.g., a non-Latin script variant that does not represent the same person).

- If a form found on the manifestation being cataloged includes a variant form of a component of a 4XX variant access point, that form may be used in its entirety as an additional 4XX variant access point, provided that it is not divided into its component parts through the use of subfields.

Examples:

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

```
110 1# $a United States. $b Bureau of Labor
      Statistics
410 2# $a Estados Unidos de América, Buró de
      Estadísticas Laborales
```

not

```
410 2# $a Estados Unidos de América. $b Buró de
      Estadísticas Laborales
```

```
110 2# $a Zhongguo yi ke da xue. $b Fu shu di 1 yi
      yuan
410 2# $a China Medical University, First Affiliated
      Hospital
```

not

```
410 2# $a China Medical University. $b First
      Affiliated Hospital
```

When changing the form of a superordinate body, a geographic name, or a personal name in a 1XX, update all of the existing NARs that use that component in a 4XX, unless the 4XX represents the former authorized access point (e.g., \$w/2=e).

Subfield \$w (control subfield)

When an authorized access point for a person (100) is changed because the person has changed his or her name, record the earlier form of name in a 400 with \$w nne if the variant is valid under RDA instructions.

Examples:

```
100 0# $a Francis, $c Pope, $d 1936-
400 1# $w nne $a Bergoglio, Jorge Mario, $d 1936-
      (Name changed upon election as pope)
```

100 1# \$a Rancic, Giuliana
 400 1# \$w nne \$a DePandi, Giuliana
(Name changed upon marriage)

When an authorized access point (1XX) based on CIP cataloging is changed because its form on the published resource is different from that on the CIP galley, a 4XX from the previous authorized access point form with subfield \$w nne may be added unless the former 1XX form was egregiously incorrect (e.g., the author's date of birth was given as 1775 instead of 1975 in the CIP galley).

When an authorized access point (1XX) is changed because of a change in cataloging instructions, record the earlier form in a 4XX using \$w. If the variant form is a valid reference under current RDA instructions, use \$w nne. If the variant form is not a valid reference under current RDA instructions, use \$w nea.

Examples:

130 #0 \$a Bible. \$p Baruch
 430 #0 \$w nne \$a Bible. \$p Apocrypha. \$p Baruch
(Coded "nne" because the variant is valid in RDA)

100 1# \$a Smith, Jonathan Kennon Thompson, \$d 1939-2014
 400 1# \$w nne \$a Smith, Jonathan Kennon
(Coded "nne" because the variant is valid in RDA; 100 form changed based on usage and dates of birth and death added because 100 was being changed)

100 0# \$a Pericles, \$d approximately 495 B.C.-429 B.C.
 400 0# \$w nea \$a Pericles, \$d ca. 495-429 B.C.
(Coded "nea" because the abbreviation "ca." is not valid for period of activity in RDA)

Note: NARs that had the 1XX form changed programmatically in 2013 recorded the earlier form in a 4XX using \$w nea regardless of whether the variant was valid in RDA. For example, "United States. Dept. of Commerce," is a valid reference in RDA if the abbreviated form has been used in resources associated with the corporate body, but it was recorded with \$w nea. It is not necessary to change the coding in these \$w references.

SARs

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

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

Variant access points may be recorded in any SAR, including those for series-like phrases.

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

Tracing and References – General Information – 5XX Fields*General*

See the 5XX section of this document for information on the use of subfield \$w and subfield \$i in 5XXs. For instructions about the use of subfield \$w that are unique to a particular field, see also the specific DCM Z1 section (e.g., 500 See Also From Tracing-Personal Name) for that field.

When otherwise modifying a NAR that contain codes that are no longer used such as subfield \$w position zero (0) code “d” or “f,” LC/PCC catalogers should upgrade the NAR to RDA.

5XX See Also From TracingsGeneral

LC/PCC catalogers applying RDA instructions may use subfield \$i in conjunction with subfield \$w code “r” for relationship designators. When applying RDA relationship designators in 5XXs, supply terms from Appendix I, J or K; capitalize the initial letter of the term and follow the term with a colon.

