<table>
<thead>
<tr>
<th>DCM</th>
<th>Title</th>
<th>Action/Change</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Table of Contents</td>
<td>Replace.</td>
</tr>
<tr>
<td>A2</td>
<td>Weekly Hours Report</td>
<td>Remove.</td>
</tr>
<tr>
<td>B20</td>
<td>Books with Accompanying Sound Recordings</td>
<td>Revised to reflect current routing and cataloging procedures. Replace.</td>
</tr>
<tr>
<td>M5</td>
<td>Library of Congress Series Policy</td>
<td>Minor wording revisions; transitional procedures deleted. Replace.</td>
</tr>
<tr>
<td>Z1</td>
<td>Name and Series Authority Records</td>
<td>Introduction. New information added for NACO Normalization and SARs. Replace.</td>
</tr>
<tr>
<td></td>
<td>Name and Series Authority Records</td>
<td>MARC 21 Fields Used in Serial Records – New 050 field information added; updated to reflect RDA. Replace.</td>
</tr>
<tr>
<td>Z1</td>
<td>Name and Series Authority Records</td>
<td>008/32 – Undifferentiated Personal Name. Revised to include procedures on “undifferentiated” name authority records coded as differentiated. Replace.</td>
</tr>
<tr>
<td>Z1</td>
<td>Name and Series Authority Records</td>
<td>1XX – Headings. Replace.</td>
</tr>
<tr>
<td>Z1</td>
<td>Name and Series Authority Records</td>
<td>4XX – See From Tracings. Added instructions for NARs containing 4XX fields reflecting earlier cataloging practices. Replace.</td>
</tr>
<tr>
<td>DCM</td>
<td>Title</td>
<td>Action/Change</td>
</tr>
<tr>
<td>-------</td>
<td>--------------------------------------</td>
<td>-------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Z1</td>
<td>Name and Series Authority Records</td>
<td>667 – Non-Public General Note. Added example of note for author’s request to remove date of birth. Replace.</td>
</tr>
<tr>
<td>Z1</td>
<td>Name and Series Authority Records</td>
<td>670 – Source Data Found. Revised for consistency with LC-PCC PS for 1.4. Replace.</td>
</tr>
<tr>
<td></td>
<td>Supplement to the MARC 21 Format for Authority Data</td>
<td>Introduction Revised to reflect current information. Replace.</td>
</tr>
<tr>
<td></td>
<td>Supplement to the MARC 21 Format for Authority Data</td>
<td>Leader Revised to include Leader/18. Replace.</td>
</tr>
<tr>
<td></td>
<td>Supplement to the MARC 21 Format for Authority Data</td>
<td>075 Type of Entity New.</td>
</tr>
<tr>
<td></td>
<td>Supplement to the MARC 21 Format for Authority Data</td>
<td>080 Universal Decimal Classification Number New.</td>
</tr>
<tr>
<td></td>
<td>Supplement to the MARC 21 Format for Authority Data</td>
<td>100 Heading – Personal Name Revised LC Names/Series to reflect practice for family names. Replace.</td>
</tr>
<tr>
<td></td>
<td>Supplement to the MARC 21 Format for Authority Data</td>
<td>147 Heading – Named Event New.</td>
</tr>
<tr>
<td></td>
<td>Supplement to the MARC 21 Format for Authority Data</td>
<td>336 Content Type Subfield $0 instruction added. Replace.</td>
</tr>
<tr>
<td><strong>DCM</strong></td>
<td><strong>Title</strong></td>
<td><strong>Action/Change</strong></td>
</tr>
<tr>
<td>----------</td>
<td>-----------</td>
<td>------------------</td>
</tr>
<tr>
<td>Supplement to the MARC 21 Format for Authority Data</td>
<td>348 Format of Notated Music</td>
<td>New.</td>
</tr>
<tr>
<td>Supplement to the MARC 21 Format for Authority Data</td>
<td>377 Associated Language</td>
<td>Subfield $0$ instruction added. Replace.</td>
</tr>
<tr>
<td>Supplement to the MARC 21 Format for Authority Data</td>
<td>382 Medium of Performance</td>
<td>Subfields $r$ and $t$ instructions for NACO and LC Names/Series added. Replace.</td>
</tr>
<tr>
<td>Supplement to the MARC 21 Format for Authority Data</td>
<td>388 Time Period of Creation</td>
<td>New</td>
</tr>
<tr>
<td>Supplement to the MARC 21 Format for Authority Data</td>
<td>447 See From Tracing – Named Event</td>
<td>New.</td>
</tr>
<tr>
<td>Supplement to the MARC 21 Format for Authority Data</td>
<td>547 See Also From Tracing – Named Event</td>
<td>New.</td>
</tr>
<tr>
<td>Supplement to the MARC 21 Format for Authority Data</td>
<td>664 Complex See Reference – Name</td>
<td>Revised NACO and LC Names/Series to indicate that the field is not used. Replace.</td>
</tr>
<tr>
<td>Supplement to the MARC 21 Format for Authority Data</td>
<td>666 General Explanatory Reference – Name</td>
<td>Revised NACO and LC Names/Series to indicate that the field is not used. Replace.</td>
</tr>
<tr>
<td>Supplement to the MARC 21 Format for Authority Data</td>
<td>670 Source Data Found</td>
<td>Subfield $w$ instruction added. Replace.</td>
</tr>
<tr>
<td>DCM</td>
<td>Title</td>
<td>Action/Change</td>
</tr>
<tr>
<td>-----</td>
<td>-------</td>
<td>--------------</td>
</tr>
<tr>
<td>677</td>
<td>Definition</td>
<td>New.</td>
</tr>
<tr>
<td>781</td>
<td>Established Headling Linking Entry – Geographic Subdivision</td>
<td>Subfields $i$ and $4$ instructions added. Replace.</td>
</tr>
<tr>
<td>884</td>
<td>Description Conversion Information</td>
<td>New.</td>
</tr>
<tr>
<td>885</td>
<td>Matching Information</td>
<td>New.</td>
</tr>
</tbody>
</table>
# Table of Contents

**DESCRIPTIVE CATALOGING MANUAL**  
*rev. Apr. 2017*

<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>TERMINOLOGY</strong></td>
<td>B4</td>
</tr>
<tr>
<td><strong>CATALOGING BASICS (DESCRIPTIVE CATALOGING ASPECT)</strong></td>
<td>B5</td>
</tr>
<tr>
<td>Appendix 1: Workflows</td>
<td></td>
</tr>
<tr>
<td>Appendix 2: Instructions for Using the STARS Slip</td>
<td></td>
</tr>
<tr>
<td>Appendix 3: In-Process Records</td>
<td></td>
</tr>
<tr>
<td>Appendix 4: Searching</td>
<td></td>
</tr>
<tr>
<td>Appendix 5: Guidelines for Language Codes; Government Publication Codes</td>
<td></td>
</tr>
<tr>
<td>Appendix 6: Nonroman Scripts/Data</td>
<td></td>
</tr>
<tr>
<td>Appendix 7: New Input</td>
<td></td>
</tr>
<tr>
<td>Appendix 8: Collections Management Information in Bibliographic Records</td>
<td></td>
</tr>
<tr>
<td>Appendix 9: Publication, Etc., Date Codes for Monographs</td>
<td></td>
</tr>
<tr>
<td><strong>REFERRING/FORWARDING</strong></td>
<td>B6</td>
</tr>
<tr>
<td><strong>CATALOGER'S NOTES (952 FIELD) (MONOGRAPHS)</strong></td>
<td>B9</td>
</tr>
<tr>
<td><strong>MINIMAL LEVEL CATALOGING (MLC): BOOKS</strong></td>
<td>B11</td>
</tr>
<tr>
<td><strong>COPY CATALOGING MANUAL</strong></td>
<td>B13</td>
</tr>
<tr>
<td><strong>PROCEDURES FOR CATALOGING RARE MATERIALS</strong></td>
<td>B14</td>
</tr>
<tr>
<td><strong>MINIATURE BOOKS</strong></td>
<td>B15</td>
</tr>
<tr>
<td><strong>CORE LEVEL CATALOGING</strong></td>
<td>B16</td>
</tr>
<tr>
<td>Appendix 1: Summary of Priorities and Cataloging Levels</td>
<td></td>
</tr>
<tr>
<td>Appendix 2: Data Elements Constituting LC Core Level Cataloging—Books</td>
<td></td>
</tr>
<tr>
<td>Appendix 3: Data Elements Constituting LC Core Level Cataloging—Books</td>
<td></td>
</tr>
<tr>
<td>Appendix 4: Data Elements Constituting LC Core Level Cataloging—Printed</td>
<td></td>
</tr>
<tr>
<td>Appendix 5: Data Elements Constituting LC Core Level Cataloging—Music</td>
<td></td>
</tr>
<tr>
<td><strong>COPY-SPECIFIC DATA ELEMENTS: GENERAL AND RARE BOOK CATALOGING</strong></td>
<td>B17</td>
</tr>
<tr>
<td><strong>BOOKS WITH ACCOMPANYING ELECTRONIC RESOURCES</strong></td>
<td>B18</td>
</tr>
<tr>
<td><strong>BOOKS AND SCORES WITH ACCOMPANYING SOUND RECORDINGS</strong></td>
<td>B20</td>
</tr>
<tr>
<td><strong>BOOKS WITH ACCOMPANYING VIDEORECORDINGS</strong></td>
<td>B21</td>
</tr>
</tbody>
</table>
CATALOGING PRIORITIES AND LEVELS OF CATALOGING ................................................................. C1