Until a decision is reached by the PCC Policy Committee on the use of relationship designators in authority records, LC/PCC catalogers may continue to use the subfield \$w codes “a” (earlier) and “b” (later) or optionally use the appropriate relationship designators from Appendix K to provide relationship links between corporate entities (510 or 511).

See the 500, 530, and 551 sections of DCM Z1 for information on the use of relationship designators and/or \$w codes in those fields.

Subfield \$w (control subfield)

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

\$w a = to indicate a reference from an earlier **authorized access point**

\$w b = to indicate a reference from a later **authorized access point**

\$w r = to indicate that a subfield \$i or subfield \$2 is used to denote relationship information

\$w nnc = to indicate a see also reference for multiple pseudonyms (record also contains a 663 field)

NARs

Consult RDA Chapters 9-16 and any corresponding LC-PCC PSs for guidelines on which 5XX references to make.

A see also reference tracing (5XX) must not normalize to the same as another see also reference in the same authority record, unless both 5XX fields contain a relationship designator in subfield \$i, and the texts of the relationship designators are different.

SARs

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

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

500 See Also From Tracing - Personal NameGeneral

LC/PCC catalogers may use subfield \$i with subfield \$w coded “r” when providing relationship links between a personal name and 1) the name of another person, family, or corporate body or 2) the authorized access point for a work or expression. This technique may also be used to relate authorized access points for works and expressions containing personal names. When using a term from Appendix I, J or K in subfield \$i, use a capital letter for the first letter of the term and follow the term with a colon.

Examples:

```
130 #0 $a Yentl (Motion picture)
500 1# $w r $i Film director: $a Streisand, Barbra
```

```
100 1# $a Alcott, Louisa May, $d 1832-1888. $t Little men
500 1# $w r $i Sequel to: $a Alcott, Louisa May, $d 1832-1888.
    $t Little women
```

When recording pseudonymous relationships for personal names when only two authority records are involved, LC/PCC catalogers may either 1) use subfield \$i and code “r” in subfield \$w or 2) use simple see-also references. For more information on these techniques and instructions on recording multiple pseudonyms (i.e., those involving a 663 field), see the *FAQ – LC/PCC RDA Practice for Creating NARs for Persons Who Use Pseudonyms* available at: <http://www.loc.gov/catdir/cps/pseud.pdf>

LC/PCC catalogers are reminded that when a variant name (400) and an authorized access point (100) are in conflict an addition should be made to either the 400 or 100 to resolve the conflict (e.g., fuller form of name, date of activity, etc.); the previous practice of changing the 400 to a 500 to resolve the conflict is no longer an option. When catalogers encounter a variant form in a 500 field in the course of updating a NAR, they should resolve the conflict and change the field to a 400.

SARs

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

510 See Also From Tracing - Corporate Name

General

Until a decision is reached by the PCC Policy Committee on the use of relationship designators in authority records, LC/PCC catalogers may continue to use the subfield \$w codes “a” (earlier) and “b” (later) or optionally use the **appropriate relationship** designators from Appendix K to provide relationship links between corporate entities.

LC/PCC catalogers may use subfield \$i with subfield \$w coded “r” when providing relationship links between corporate entities and **1) the names of other persons, families or corporate bodies or 2) authorized access points for works or expressions. This technique may also be used to relate authorized access points for works and expressions containing corporate names. When using a term from Appendix I, J or K in subfield \$i, use a capital letter for the first letter of the term and follow the term with a colon.**

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

SARs

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

511 See Also From Tracing - Meeting NameGeneral

Until a decision is reached by the PCC Policy Committee on the use of relationship designators in authority records, LC/PCC catalogers may continue to use the subfield \$w codes “a” (earlier) and “b” (later) or optionally use the appropriate relationship designators from Appendix K to provide relationship links between conference entities

LC/PCC catalogers may use subfield \$i with subfield \$w coded “r” when providing relationship links between corporate entities and 1) the names of other persons, families or corporate bodies or 2) authorized access points for works or expressions. This technique may also be used to relate authorized access points for works and expressions containing conference names. When using a term from Appendix I, J, or K in subfield \$i, use a capital letter for the first letter of the term and follow the term with a colon.

See LC-PCC PS 11.13.1.8 for guidance on relating authority records for ongoing conferences.

SARs

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

APPENDIX 1: AMBIGUOUS ENTITIES

Ambiguous Entities

1 INTRODUCTION

1.1 Background

Most access points representing entities fall into clearly defined categories and are established either as personal names, corporate bodies, jurisdictions, works or expressions, named meetings, etc., in the name authority file or as topical subject headings, named objects such as names of automobiles, geographical features, etc., in the subject authority file. There are, however, certain named entities that have been problematic as to

- a) whether the authority record for the authorized access point should go into the name authority file (descriptive cataloging) or the subject authority file (subject cataloging); and
- b) how the access points should be tagged in both authority and bibliographic records.

To eliminate this confusion and to standardize the formulation and tagging of access points for such entities, the former Office for Descriptive Cataloging Policy (Desc Pol) and the Office for Subject Cataloging Policy (Subj Pol), working under the aegis of the Director for Cataloging, developed guidelines with respect to

- a) the responsibility for establishing the authorized access points;
- b) the conventions to be used in formulating the authorized access points;
- c) the tags to be used for content designation; and
- d) the file (name and subject authority) in which the authority records for them should reside.

In 1994, the Cooperative Cataloging Council (CCC) established the CPSO/CCC Task Group on Issues Surrounding Maintenance of Separate Name and Subject Authority Files. This task group agreed to reduce the “logical” inconsistencies between the two files so that they could be more easily used together. To this end the task group recommended and the CCC approved the deletion from the subject authority file of duplicate headings that had been needed in the subject authority file to produce various products, such as *Library of Congress Subject Headings*.

In 1995 the Program for Cooperative Cataloging (PCC) (successor to the CCC) created a follow-on task group, PCC Task Group on Name Versus Subject Authorities, that considered and made recommendations on the remaining categories of entities that could be established by either descriptive or subject catalogers (cemeteries, city sections, concentration camps, and country clubs), events, and tagging conventions for certain “geographic” entities. The PCC approved the task group's recommendations, and the results are reflected below.

1.2. General guidelines

a) These guidelines relate primarily to the family of problem cases, not to the ones that are clear-cut. For example, the tagging decisions appended include some entities that are within the concept “corporate body” but are also judged to exemplify the concept “geographic” and, therefore, are tagged 151. (Note that when entities tagged 151 in the authority file are used as access points in bibliographic records (110, 710, 810), the first indicator is set to the value 1.) Care should be taken, however, that a name containing one of the terms noted in one of the lists is indeed a member of that category, e.g., Xavier

Ranch Corporation is not a ranch in the sense of the Group 2 list.

b) The provisions herein refer to “need” or “use” in descriptive or subject cataloging. As far as descriptive cataloging is concerned, such statements are to be understood as referring to authorized access points required by LC’s policies on authorized access points and to variant access points on name and series authority records. “Need” and “use” do not refer to subject entries even if a descriptive authorized access points is involved.

c) Adjust the tagging on existing authority and bibliographic records to reflect current policy when necessary.

d) *LC Catalogers*: If a Group 2—Subject Authority Group entity is being used as a descriptive authorized access point, create a name authority record according to subject cataloging rules. Add a 667 note to the NAR with the statement “Subj. **Headings** Manual/RDA.” If a Group 2 Heading for the same entity exists in the LCSH File create an NAR (cf. DCM Z1 Appendix 1: Ambiguous Entities, Section, 3.1) and send a notification to PSD policy@loc.gov to delete the subject authority record, per SHM H 193.

e) *PCC Catalogers*: If a Group 2—Subject Authority Group heading is being used as an access point, create a name authority record according to subject cataloging rules. Add a 667 note to the NAR with the statement “Subj. **Headings** Manual/RDA.” If a Group 2 Subject Heading for the same entity exists in the LCSH File create an NAR (cf. DCM Z1 Appendix 1: Ambiguous Entities, Section, 3.1) and send a notification to saco@loc.gov to delete the existing subject authority record.