LIBRARY OF CONGRESS CONTROL NUMBER (LCCN)—RESTRUCTURING TO
ACCOMMODATE CENTURY CHANGE .......................................................................................... C3

ISSUES RELATED TO THE PHYSICAL CONDITION OF A RESOURCE ..................................... C5

PROVIDING GUIDELINES FOR DIVIDING LARGE UNBOUND OR SOFTBOUND VOLUMES
BEFORE BINDING ..................................................................................................................... C6

RECORDS FOR SELECTION DECISION; RECORDS RETAINED FOR AUDIT TRAIL;
SURPLUS COPIES ...................................................................................................................... C7

PROCEDURES APPLICABLE TO MATERIALS STORED OFF-SITE .............................................. C8

MULTIPART ITEMS AND ADDED VOLUMES ................................................................................. C12

COLLECTION-LEVEL CATALOGING ............................................................................................ C14

THE LC LOCAL BIBLIOGRAPHIC RECORD AND LOCAL DATA FIELDS .................................... C16

BOOKS ISSUED IN FASCICLES ................................................................................................... C17

2A CATALOGING .......................................................................................................................... C18

CATALOGING IN PUBLICATION PROCEDURES ....................................................................... D8

  Appendix 1: Scope of the CIP Program
  Appendix 2: Selection Decision (“Do Not Acquire”)
  Appendix 3: Guidelines for Including Tables of Contents in Bibliographic Records
  Appendix 4: CIP Program and Copyright Acquisitions Division (CAD)
  Appendix 5: CIP Verification Checklist

PROCEDURES FOR HANDLING IMPERFECT COPIES ................................................................. D22

CATALOGING STREAMS/INITIAL BIBLIOGRAPHIC CONTROL: BOOKS ........................... E1

USING ALREADY EXISTING RECORDS FOR IBC ...................................................................... E2

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

COPYRIGHT PAPERBACK COLLECTION .................................................................................... E3
## Table of Contents

- LABEL PLACEMENT (CALL NUMBER/SHELF NUMBER; ITEM BARCODE): BOOKS .......... E4
- LINKING BIBLIOGRAPHIC RECORDS FOR MICROREPRODUCTIONS TO RECORDS FOR ORIGINALS (MONOGRAPHS) ................................................................. M1
- BIBLIOGRAPHIC AND AUTHORITY DATABASE MAINTENANCE IN THE LC ILS ................ M3
- SERIAL VERSUS NON-SERIAL CATALOGING TREATMENT IN LC .................................. M4
- LIBRARY OF CONGRESS SERIES POLICY ........................................................................ M5
- RECOMMENDED SESSION DEFAULTS AND PREFERENCES IN THE LC ILS CATALOGING MODULE ............................................................................................... M6
- THE LC ILS MARC RECORD VALIDATOR ........................................................................... M7
- PREMARC FILE/PREMARC REPLACEMENT PROCESS (PRP) ........................................ S1
- NAME AND SERIES AUTHORITY RECORDS ..................................................................... Z1

Appendix for LC Staff

Appendix 1: Ambiguous Entities
TABLE OF CONTENTS

B20.1 GENERAL .................................................................................................................................... 2
B20.2 CATALOGING AND END-STAGE PROCESSING ................................................................. 2
B20.3 GUIDELINES FOR FORWARDING MATERIALS WITH ACCOMPANYING SOUND RECORDINGS ............................................................................................................................. 3
B20.4 DISPOSITION OF BOOKS AND SCORES WITH ACCOMPANYING SOUND RECORDINGS ........................................................................................................................................ 3
  B20.4.1 Custody ...................................................................................................................................... 3
  B20.4.2 Sound Recording Missing At Time of Receipt of Book or Score ......................................... 3
B20.5 DISPOSITION OF BOOKS WITH ACCOMPANYING SOUND RECORDINGS IN DIFFERENT CARRIERS (e.g., a cassette and an audio CD) ................................................................. 3
  B20.5.1 General ....................................................................................................................................... 3
  B20.5.2 Procedures for Handling Different Manifestation Sets Received Simultaneously .......... 4
  B20.5.3 Procedures for Handling Different Manifestation Sets Received Subsequently .......... 4
B20.6 SUBSEQUENT COPIES .............................................................................................................. 4
B20.1 GENERAL

These instructions apply to books with accompanying sound recordings and to scores with accompanying sound recordings. Since November 1998, the accompanying sound recordings have been housed separately in the Recorded Sound Section of the Motion Picture, Broadcasting and Recorded Sound Division (MBRS). DCM B20 provides guidelines for ensuring that each main resource and each accompanying sound recording is represented adequately both for bibliographic/inventory control and for servicing within the Library. Each main resource is represented by a bibliographic record (BR) and holdings record/item record (HR/IR), as appropriate. Accompanying sound recordings are represented by a separate HR/IR.

Accompanying sound recordings are usually in the form of an audio disc, also called a CD, audio CD, or sound disc. Older materials may have audiocassettes. Less frequently issued formats include LPs, 45 rpm discs, floppy vinyl soundsheets, and tape reels in various dimensions.

CD-ROMS, DVD-ROMs, and video DVDs are NOT sound recordings. See DCM B18 for instructions on accompanying CD-ROMs and DVD-ROMs and B21 for instructions on accompanying video DVDs. See the Accompanying Disc Decisioner for help in determining the nature of the disc.

For serials, see the following document: http://www.loc.gov/staff/lstraining/abawkflow/ser/cat/PrintSerialswNonPrintAccMat.pdf.

B20.2 CATALOGING AND END-STAGE PROCESSING

Perform cataloging and end-stage processing in the usual manner for the book. Follow these additional steps:

1) Add information about the accompanying sound recording is in the 300 field and/or 500 field;

2) Record the dimensions of the sound recording, e.g.,

   300 ## $a 200 pages ; $c 24 cm + $e 2 audio discs (4 3/4 in.)
   300 ## $a 100 pages ; $c 20 cm + $e 1 mini CD (3 1/8 in.)

3) In the 852 field of the holdings record, add a subfield $3 for the monograph (see examples below);

4) If needed, adjust the item record “pieces” count so it does not include the sound recording.

For a single-volume monograph use $3 Book only:

   852 0# $3 Book only $b c-GenColl $h PC4121 $i .J335 1999 $t Copy 1

For a multipart monograph with a collected set record, use $3 Books only:

   852 0# $3 Books only $b c-GenColl $h BP173.7 $i .S98 2015 $t Copy 1
B20.3 GUIDELINES FOR FORWARDING MATERIALS WITH ACCOMPANYING SOUND RECORDINGS

Fill out a Materials Routing slip to send the resource to the Music Bibliographic Access Section. Both the main resource and the accompanying sound recording should be sent to MBAS. If the sound recording is not securely attached to the main resource, do so with a rubber band. Place the materials on the appropriate shelf in the division’s outgoing distribution area. For a list of ABA division distribution areas, see http://www.loc.gov/staff/aba/psd/movement.pdf.

B20.4 DISPOSITION OF BOOKS AND SCORES WITH ACCOMPANYING SOUND RECORDINGS

B20.4.1 Custody

All books or scores that are published with accompanying sound recordings are housed according to custodial guidelines reflected in the location(s) recorded in field 852 of the HR. Books classed in M are housed in the Music Division; books with other classifications are housed in the area appropriate to the material.

All sound recordings that accompany books or scores are housed in the Recorded Sound Section of MBRS.

B.20.4.2 Sound Recording Missing At Time of Receipt of Book or Score

If the accompanying sound recording is missing at the time of cataloging of the main resource, follow the procedures in DCM D22 (Procedures for Handling Imperfect Copies). If the decision is not to seek a perfect copy or if the decision is to “catalog as is,” (cf. D22.2.2), note the fact that the sound recording is missing in a copy specific note using a 500 field and a subfield $5 containing “DLC” showing that the condition stated applies to the LC copy:

500 ## $a LC copy imperfect: accompanying sound recording wanting. $5 DLC

This will alert users of the bibliographic record that it does not represent a description of the complete bibliographic entity as issued.

When the sound recording is missing and the decision is to “catalog as is,” do not forward the book to MBAS. Instead, forward it, as for other books, as appropriate.

B20.5 DISPOSITION OF BOOKS WITH ACCOMPANYING SOUND RECORDINGS IN DIFFERENT CARRIERS (e.g., a cassette and an audio CD)

B20.5.1 General

The same book may be issued separately with two different audio carriers. For example, the textbook Learning French may be issued with an audio CD as a set, and then same textbook may be issued in a different set with an audiocassette. For cataloging purposes, each set is considered a different manifestation set. The following policies apply when the same book is issued in two different sets with two different audio carriers:

1) MBRS prefers to retain only the audio CD version of the accompanying material;
2) selection of the book is separate from selection of the sound recordings (see DCM C16.14.3 for book selection);
3) the book cataloger includes the ISBN for the manifestation represented by the bibliographic record; it includes ISBNs for other manifestations when available, but the one for the manifestation represented by the bibliographic record is given first.

**B20.5.2 Procedures for Handling Different Manifestation Sets Received Simultaneously**

If different manifestations representing the same book with different sound carriers are received simultaneously, retain the manifestation with the audio CD and refer to DCM C16.14.3 to determine the number of copies of the book to retain. Discard the other sound carrier.

**B20.5.3 Procedures for Handling Different Manifestation Sets Received Subsequently**

If a different manifestation set is received after the first one had been cataloged, determine whether the audio carrier described in the bibliographic record is for an audio CD. If not,

1) adjust the bibliographic record to include the audio CD;
2) forward the set to MBAS using a Materials Routing slip and explain that the audio CD should replace the existing sound recording in MBRS;
3) If the book is to be discarded, fill out the Return portion of the Materials Routing slip.

**B20.6 SUBSEQUENT COPIES**

If additional copies of the same manifestation are received either simultaneously with, or subsequent to, processing of the first copy, the bibliographic record for the manifestation will reflect the selection decision. The cataloging staff processes subsequent copies according to the selection decision in that record.
## TABLE OF CONTENTS

<table>
<thead>
<tr>
<th>Section</th>
<th>Description</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>M5.1</td>
<td>GENERAL POLICY</td>
<td>2</td>
</tr>
<tr>
<td>M5.1.1</td>
<td>Series Authority Records</td>
<td>2</td>
</tr>
<tr>
<td>M5.1.2</td>
<td>Bibliographic Records</td>
<td>2</td>
</tr>
<tr>
<td><strong>M5.1.2.1</strong></td>
<td>BR is original LC cataloging</td>
<td>2</td>
</tr>
<tr>
<td><strong>M5.1.2.2</strong></td>
<td>BR is not original LC cataloging</td>
<td>2</td>
</tr>
<tr>
<td><strong>M5.1.2.3</strong></td>
<td>File maintenance and other matters</td>
<td>2</td>
</tr>
<tr>
<td>M5.2</td>
<td>SERIES AND CIP PARTNER RECORDS</td>
<td>2</td>
</tr>
<tr>
<td>M5.3</td>
<td>SERIES AND COPY CATALOGING RECORDS</td>
<td>2</td>
</tr>
<tr>
<td>M5.4</td>
<td>BIBLIOGRAPHIC FILE MAINTENANCE</td>
<td>2</td>
</tr>
<tr>
<td>M5.5</td>
<td>AUTHORITY RECORD UPDATES AND DELETIONS</td>
<td>3</td>
</tr>
<tr>
<td>M5.6</td>
<td>EXCEPTIONS TO THE GENERAL LC SERIES POLICY</td>
<td>3</td>
</tr>
<tr>
<td><strong>M5.6.1</strong></td>
<td>Not Analyzed/Classified As a Collection</td>
<td>3</td>
</tr>
<tr>
<td><strong>M5.6.1.1</strong></td>
<td>Numbered multipart monographs with all parts lacking analyzable titles</td>
<td>3</td>
</tr>
<tr>
<td><strong>M5.6.1.2</strong></td>
<td>2A cataloging</td>
<td>3</td>
</tr>
<tr>
<td><strong>M5.6.1.3</strong></td>
<td>Auction and sales catalogs</td>
<td>3</td>
</tr>
<tr>
<td><strong>M5.6.1.4</strong></td>
<td>Legal multipart monographs identified by LC’s Law Library</td>
<td>3</td>
</tr>
<tr>
<td><strong>M5.6.2</strong></td>
<td>Not Analyzed/Not Classified</td>
<td>4</td>
</tr>
<tr>
<td><strong>M5.6.3</strong></td>
<td>Analyzed in Full/Classified As a Collection</td>
<td>4</td>
</tr>
<tr>
<td><strong>M5.6.3.1</strong></td>
<td>Scholarly collections of music historical sources eligible to be classified together in M2</td>
<td>4</td>
</tr>
<tr>
<td><strong>M5.6.3.2</strong></td>
<td>“Web access to monographic series” project for social sciences resources</td>
<td>4</td>
</tr>
<tr>
<td><strong>M5.6.3.3</strong></td>
<td>Microform sets</td>
<td>4</td>
</tr>
<tr>
<td><strong>M5.6.3.4</strong></td>
<td>Proceedings of a single conference published in more than one volume with analyzable volume titles</td>
<td>4</td>
</tr>
<tr>
<td><strong>M5.6.3.5</strong></td>
<td>Legal monographic series and multipart monographs identified by LC’s Law Library</td>
<td>4</td>
</tr>
<tr>
<td><strong>M5.6.4</strong></td>
<td>Analyzed in Full: Applies to Analyzable Parts/Classified As a Collection</td>
<td>5</td>
</tr>
<tr>
<td><strong>M5.6.5</strong></td>
<td>Not Analyzed/Classified As a Collection (Applies to Acquisitions)</td>
<td>5</td>
</tr>
<tr>
<td><strong>M5.6.6</strong></td>
<td>BRs Not Yet in LCDB</td>
<td>5</td>
</tr>
</tbody>
</table>
M5.1 GENERAL POLICY
Abbreviations used:

BR = bibliographic record
LCDB = Library of Congress database
SAR = series authority record

The LC policy on series, implemented on June 1, 2006, is to analyze in full, classify separately, and not provide a controlled series access point. The pertinent sections of DCM Z1 (Name and Series Authority Records) have been updated to reflect this policy. See M5.6 for exceptions to the general policy to analyze in full and classify separately.