1.3 Specific procedures

Entities have been divided into two groups, and special instructions for both these groups follow. Lists of the two groups of entities are given in *Subject Headings Manual (SHM), H 405, Establishing Certain Entities in the Name or Subject Authority File*. The lists are updated as the need arises; refer potential additions to the Policy and Standards Division (PSD).

2 GROUP 1—NAME AUTHORITY GROUP: Authorized access points always established according to descriptive cataloging guidelines (RDA and the LC-PCC PSs); authority record always resides in the name authority file.

2.1 Implementation

Establish the authorized access point according to descriptive cataloging rules and procedures. If an authorized access point in this category is needed in subject cataloging, those involved in descriptive cataloging establish it, and the authority record is added to the name authority file.

2.2 Airports

Establish the authorized access points for an airport according to the provisions for any other corporate body (see chapter 11, RDA).

110 2# \$a San Francisco International Airport¹

¹MARC coding in the examples reflects the provisions of *MARC 21 Format for Authority Data* (except spaces added before and after subfield codes) and not any individual system.

110 2# \$a Logan International Airport (Boston, Mass.)
 110 2# \$a Jan Smuts Airport (Johannesburg, South Africa)
 110 2# \$a Greater Cincinnati International Airport
 110 2# \$a Davis Airport (Montgomery County, Md.)
 110 2# \$a Davis Airport (Luzerne County, Pa.)

- 2.3** *Arboretums, botanical gardens, herbariums, public aquariums, zoological gardens, etc.*
 These Group 1 entities are tagged as corporate names (110) and established according to chapter 11 of RDA. For other gardens, parks, etc., see Group 2.

110 2# \$a State Arboretum of Utah
 110 2# \$a Missouri Botanical Garden
 110 2# \$a National Zoological Park (U.S.)
 110 2# \$a Hayden Planetarium
 110 2# \$a Miami Seaquarium

- 2.4** *Cemeteries, concentration camps, country clubs*
 After July 1996, cemeteries, concentration camps, and country clubs are treated as Group 1 entities. Establish them in accordance with the general principles for corporate name authorized access points (chapter 11, RDA). For cemeteries that are archaeological sites, see Group 2.

110 2# \$a Arlington National Cemetery (Arlington, Va.)
 110 2# \$a Riverside Cemetery (Jackson, Tenn.)
 110 2# \$a Cmentarz Ewangelicko-Augsburski w Warszawie (Warsaw, Poland)

 110 2# \$a Auschwitz (Concentration camp)
 110 2# \$a Campo 62 di Bergamo (Concentration camp)

 110 2# \$a Riomar Country Club
 110 2# \$a Manteno Young Women's Country Club

- 2.5** *City sections*
 City sections, including city districts and neighborhoods, are treated only as Group 1 entities. Establish them in accordance with the general principles for geographic names as given in RDA Chapter 16).

151 ## \$a Georgetown (Washington, D.C.)
 151 ## \$a Greenwich Village (New York, N.Y.)
 151 ## \$a Loop (Chicago, Ill.)
 151 ## \$a Rive gauche (Paris, France)

- 2.6** *Collective settlements, conservation districts, communes, sanitation districts, forest districts, etc.*
 Collective settlements, conservation districts, communes, sanitation districts, forest districts, etc., are treated as Group 1 entities. Establish them in accordance with the general principles for geographic names (RDA chapter 16).

151 ## \$a Erez (Israel)
 151 ## \$a Santa Cruz County Sanitation District (Calif.)
 151 ## \$a Englewood Water District (Fla.)
 151 ## \$a Chicago Park District (Ill.)

2.7 *Events*

If a name is for an event that is formally convened, directed toward a common goal, capable of being reconvened, and has a formal name, location, date, and duration that can be determined in advance of the date, establish the name according to the provisions of RDA chapter 11.