M5.1.1 Series Authority Records
Do not consult, modify, or create any SARs when preparing or updating BRs for LC.

Exception: Consult series authority records when searching to determine if there is a conflict in the database to ensure unique authorized access points for entities.

M5.1.2 Bibliographic Records

M5.1.2.1 BR is original LC cataloging
Give the series data elements (title proper, parallel titles, other title information, statement of responsibility, ISSN, numbering) in a 490 0# field. Do not provide a controlled series access point.

M5.1.2.2 BR is not original LC cataloging
Accept the series fields as given.

M5.1.2.3 File maintenance and other matters
See the appropriate section of M5 for instructions.

M5.2 SERIES AND CIP PARTNER RECORDS
Bibliographic records created by CIP partner libraries may contain controlled series access points. LC accepts that treatment but does not search the series or confirm authority work.

M5.3 SERIES AND COPY CATALOGING RECORDS
Bibliographic records imported by LC for copy cataloging may contain controlled series access points. LC accepts that treatment but does not search the series or confirm authority work. LC does confirm the presence and accurate transcription of the series statement for the resource on hand.

M5.4 BIBLIOGRAPHIC FILE MAINTENANCE
Do not change 440 or 8XX fields for series access points when performing BFM for existing cataloging records in the LCDB that reflect LC’s series policy prior to June 1, 2006. Other fields, including the 490 field may be updated as needed.

Some records for resources in a monographic series may contain two classification numbers in the 050 field in accordance with LC’s practices prior to June 1, 2006. Do not change these classification numbers if they were correct when originally assigned (cf. CSM F 170).
Examples:

```
050 00 a QH301 $b .C5 no. 586 $a GC511
050 00 $a D1 $b .A25 no. 5, etc. $a BR735
```

Note: Change requests for CIP partner records will be handled in USPRLL/CIPDEW.

M5.5 AUTHORITY RECORD UPDATES AND DELETIONS

If the heading in a name authority record is changed and there are associated any SARs that also require updating, contact PSD (policy@loc.gov) to update the SARs.

LC catalogers serving as NACO liaisons, the Cooperative Programs Section, and ABA Policy and Standards Division will answer questions from PCC participants about creating and updating series authority records. The PCC participants, rather than LC staff, should create and update the authority records.

The Cooperative Programs Section and ABA/POLICY will delete duplicate SARs reported by PCC participants. ABA/POLICY will delete duplicate SARs reported by non-PCC libraries; ABA/POLICY will process error reports and answer questions from these libraries if doing so does not involve research or retrieval of volumes, etc.

M5.6 EXCEPTIONS TO THE GENERAL LC SERIES POLICY

M5.6.1 Not Analyzed/Classified As a Collection

The following categories will not be analyzed and will be classified as a collection; SARs will not be consulted, created, or updated:

M5.6.1.1 Numbered multipart monographs with all parts lacking analyzable titles
1) create and update a collected set record for the multipart monograph as a whole;
2) classify together.

M5.6.1.2 2A cataloging
Unnumbered multipart monographs cataloged per “2A cataloging” guidelines (“2A cataloging” is a local LC practice to create a made-up collected set record for an unnumbered multipart monograph, assigning numbers to parts as received):

1) create and update a collected set record for the multipart monograph as a whole;
2) classify together.

M5.6.1.3 Auction and sales catalogs
1) create or update the serial collected set record for the catalogs using a made-up title;
2) analyze and classify separately an individual catalog only if identified by a selection officer as of particular interest;
3) classify together.

M5.6.1.4 Legal multipart monographs identified by LC’s Law Library
1) create and update collected set record for the multipart monograph as a whole;
2) give author-title added entries;
3) classify together.

**M5.6.2 Not Analyzed/Not Classified**

Technical report series identified by LC’s Science, Technology, and Business Division or LC’s Asian Division and shelved in those divisions will **not be analyzed** and **will not be classified**; series authority records will not be consulted, created, or updated:

1) create and update a local serial record;
2) do not assign a call number (shelved in ST&B and in Asian).

**M5.6.3 Analyzed in Full/Classified As a Collection**

The following categories will be **analyzed in full** but will be **classified as a collection**; series authority records will not be consulted, created, or updated:

**M5.6.3.1 Scholarly collections of music historical sources eligible to be classified together in M2**

1) create and update collected set record for the multipart monograph or monographic series as a whole;
2) analyze in full and give series statement in a 490 0# field or pass through series information in cataloging copy;
3) classify together in M2.

**M5.6.3.2 “Web access to monographic series” project for social sciences resources**

1) create and update serial collected set record for the monographic series as a whole;
2) analyze each volume via program; give series statement in 490 0# field or pass through series information in cataloging copy;
3) classify together.

**M5.6.3.3 Microform sets**

1) create and update collected set record for the multipart monograph or monographic series as a whole;
2) analyze in full and give series statement in a 490 0# field or pass through series information in cataloging copy;
3) classify together (one shelf number for the set as a whole).

**M5.6.3.4 Proceedings of a single conference published in more than one volume with analyzable volume titles**

1) create and update collected set record for the multipart monograph as a whole;
2) analyze each volume; give series statement in 490 0# field or pass through series information in cataloging copy;
3) classify together.

**M5.6.3.5 Legal monographic series and multipart monographs identified by LC’s Law Library**

1) create and update collected set record for the multipart monograph or monographic series as a whole;
2) analyze in full and give series statement in a 490 0# field or pass through series information in cataloging copy;
3) classify together.

M5.6.4 Analyzed in Full: Applies to Analyzable Parts/Classified As a Collection
Complete editions of collected works of individual composers (classified as M3) will be analyzed in full; applies to analyzable parts and will be classified as a collection; series authority records will not be consulted, created, or updated.

1) Create or update the collected set record for the multipart monograph.
2) Analyze a part only if it meets one of the following criteria:
   a) A single part (in one or more physical volumes) contains a single musical work or a single excerpt from a work.
   b) A single part (in one or more physical volumes) contains two musical works or two excerpts from one or two works.

   “Musical work” as applied here includes either a musical composition that is a single unit intended for performance as a whole, or a set of musical compositions with a group title (not necessarily intended for performance as a whole), or a group of musical compositions with a single opus number.

   In an analytic record, give series statement(s) in 490 0# field(s) or pass through series information in cataloging copy.

   For a non-analyzable part, create only item record and link it to the collected set bibliographic record.

3) Classify together in M3.

M5.6.5 Not Analyzed/Classified As a Collection (Applies to Acquisitions)
Already cataloged numbered monographic series assigned “not analyzed/classified as a collection” decisions prior to June 1, 2006 applies to acquisitions staff; this category is included here for information:

1) follow check-in procedures for issues of serials
2) forward issues to custodial divisions.

M5.6.6 BRs Not Yet in LCDB
Previously existing BRs not yet in the LCDB that are now being newly input will reflect the series decisions (i.e., presence or absence of controlled series access point; a classed-separately or a classed-as-a-collection call number) at the time the resource was cataloged originally.
INTRODUCTION

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

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

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

Use this document (DCM Z1) in connection with RDA: Resource Description and Access, Library of Congress-Program for Cooperative Cataloging Policy Statements (LC-PCC PS), and other sections of the Descriptive Cataloging Manual (DCM). This document supplements the MARC 21 Format for Authority Data and generally does not repeat information found in the format. The examples are given in MARC 21 style; an exception is the use of a blank space before and after the delimiter/subfield code combination. The symbol “#” represents a blank in an indicator position; the symbol “$” is used for the delimiter.