111 2# \$a Blue Ridge Folklife Festival
 111 2# \$a Palio di Siena (Festival) \$d (2003 : \$c Sienna, Italy)
 111 2# \$a Miss America Pageant
 111 2# \$a World Cup (Soccer)
 111 2# \$a Tour de France (Race)
 111 2# \$a Biennale di Venezia
 111 2# \$a Biennale di Venezia \$n (55th : \$d 2013 : \$c Venice, Italy)
 111 2# \$a World Jamboree of Boy Scouts
 111 2# \$a National Folk Media Festival \$d (1988 : \$c Nairobi, Kenya)

2.8 *Forests, parks, preserves, etc.*

When a forest, park, preserve, etc. (commonly a unit of the United States National Park Service or the United States Forest Service), is needed as a descriptive authorized access point on a bibliographic record because the forest, park, preserve, etc., has some responsibility for the intellectual content of the item, establish it in accordance with the general principles for corporate name authorized access points and qualify the name with “(Agency).” When this is not the case, continue to treat these as Group 2 entities and establish as a subject authority record as directed in **SHM 1925**.

110 2# \$a Chugach National Forest (Agency : U.S.)
(Needed as a descriptive access point—Group 1)

151 ## \$a Chugach National Forest (Alaska)
(No intellectual content responsibility—Group 2)

2.9 *Indian tribes*

In 2006 the Policy and Standards Division determined that names of Indian tribes recognized by the U.S. government as legal entities should be tagged 151 (Geographic name) in name authority records rather than 110 (Corporate name), as they were previously tagged. This change in status of headings for tribal entities to 151 (Geographic name) enabled these headings to be used as jurisdictions when needed in cataloging. When a heading of this type is used to represent a government (110), the MARC 21 indicator is set to “1” to reflect that the entity is acting as a jurisdiction (cf. LC-PCC PS 16.4.1). These headings may also be used as geographic subdivisions, subdivided directly. Access points for populated places (ppl) on reservations are governed by RDA Chapter 16 when found in the U.S. Board of Names Geographic Names Information System (GNIS) database on the Web at <http://geonames.usgs.gov/> and should also be established as place names tagged 151 when these are different from the tribal entity. Example of populated place name (complete name authority record fields not provided):

```
151 ## $a San Carlos (Ariz.)
. . .
670 ## $a GNIS, July 29, 2002 $b (San Carlos, Gila County, Arizona,
populated place; 33°20'43"N, 110°27'09"W)
```

Both the geographic name and the tribal entity's name may subsequently be used as corporate name headings (110) as needed, following the current practice for government names in [RDA 11.2.2.5.4](#). Example of possible heading:

```
110 1# $a San Carlos Apache Tribe of the San Carlos Reservation, Arizona
```

When the reservation as a geographic area, not the tribal entity, is the subject of an item being cataloged, the guidelines in the [SHM](#) will continue to be applied, and these place names will continue to be established as subject headings tagged 151.

Example of subject heading:

```
010 ## $a sh90004101
151 ## $a San Carlos Indian Reservation (Ariz.)
550 ## $w g $a Indian reservations $z Arizona
670 ## $a Work cat.: Brown, J.G. Geology and ground-water resources of
the San Carlos Indian Reservation ... Arizona, 1990: $b t.p. (San Carlos
Indian Reservation, Gila, Graham, and Pinal counties, Arizona)
670 ## $a Rand McNally
781 #0 $z Arizona $z San Carlos Indian Reservation
```

2.10 *Named buildings/museums*

If an authorized access point is needed for an entity in the category of a named building/museum, judge whether or not the entity is a museum. If it is a museum, treat it as a Group 1 entity and establish it accordingly; if not, treat it as a Group 2 entity and have it established as a subject authority record as directed in the guidelines for Group 2 entities in 3.1 below.

```
110 2# $a Albrecht-Dürer Haus
(museum—Group 1)
110 2# $a Simson African Hall (California Academy of
Sciences)
(building—Group 2)
```

2.11 *Plans, programs, and projects*

Treat plans, programs, and projects as corporate bodies whether or not they have a staff. Do not consider that authorized access points for entities with these words in their name need the addition of a qualifier that conveys the idea of a corporate body.

2.12 *Railroads*

Establish railroads in accord with the general principles for corporate name authorized access points (RDA, chapter 11). During the period 1984-1985, railroad access points were established according to the conventions of the former Subject Cataloging Division. Generally, a railroad authorized access point represented by an RDA name authority record should be accepted unless the item being cataloged shows another form *and* the item is the railroad's own publication. In such cases re-evaluate the existing

authorized access points. At one time, railroads were represented by two separate access points, one for the company, which was tagged as a corporate access point, and another for the line, which was tagged as a topical subject heading. To locate all existing bibliographic records for a railroad when a name authority record for it needs to be created or coded for RDA, search for the name both as a corporate body and as a topical subject heading.