This Introduction covers the following topics:

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

Name authority records (NARs)

A name authority record has the following basic contents: 1) the authorized access point (MARC 21 field 1XX), 2) the sources for justification of the authorized access point, including additions that are part of the authorized access point, variant access points, some identifying
elements, and 3) any related access points used to express relationships (MARC 21 fields 4XX/5XX). Additional information may be recorded in fixed fields (008) and in note areas of the authority record (MARC 21 fields 667, 675 or 678). Optional MARC fields such as 046 and 3XX may also be given. Control data and content designation are also included for proper identification and manipulation of the data.

NARs are not made for personal names when the only clue to the person’s identity is a non-alphabetic or nonnumeric device, topical subject headings, or geographic features. Under RDA, a name may be used and an authority record may be created for entities that were formerly only used as subjects such as, family names, fictional characters and non-human entities (e.g., animals) when these purport to be responsible for the creation of, contribution to, etc. a work or expression.

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

NACO libraries are not obligated to contribute authority records for every access point generated by their cataloging. However, any NAR contributed to the LC/NAF must have all necessary elements of the access point established in the following cases:

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

All bodies added to the NAR to reflect a relationship with the 1XX; e.g., if an entity is entered independently and a variant form is given through a higher body or bodies, the higher body/bodies needs to be represented in the authority file as well. Thus, catalogers may need to create other NARs in addition to the one needed for use in the catalog even if that name is not used on a bibliographic record.

All names and corporate bodies used in a related entry (5XXs) must also be represented in the authority file. For example, when establishing a name for an author who uses a pseudonym, or a corporate authorized access point representing an earlier and later change of name, the cataloger will need to connect the authorized access point by means of see also references. In order to avoid blind references, the cataloger will need to make sure that the corresponding authorized access point is established.

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

Certain elements of a name/title access point must also be established; e.g., when an NAR for the conventional collective title “Works” is created under an author who is not established in the LC/NAF, an NAR for the author must be contributed as well.

Additional guidelines for the creation of titles of works or expressions are listed below:

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

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

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

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

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

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

100 1# $a Allende, Isabel. $t Eva Luna. $l English

BUT NOT

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

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

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

Series authority records (SARs)

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.

Creation of series authority records is optional for PCC libraries, but any series that is traced in a PCC bibliographic record (8XX field) must be supported by a series authority record. For record-keeping purposes, it is recommended that series authority records be created whenever a PCC library decides to class together an analyzed numbered series or multipart monograph, whether or not the series is traced in bibliographic records.

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

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

Until 1983, series authority records created at LC, for the most part, reflected solely LC holdings and practices. However, now the authority file is a national authority file, and LC catalogers do not consult, create or update SARs. SARs in the national authority file now serve primarily to accommodate the holdings and practices of other institutions.
Series treatment information reflects institution-specific decisions. Therefore, the fields containing series treatment information require the identification of institution(s) following that practice. Also, series treatment decisions in an institution can change; certain series treatment fields provide the means for indicating variations in practice within an institution.

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

Series authority records may be for works or expressions. Catalogers should do their best not to mix FRBR entities on the same series authority record. Elements that are specifically expression-related should not be added into work authority records and work-related elements should not be added into expression authority records. For example, since form of work (380 field) is a work element, it should not be added to a series authority records that represents an expression of a work (e.g., an English translation).

Use judgment in deciding whether to also record any attribute used as a qualifier in an authorized access point as a separate element (using MARC 21 046 and 3XX fields) and whether to record additional identifying elements (those not needed for differentiation) as separate elements.

When recording attributes as separate elements, prefer to use terms from controlled vocabularies.

Justification of access points and elements

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

*Additions and changes to authority records*

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

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

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

Change an authority record when an error in the authorized access point or in a variant access point is discovered. When the published work for an item cataloged through the CIP program shows a change in the form of name of a person, corporate body, preferred title, or series, change the authority record; add the published source after the CIP source in the 670 field to document the change. Changes in the imprint date, choice of a primary access point, and title proper do not require changes to authority records created for CIP items.

*NACO normalization*

When a new authority record is added to the name authority file or when a new 4XX field is added to an existing NAR, each new access point is compared against access points already in the file to determine whether the new access point is adequately differentiated from existing authorized access points. All partners involved in the exchange of LC/NAF authority data have agreed to a specific set of rules for normalization, and these rules are posted at: [http://www.loc.gov/aba/pcc/naco/normrule-2.html](http://www.loc.gov/aba/pcc/naco/normrule-2.html). Name authority records are not compared against subject authority records.

Briefly, the process of normalization removes all diacritics and most punctuation, and converts all letters to uppercase and all modified letters to their unmodified equivalents. Subfield delimiters and subfield codes are retained in the normalized form excluding subfields $w$ and $i$. The normalized form of the name differs from the authorized form of the name as an access point.
Examples:

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

Authorized form: Smith-Jackson, Tonya L.  
Normalized form: SMITH JACKSON, TONYA L

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

Examples:

(Note: These examples do not reflect additions catalogers may add to distinguish similar names and titles.)

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

Authorized form: Chung-hui  
Normalized form: CHUNG HUI

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

**Authorized access points.** If access points do not differ after character normalization rules have been applied, they are considered to conflict and must be further distinguished.

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

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

**Should an SAR be made?**

When a series authority records is needed for the same entity represented by an existing NAR (usually a name/title NAR), convert the NAR into an SAR by updating the 008/12, 008/13, and 008/16 values, adding 64X fields, and making other changes, as appropriate.
Series authority records should not be made for the following categories:

1. A republication that does not include the original series statement (see “Republications” section of 64X Series Treatment – General Information);

2. Generally, a periodical (includes several separate articles by several contributors, frequency of publication more often than annual, and usually has both numeric and chronological designations) even if the issue in hand consists of a single contribution (e.g., a festschrift, proceedings of a conference) or may have a special title giving the overall theme of the issue. An SAR should however be created in cases where a PCC monographic record is being created for a single issue of the periodical, and an authorized access point for the series is needed;

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

Several publishers (e.g., Haworth Press, Pergamon Press) publish separate editions, with special titles, of selected issues of their periodicals. These editions are published in addition to the unbound issues received by subscribers.

Do not consider such a separate edition to be an integral part of the periodical; do not prepare an SAR. Make a separate bibliographic record for it. Add a note explaining its relationship to the periodical, e.g., “Published also as v. 15, no. 2 of the Journal of children in contemporary society.” Optionally, give a related work authorized access point for the periodical on the bibliographic record (cf. RDA 25.1.1.3).

It is not always clear, especially at CIP galley stage, whether the item in hand is an integral part of the periodical or a separate edition. Some publishers make clear statements, e.g., saying the title “has also been published as [title of journal], v. _____, no. ____.” Others make ambiguous or misleading statements, e.g., saying that the edition is “Published as a special issue of the journal ____________, v. _____, no. _____ and supplied to subscribers as part of their normal subscription.” The latter statement seems to indicate that the volume in hand is the only one issued and constitutes an integral part of the periodical. If the information given in the item is ambiguous, check the issue of the periodical or contact the publisher.

*How many SARs should be made?*

Because the entities represented by series authority records offer limitless possibilities for variation and change, it is sometimes difficult to determine how many authority records should exist.
(1) How many authority records are made if the title or the series-like phrase changes?

Is the change in the series-like phrase or in the title proper of the monographic series/other serial a major change or a minor change? (Consult RDA 2.3.2.13 and associated LC-PCC PS.) If it is a major change, make a new SAR. If it is a minor change, give a 670 citation and a 4XX reference for the different form.

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

(2) How many authority records are made if the volumes of a monographic series are in different languages? Consult LC-PCC PS 6.27 and LC-PCC PS 24.6, Section I, One or Several Series Access Points, Language editions.

(3) How many authority records are made if the same volumes in a series are published separately in the same language by different publishers (e.g., a publisher in the U.S. and a publisher in England)? Create one SAR if the volumes in the series are published separately in the same language by multiple publishers in different countries, but constitute the same expression of the work, and there is a consistent correspondence in the numbering of parts.

(4) How many authority records are made if the volumes of a monographic series switch from having numbers to lacking numbers and vice versa? Consult LC-PCC PS 6.27 and LC-PCC PS 24.6, Section I, One or Several Series Access Points, Changes in numbering.

(5) How many authority records are made for main series and subseries? Consult LC-PCC PS 6.1.3.2, LC-PCC PS 6.27, and LC-PCC PS 24.6, Section H, Main Series and Subseries.

(6) Has there been a change in responsibility (i.e., different person/body, body's name changes, uniform title changes)? Consult RDA 6.1.3 and associated LC-PCC PSs at 6.1.3.1 and 6.1.3.2.

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

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

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

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

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

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

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

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

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

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

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

(8) How many series-like phrase SARs are made for the same phrase used by different bodies? There should be only one SAR.

No Existing SAR for Series-Like Phrase
If the authorized or variant access point for an undifferentiated phrase record would conflict with the access point for another entity, add the qualifier “(Series-like phrase)”.
If the authorized or variant access point for an undifferentiated phrase record would consist of a combination of letters that is the same as an acronym/initialism or name of a corporate body, add the qualifier “(Series-like phrase).”

In non-conflict situations, variant access points may optionally be qualified by “(Series-like phrase)” or another qualifier if considered helpful for identifying the series-like phrase.

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

Include the following 667 field: “Undifferentiated phrase record: Covers all instances when this character string used by any publisher is considered to be a series-like phrase; if character string is considered to be a series, separate SAR has been made.”

**Existing SAR for Series-Like Phrase**

If an SAR already exists, use it as an undifferentiated phrase record; delete from the existing authorized access point any qualifier. If the resulting phrase conflicts with the authorized access point for another entity, add the qualifier “(Series-like phrase).”

If more than one SAR is found to exist for a series-like phrase, consolidate the authority records. If the resulting phrase already conflicts with the authorized access point for another entity, add the qualifier “(Series-like phrase).”

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

(1) Series is new to the Library.

Return the ECIP data view to a CIP program specialist with request that CIP return the data view to publisher to “refresh” associated text file to include the series information.

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

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

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

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

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

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

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

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

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

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

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

Searching series

Searching is the most important step in series processing. You must determine whether your series is already represented in the database; if not, you must know what other series are already in the database so your series will “fit” and not conflict with descriptive access points on authority and bibliographic records (see RDA 6.27.1.9 and associated LC-PCC PS).

Remember that the bibliographic records in the database include series handled under different cataloging codes. Some of the differences affecting series access are summarized below.
Choice of authorized access point:
AACR 1 had a special rule for serials. Generic titles were entered under body. Titles containing name or initialism of body were entered under body.
AACR 2 has no special rule for serials. Most were entered under title per 21.1C1.
RDA has one instruction on persons or families considered to be creators of serials (19.2.1.1.3). Most serials, however, have an authorized access point consisting only of the preferred title.

Title truncated:
For a time AACR 1 eliminated from the series title the name or part of the name of the body. “Bulletin of the Department of Education” became “Bulletin.” “Research Department study” became “Study.”

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

Subseries:
AACR 1: If subseries title was “weak,” the subseries was entered subordinately to the main series; if subseries title was “strong,” the subseries was entered independently.
AACR 2: If the main series and subseries were on the same source in the preliminaries, the subseries was entered subordinately to the main series; if the main series and subseries were not on the same source in the preliminaries, the subseries was entered independently.
RDA: The title of the main series and subseries do not need to be taken from the same source (2.12.10.2). However, the associated LC-PCC PS continues the practice under AACR2 (both the title of the main series and subseries must appear in the same source).

Also remember that series titles including initial articles appearing on pre-1979 records and in series statements for un traced series (490 0) do not have the filing indicator set for the initial article. If the series title on item in hand includes an initial article, do a search including the initial article as well as a search without it.
MARC 21 Fields Used in Serial Records

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

**PCC series practice:** 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.

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

Below are explanations of some of the MARC 21 fields used primarily/only in serial bibliographic records. For an explanation of fields not covered here, see the CONSER Editing Guide. See the RDA CONSER Standard Record (CSR) Metadata Application Profile for elements applicable to textual serials in various formats.

**Fields which may affect series heading or treatment**

**010 field – Library of Congress control number**

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

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

- **ce prefix** = Canadian bilingual publication, English language cataloging.
- **cn prefix** = unilingual Canadian publication, English language cataloging (also used for unilingual French language cataloging, but records not in the LC Database).
- **sf prefix** = Records authenticated by LC for titles held by LC given less than full cataloging: form card cataloging, minimal level cataloging, and other forms of cataloging for which no serial printed card existed (e.g., monographic series classified separately).
- **sn prefix** = Records authenticated by CONSER participants, the U.S. ISSN Center, United States Newspaper Program (USNP), and the former New Serial Titles Section (NST). (Prior to 1984, “sn” control numbers were also assigned to LC minimal level cataloging records.)

**042 field – Authentication code**

Records may have more than one code. Authenticated records cataloged according to AACR2 may not have authorized access points that are appropriate according to RDA.

- **lc** descriptive and subject elements verified by LC; all name and series headings are represented by name/series authority records in the national authority file; not used after...
lccopycat  Code lccopycat signifies that the Library of Congress has used another organization’s record as the basis for its cataloging. All headings have been checked against the relevant authority file (except for series headings in records used after May 31, 2006 and except subject headings not from Library of Congress Subject Headings).

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

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

nsdp  ISSN elements (e.g., ISSN, key title) verified by the U.S. ISSN Center (previously known as the National Serials Data Program (NSDP))

isds/e  ISSN elements verified by ISSN Canada

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

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

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

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

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

Note: An “x” preceding any of the agency-specific codes above indicates that the agency does not currently treat the publication as a serial.
### 050 field – Library of Congress call number

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

- **LAW**
  Assigned because an appropriate class “K” number was not available at the time of cataloging

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

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

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

- **UNCLASSIFIED**
  Same as “UNCLASSED”

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

- **ISSN RECORD**
  Record created by the U.S. ISSN Center; may reflect a serial in prepublication or post-publication

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

- **ELECTRONIC RESOURCE**
  Serial remote access electronic resource for which another number has not been assigned

- **Microfilm [no.]**
  Microfilm shelf number

- **Microfiche [no.]**
  Microfiche shelf number

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

- **Comic Book [no.]**
  Comic book shelf number

- **DISCARD**
  Retention decision

- **CURRENT ISSUES ONLY**
  Retention decision

### Fields showing variant and changed titles

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

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

**247 field – Former title**

*Used for electronic serials and integrating resources in AACR2 and RDA records; used for title changes on AACR 1 records before June 14, 1971, and for earlier titles in latest entry (ALA) cataloging records.*

**580 field – Linking entry complexity note**

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

**780 field – Preceding entry**

The second indicator in this field gives the exact relationship:

- 0 = Continues
- 1 = Continues in part
- 2 = Supersedes
- 3 = Supersedes in part
- 4 = Formed by the union of ______ and ______
- 5 = Absorbed
- 6 = Absorbed in part
- 7 = Separated from

**785 field – Succeeding entry**

The second indicator in this field gives the exact relationship:

- 0 = Continued by
- 1 = Continued in part by
- 2 = Superseded by
- 3 = Superseded in part by
- 4 = Absorbed by
- 5 = Absorbed in part by
- 6 = Split into ______ and ______
- 7 = Merged with ______ to form ______
- 8 = Changed back to
**008/32 Undifferentiated Personal Name**

**General**

When creating an NAR for a family name, assign value “n” in 008/32.

As of November 2013, LC and the PCC have agreed to the following guidelines for persons whose preferred names are identical:

- Do not use code “b” in an RDA name authority record; all personal name authority records coded RDA should be differentiated.
- Do not add a new identity to an existing personal name authority record coded 008/32 “b.”

Instead, apply RDA 9.19.1 to create a unique authorized access point for the person, using suitable additional elements.