2.13 *Fictitious characters, Legendary characters, etc. (Individual)*

Establish headings for individual fictitious and legendary characters in accord with the general principles for personal name authorized access points (RDA, chapter 9). Previous to 2013, these headings were established in the subject authority file according to subject cataloging files. Consult the LC-PCC PS 9.0 and SHM 1610 for further information. Headings for named groups of fictitious characters (e.g., Hardy Boys, Teenage Mutant Ninja Turtles) continue to be established in the subject authority file.

100 1# \$a Holmes, Sherlock
(individual character—Group 1)

100 0# \$a Alcestis, \$c Queen, consort of Admetus, King of Pherae
(individual character—Group 1)

100 1# \$a Mouse, Mickey \$c (Fictitious character)
(individual character—Group 1)

150 ## \$a Addams family (Fictitious characters)
(group of characters—Group 2)

150 ## \$a Care Bears (Fictitious characters)
(group of characters—Group 2)

3 GROUP 2—SUBJECT AUTHORITY GROUP: Entities always established according to subject cataloging guidelines (SHM); the authority record resides either in the subject or name authority file

N.B. This section of the DCM is given primarily for information: the responsibility for establishing and maintaining Group 2 headings rests entirely with those performing subject cataloging. See SHM H 405.

3.1 Characteristics

The entities in this group reside in the subject authority file when they are established and used only for subject cataloging purposes. Entities tagged 110 and some tagged 151 are also candidates for descriptive cataloging use as the need arises. If the entity needed for descriptive cataloging is already established in the subject authority file, the subject record is cancelled and a name authority record is created. Regardless of whether an entity originally existed in the subject authority file, the 1XX in the LC/NAF should be constructed according to RDA instructions, but will also reflect subject cataloging policy as provided in the SHM, the most noteworthy aspects are the following:

- a) The 4XX structure reflects subject cataloging practice.

- b) Most access points will contain local place-name qualifiers.
- c) Records residing in the name authority file will also contain a 667 field with the notation: Subj. Headings Manual/RDA. This notation is intended to characterize the record and to provide a quick and easy means of indicating that maintenance of the record is the responsibility of PSD. Catalogers should then refer changes to PSD, rather than initiating the changes themselves.

3.2 Use of these access points in descriptive cataloging

Note the following:

- a) If the authority record is in the subject authority file but not represented in the name authority file, make a name authority record according to the guidelines described in Section 3.1. Send printouts of the name and subject authority records to PSD for review and cancellation of the subject authority record.
- b) If the entity is represented in the name authority file and is coded RDA, use that form whether or not it conforms to the characteristics described above in 3.1. If a need to change to the authorized access point is prompted by the item being cataloged refer the matter to PSD.
- c) If the entity is represented in the name authority file but not coded for RDA, refer the matter to PSD for evaluation and possible change and related actions.
- d) If the entity is not represented in an authority file, establish it in the name authority file according to the guidelines in the SHM and Section 3.1 of this document.

020 International Standard Book Number

NACO:

NACO participants may supply the 020 field in series authority records for multipart items at their own discretion. There are no further guidelines for the field.

Do not use subfields:

\$q, \$6, \$8

SACO:

Do not use this field.

LC:

NAMES/SERIES:

Do not use this field.

LC does not maintain this field.

SUBJECTS:

Do not use this field.

162 Heading – Medium of Performance Term

NACO:

Do not use this field.

SACO:

Do not use subfields:
\$6, \$8

LC:

NAMES/SERIES:

Do not use this field.

SUBJECTS:

Do not use subfields:
\$6, \$8

462 See From Tracing – Medium of Performance Term

NACO:

Do not use this field.

SACO:

Do not use subfields:

\$i, \$4, \$5, \$6, \$8

SACO usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-General Information-4XX fields*.

LC:

NAMES/SERIES:

Do not use this field.