**Maintenance of existing undifferentiated records:**

An existing undifferentiated NAR contains pairs of 670 fields used to group information about each individual covered by the NAR. The first 670 in the pair is an “identifying” 670 field containing a term descriptive of the person’s relationship to the title cited in the second 670 of the pair. The data in the identifying 670 field is contained in subfield $a and enclosed in square brackets. The second 670 in the pair is a “citation” 670 that contains the normal data elements in a resource being cataloged citation.

**Example:**

```
100 1# $a Lloyd, Richard
670 ## $a [Author of Bound and minor words in Baruya]
670 ## $a Bound and minor words in Baruya, 1989: $b t.p. (Richard Lloyd)
670 ## $a [Added entry for Alex, the amazing juggler]
670 ## $a Alex, the amazing juggler, 1981: $b t.p. (Richard Lloyd)
670 ## $a [Editor of Allen Jones]
670 ## $a Allen Jones, 1995: $b t.p. (Richard Lloyd)
```

When information is found to distinguish a person in an existing undifferentiated name record:

- Always create a new name authority record for that person, with distinguishing information, and add an indication that the person was formerly on an undifferentiated record (see 667 notes on records for identities previously on undifferentiated records below).
- Transfer the citation 670 pertaining to that person from the undifferentiated name record to the new name authority record and edit as necessary.
- If the undifferentiated NAR is not being deleted because multiple identities remain, delete the pair of 670 fields pertaining to the newly created NAR.
- If more than one identity remains in the undifferentiated NAR, and there is not sufficient information in the NAR to create new NARs for each name, leave the NAR coded AACR2.
In order to facilitate machine processing of authority records (e.g., matching, linking), when only one identity is left on an undifferentiated personal name authority record (i.e., other identities are being disambiguated and removed), take the following steps:

**NACO catalogers:**
- Assure that the undifferentiated NAR only contains information relevant to the single identity remaining (e.g., 670s).
- If a differentiated NAR has not been created for the last identity:
  - Add a 667 field to the undifferentiated NAR:
    
    667 ## $a Last identity on undifferentiated record; reported for deletion.
  - Report the undifferentiated NAR for deletion to naco@loc.gov. LC will create a new replacement NAR and delete the old NAR. In the new NAR, LC will add a 667 note and add the LCCN of the deleted NAR in field 010 subfield $z.$
- If a differentiated NAR has been created for the last identity:
  - Add that information in the 667 note on the undifferentiated record to assure that a duplicate NAR will not be created:
    
    667 ## $a Last identity on undifferentiated record; reported for deletion in favor of [LCCN of NAR].
  - Report the undifferentiated NAR for deletion to naco@loc.gov; LC will delete the NAR and add the LCCN of the deleted NAR in field 010 subfield $z$ of the newly created NAR.

**LC catalogers:**
- Create a new NAR for the remaining single identity. The authorized access point itself may be differentiated or it may be identical to the authorized access point in the undifferentiated NAR.
- Add the LCCN (010) of the NAR that will be deleted in 010 subfield $z$ of the newly created NAR(s), then delete the old undifferentiated NAR.
- Add a 667 note to the new NAR as indicated below.

*Example:*

010 ## $a [LCCN] $z [LCCN of deleted NAR]
100 1# $a Lloyd, Richard $c (Linguist)
667 ## $a Formerly on undifferentiated name record: [LCCN of deleted NAR].
670 ## $a Bound and minor words in Baruya, 1989: $b t.p. (Richard Lloyd)
667 notes on records for identities previously on undifferentiated records

Always add a 667 note to a new NAR to identify the LCCN of the authority record in which information about that person had been recorded:

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

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

Records not coded as “undifferentiated” that contain multiple persons

These instructions apply to an NAR with 008/32 value “a” that contains 670s for different people with the same name. For instructions on an NAR that contains information about a single person with multiple identities, see the 500 and 663 sections of DCM Z1.

An NAR for a person might contain 670s that actually relate to different people with the same name because a cataloger erroneously concluded they were citations for the same person. This effectively creates an “undifferentiated” record although the record is not identified as such in the 008/32. Do NOT change the 008/32 value to “b.” Take the following steps:

NACO catalogers:

- Create a new NAR representing only one person, applying the instructions for conflict in new authority records.
- Add a 667 field to the new NAR as is done for persons formerly on undifferentiated name records.
- Transfer the 670 pertaining to that person from the “undifferentiated” name record to the new NAR and edit as necessary.
- In the “undifferentiated” NAR, do not change the 008/10 value, and do not add or remove subfield $e “rda” in the 040 field.

- If the “undifferentiated” still NAR contains multiple identities:
  - Add a 667 field to the “undifferentiated” NAR:
    
    667 ## $a Record contains multiple identities; reported to LC for resolution, [date].

  - Report the “undifferentiated” NAR for deletion to naco@loc.gov. LC will create new NARs for each remaining identity, delete the “undifferentiated” NAR
and add the LCCN of the deleted NAR in field 010 subfield $z$ of the last newly created NAR.

- If the “undifferentiated” NAR now contains one identity:
  - Add that information in the 667 note on the “undifferentiated” record to assure that a duplicate NAR will not be created:
    
    \[667 \#\# \textit{$a$ Last identity on undifferentiated record; reported for deletion.}\]
    
  - Report the “undifferentiated” NAR for deletion to naco@loc.gov. LC will create new replacement NAR and delete the old NAR. In the new NAR, LC will add a 667 note and add the LCCN of the deleted NAR in field 010 subfield $z$.

LC catalogers:

- Create a new NAR representing only one person, applying the instructions for conflict in new authority records.
- Add a 667 field to the new NAR as is done for persons formerly on undifferentiated name records.
- Transfer the 670 pertaining to that person from the “undifferentiated” name record to the new NAR and edit as necessary.
- In the “undifferentiated” NAR, do not change the 008/10 value, and do not add or remove subfield $e$ “rda” in the 040 field.

- If the “undifferentiated” NAR contains multiple identities:
  - Add a 667 field to the “undifferentiated” NAR:
    
    \[667 \#\# \textit{$a$ Record contains multiple identities; reported to LC for resolution, [date].}\]
    
  - Report the “undifferentiated” NAR for deletion to policy@loc.gov. PSD will create new NARs for each remaining identity, delete the “undifferentiated” NAR and add the LCCN of the deleted NAR in field 010 subfield $z$ of the last newly created NAR.

- If the “undifferentiated” NAR now contains one identity:
  - Create a new NAR for the remaining single identity. The authorized access point itself may be differentiated or it may be identical to the authorized access point in the undifferentiated NAR.
  - Add the LCCN (010) of the NAR that will be deleted in 010 subfield $z$ of the newly created NAR(s), then delete the old “undifferentiated” NAR.
  - Add a 667 note to the new NAR as indicated below.

Examples:

New NAR for first person removed “undifferentiated” record:

\[010 \#\# \textit{$a$ [LCCN]}\]
New NAR for second person removed from “undifferentiated” record:

010 ## $a [LCCN] $z [LCCN of deleted NAR]
100 1# $a Hernandez, Olaf, $d 1960-
667 ## $a Formerly on undifferentiated name record: [LCCN of deleted NAR].
670 ## $a Hell hath no fury, 2000: $b t.p. (Olaf Hernandez)
670 ## $a Email from author, April 2, 2015 $b (born March 20, 1960; author of Hell hath no fury but not the author of Living in hell)

SARs

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

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

Prior to March 21, 1991, only value “n” was used in this field. Use value “a” if a new SAR is entered under a personal name authorized access point. Catalogers may change this field if the value is incorrect when updating the SAR for another reason.
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/rdar/PCC%20Post%20RDA%20Test%20Guidelines.html](http://www.loc.gov/aba/pcc/rdar/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.

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, led, 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 (lhow@loc.gov) if an error is discovered; use the correct authorized access point on the SAR.