SUBJECTS:

Do not use subfields:

\$i, \$4, \$5, \$6, \$8

Usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-General Information-4XX fields*.

Tracing and References – General Information – 5XX fields

NACO:

Subfield Code:

\$ i – Relationship information may be used in either AACR2 or RDA NARs to indicate relationships between authorized access points.

\$w - Control subfield in 5XX See Also Tracing fields

—/0 Special relationship

Use code n (Not applicable) when neither code a nor b nor r applies and a subsequent character position in subfield \$w is coded. In other respects NACO participants should follow the guidelines in the LC usage section for this subfield.

—/1 Tracing use restriction

Use code n (Not applicable) when a subsequent character position in subfield \$w is coded. In other respects NACO participants should follow the guidelines in the LC usage section for this subfield.

—/2 Earlier form of heading

Use code n (Not applicable) when a subsequent character position in subfield \$w is coded. In other respects NACO participants should follow the guidelines in the LC usage section for this subfield.

—/3 Reference display

Code n (Not applicable) allows the generation of a cross reference and need not be coded in subfield \$w/3. In other respects NACO participants should follow the guidelines in the LC usage section for this subfield.

SACO:

All SACO participants should follow the LC Subject guidelines which follow.

LC:

\$ i – LC catalogers applying RDA instructions may use \$i to provide relationship information in either AACR2 or RDA NARs to indicate relationships between authorized access points.

NAMES/SERIES

\$w - Control subfield in 5XX See Also from Tracing fields

—/0 Special relationship
r – must be used when subfield \$i or \$4 are used in NARs.

Do not use the following codes:

- d - Acronym
- f - Musical composition
- h - Narrower term
- i - Reference instruction phrase in subfield \$i
- t - Immediate parent body

Codes d and f may occur in LC records created before 1981.

—/1 Tracing use restriction

Do not use the following codes:

- | | |
|---|--|
| a - Name reference structure only | e - Name and series reference structures |
| b - Subject reference structure only | f - Subject and series reference structures |
| c - Series reference structure only | g - Name, subject, and series reference structures |
| d - Name and subject reference structures | |

Code b may occur in LC records created before 1988.

—/2 Earlier form of heading

Do not use the following codes:

- a - Pre-AACR 2 form of heading (national name authority file)
- e - Earlier established form of heading (national authority file)
- o - Earlier established form of heading (other authority file)

—/3 Reference display

Do not use the following codes:

- b - Reference not displayed, field 664 used
- d - Reference not displayed, field 665 used

LC has not used field 665 since mid-Feb. 1981. Records created before that time may contain code d in subfield \$w/3.

Use code a (Reference not displayed) or c (Reference not displayed, field 663 used) when appropriate for suppressing a cross reference display.

SUBJECTS:

—/0 Special relationship

Use code g (Broader term) or code n (Related term).

—/1 Tracing use restriction

Use code n in this position.

——/2 Earlier form of heading
Use code n in this position.

——/3 Reference display
Use code n in this position.

500 See Also From Tracing – Personal Name

NACO:

Use first indicator value 3 in RDA NARs and SARs when providing relationship links to and from family names.

Do not use subfields:

\$e, \$h, \$j, \$v, \$x, \$y, \$z, \$0, \$4, \$5, \$6, \$8

NACO usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-**General Information-5XX fields.***

SACO:

Do not use subfields:

\$e, \$g, \$h, \$i, \$j, \$0, \$4, \$5, \$6, \$8

SACO usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-**General Information-5XX fields.***

LC

NAMES/SERIES:

As of November 1, 2011 LC catalogers applying RDA guidelines will use first indicator value 3 in RDA NARs and SARs when providing relationship links to and from family names.

Do not use subfields:

\$e, \$h, \$j, \$v, \$x, \$y, \$z, \$0, \$4, \$5, \$6, \$8

Usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-**General Information-5XX fields.***

SUBJECTS:

Do not use subfields:

\$e, \$g, \$h, \$i, \$j, \$0, \$4, \$5, \$6, \$8

Usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-**General Information-5XX fields.***

510 See Also From Tracing – Corporate Name

NACO:

Do not use subfields:

\$e, \$h, \$v, \$x, \$y, \$z, \$4, \$5, \$6, \$8

Consult LC's Cooperative **Programs** Section before using subfield \$0.

NACO usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-**General Information-5XX fields***.

SACO:

Do not use subfields:

\$e, \$h, \$i, \$0, \$5, \$6, \$8

SACO usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-**General Information-5XX fields***.

LC:

NAMES/SERIES:

Do not use subfields:

\$e, \$h, \$v, \$x, \$y, \$z, **\$0**, \$4, \$5, \$6, \$8

Usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-**General Information-5XX fields***.

SUBJECTS:

Do not use subfields:

\$e, \$h, \$i, \$0, \$5, \$6, \$8

Usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-**General Information-5XX fields***.

511 See Also From Tracing – Meeting Name

NACO:

Do not use subfields:

\$h, \$j, \$v, \$x, \$y, \$z, \$4, \$5, \$6, \$8

Consult LC's Cooperative Programs Section before using subfield \$0.

NACO usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-General Information-5XX fields*.

SACO:

Do not use subfields:

\$h, \$i, \$0, \$5, \$6, \$8

SACO usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-General Information-5XX fields*.

LC:

NAMES/SERIES:

Do not use subfields:

\$h, \$j, \$v, \$x, \$y, \$z, \$0 \$4, \$5, \$6, \$8

Usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-General Information-5XX fields*.

SUBJECTS:

Do not use subfields:

\$h, \$i, \$j, \$0, \$4, \$5, \$6, \$8

Usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-General Information-5XX fields*.

530 See Also From Tracing – Uniform Title

NACO:

Always use Second indicator value 0. Omit an initial article that is not an integral part of the uniform title when formulating the entry element of the reference.

Do not use subfields:

\$h, \$v, \$x, \$y, \$z, \$4, \$5, \$6, \$8

Consult LC's Cooperative Programs Section before using subfield \$0.

NACO usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-General Information-5XX fields*.

SACO:

Always use Second indicator value 0. Omit an initial article that is not an integral part of the uniform title when formulating the entry element of the reference.

Do not use subfields:

\$h, \$i, \$0, \$5, \$4, \$6, \$8

SACO usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-General Information-5XX fields*.

LC:

NAMES/SERIES:

Always use Second indicator value 0. Omit an initial article that is not an integral part of the uniform title when formulating the entry element of the reference.

Do not use subfields:

\$h, \$v, \$x, \$y, \$z, \$0, \$4, \$5, \$6, \$8

Usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-General Information-5XX fields*.

SUBJECTS:

Do not use subfields:

\$h, \$i, \$j, \$0, \$4, \$5, \$6, \$8

Usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-General Information-5XX fields*.

551 See Also From Tracing – Geographic Name

NACO:

Do not use subfields:

\$v, \$x, \$y, \$z, \$4, \$5, \$6, \$8

Consult LC's Cooperative Programs Section before using subfield \$0.

NACO usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-General Information-5XX fields*.

SACO:

Do not use subfields:

\$i, \$0, \$4, \$5, \$6, \$8.

SACO usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-General Information-5XX fields*.

LC:

NAMES/SERIES:

Do not use subfields:

\$v, \$x, \$y, \$z, \$0, \$4, \$5, \$6, \$8

Usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-General Information-5XX fields*.

SUBJECTS:

Do not use subfields:

\$i, \$0, \$5, \$4, \$6, \$8.

Usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-General Information-5XX fields*.

562 See Also From Tracing – Medium of Performance Term

NACO:

Do not use this field.

SACO:

Do not use subfields:

\$i, \$0, \$4, \$5, \$6, \$8

SACO usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-General Information-5XX fields*.

LC:

NAMES/SERIES:

Do not use this field.

SUBJECTS:

Do not use subfields:

\$i, \$0, \$4, \$5, \$6, \$8

Usage for subfield \$w is given in the LC Guidelines section for *Tracings and References-General Information-5XX fields*.

762 Established Heading Linking Entry – Medium of Performance Term

NACO:

Do not use this field.

SACO:

Do not use this field.

LC:

NAMES/SERIES:

Do not use this field.

SUBJECTS:

Do not use this field.