For instructions on converting an existing NAR to a SAR, see Should a SAR be made? in the Introduction of Z1.
4XX  See From Tracings – General Information

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.

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).

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

Not all 4XX references require justification; see “Justifying variant access points” 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:
  o Use cataloger's judgment;
  o No limitation on the number or form of references;
  o 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).

Earlier cataloging practices for 4XXs

a) Corporate body, conference and geographic names

Under earlier cataloging policies, when a corporate body, etc., changed its name, the heading was changed and all records revised used the newer name. The earlier name or names was traced as a 4XX reference to the later form used as the heading. In retrospectively converted records, these situations were identified with a 667 field note: “The following heading for an earlier name is a valid AACR2 heading:
[earlier name or names in AACR2 form].

Example:

110 2# $a Air League of the British Empire
410 2# $a Aerial League of the British Empire
667 ## $a The following heading for an earlier name is a valid AACR2 heading: Aerial League of the British Empire.
If a name represented in a 4XX field is needed for cataloging, convert the 4XX to a 5XX following the appropriate descriptive cataloging instructions, and delete the 667 field note. If a NAR containing such a 4XX is being updated, and the earlier name in the 4XX is not needed for cataloging, catalogers may retain the 4XX and 667 field in the existing NAR, or convert the 4XX to a 5XX, delete the 667 field and create a new NAR for the earlier name.

If a 667 field contains multiple valid earlier names and not all of them are being established as new NARs, adjust the 667 and 4XX fields as needed to reflect which names have been removed in favor of new NARs.

b) Personal names

Under earlier cataloging policies, pseudonyms used by non-contemporary authors (i.e., authors who died before December 31, 1900) were sometimes traced as 4XX references rather than being established in a separate NAR. When updating NARs for persons that contain pseudonyms in 4XX fields, catalogers should follow current policies on pseudonyms. See the appropriate sections of Z1, including the 663 and 667 field sections. More information is available in the FAQ on personal names (http://www.loc.gov/catdir/cpso/pseud.pdf).

**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 nnea.

**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 nnea $a Pericles, $d ca. 495-429 B.C.
(Coded "nnea" 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 nnea 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 nnea. 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.
667 Nonpublic General Note

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

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

General

Give information of permanent value and general interest that would be useful also to institutions outside of LC and to LC staff not working in the LC Database. A representative listing of notes is given below. Generally, wording is recommended but not prescriptive unless specified in the instructions. The separate 667 fields may be given in any order.

Examples:

667 ## $a Not same as: [name or title, LCCN].

667 ## $a Cannot identify with: [name or title, LCCN].

667 ## $a Reinvestigate before using again.

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

667 ## $a Coded provisional because [reason for coding].

667 ## $a Date of birth removed from all fields per author request, [date updated].

667 ## $a For works issued before/after [date].

(To be used for official language changes)

NARs for persons with identities not established

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

Example:

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

Note: Do not make references from the unestablished pseudonyms.
More information on creating NARs for persons with alternate identities is found in the  

NARs for series of conferences, etc. (LC-PCC PS 11.13.1.8.2)

When creating an authority record for the collective conference, do not add the numbers and/or dates to the authorized access point. Include a 667 field when there are authority records for both collective and individual instances of an ongoing conference.

Example:

667 ## $a See also related access points for individual instance of this conference which include specific information about the number, date, or place of the individual conference.

NARs and subject usage

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

(1) Notes indicating subject cataloging usage when an authorized access point is not appropriate for use as a subject entry:

(a) Heads of state, etc.

Add a 667 note indicating subject cataloging usage to name authority records for corporate names representing the office held for Heads of state, Heads of governments, etc. (RDA 11.2.2.18), International intergovernmental bodies (RDA 11.2.2.18.3), Governors of dependent or occupied territories (11.2.2.18.4), and Religious officials (RDA 11.2.2.26) when the name of the incumbent is included as part of the authorized access point.

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

Assign value “n” in 008/11 and value “b” in 008/15.

Examples:

008/11 = n
008/15 = b
110 1# $a United States. $b President (1923-1929 : Coolidge)
667 ## $a SUBJECT USAGE: This name is not valid for use as a subject. Works about this person are entered under Coolidge, Calvin, 1872-1933.
008/11 = n
008/15 = b
110 2# $a Catholic Church. $b Pope (1503-1513 : Julius II)
667 ## $a SUBJECT USAGE: This name is not valid for use as a subject. Works about this person are entered under Julius II, Pope, 1443-1513.

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

(b) Earlier/later linear jurisdictional name changes

It is LC subject cataloging policy to assign as a subject access point or as a geographic subdivision only the latest name of a political jurisdiction that has had one or more earlier names, as long as the territorial identity remains essentially unchanged (cf. SHM H 708). Upon creating an earlier/later authorized access point for a geographic name, catalogers must add a 667 subject usage note to the earlier name and adjust the appropriate 008 fields (008/11 and 008/15).

Example:

008/11 = n
008/15 = b
151 ## $a Ceylon
667 ## $a SUBJECT USAGE: This name is not valid for use as a subject. Works about this place are entered under Sri Lanka.

(2) Notes indicating that authorized access points for names of a city section, neighborhood, district, etc, are not appropriate for use as a geographic subdivision:

LC/PCC practice:

Add a 667 note to name authority records for geographic names that are not appropriate for use as geographic subdivisions in subject cataloging usage (per SHM H 835) when the name represents an entity within a city and is qualified by the city name. Do not add a 781 field.

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

Example:

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

LC subject catalogers may optionally send a message to PSD policy@loc.gov and ask to have the NAR updated.
**Non-Latin script reference notes**

In an authority record that contains non-Latin script variant access points use the 667 field with a note stating: “Non-Latin script reference not evaluated.” If there are several non-Latin script variant access points, the sentence may be modified to reflect that condition. Assure that 008/29 is set to “b” to indicate that the variant access point is not evaluated.

**Example:**

```
008/29 = b
100 1# $a Xi, Jinping
400 1# $a 习近平
400 1# $a 習近平
667 ## $a Non-Latin script references not evaluated.
```

**MESSAGE notes (LC practice)**

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

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

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

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

**SARs**

(1) Notes on the title proper:

There may be a clear pattern of fluctuation between two or more forms of title proper of a numbered series (based on information in the database or from items in hand). There may be a change in the form of the title proper that is not considered a title change (see RDA 2.3.2.13.2). Use a 667 field in lieu of a 670 field to indicate the different title proper that is not generating its own SAR. Give that form of the title proper in a 4XX field.

**Examples:**

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

(Used for fluctuating titles)
667 ## $a Vols. 9-  have title: [title proper]
(Used for a minor title change)

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

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

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

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

If a series authority record represents a publication that is a successive entry that has occurred after a series was last handled under pre-AACR 2 rules but for which no SAR yet exists, give the information only in a 667 field rather than in 675/5XX fields. Label it, in square brackets, as an unevaluated catalog entry form.

667 ## $a Continues: [pre-AACR 2 catalog entry form]
(Unevaluated catalog entry form)

667 ## $a Continued by: [pre-AACR 2 catalog entry form]
(Unevaluated catalog entry form)

When the pre-AACR 2 catalog entry form is being evaluated in terms of construction of the RDA authorized access point, delete this 667 and replace it with appropriate 675/5XX fields on both SARs.

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

Example:

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

When the optional linking variant access point cannot be given between the RDA form and the previous form due to NACO normalization, if desired give the previous authorized access point’s information in a 667 field. Use one of the notes given below. (See “NACO normalization” section in Introduction.)

Use this 667 note if the variant access point would normalize to the same form as the RDA authorized access point or another variant access point on the same record or to the same form as an authorized access point on another record:

667 ## $a Old catalog heading: _______________.

April 2017
Use this 667 note if two or more pre-RDA authorized access points will be treated as one authorized access point under RDA:

667 ## $a Includes old catalog headings: [pre-RDA a.a.p. 1]; and, [pre-RDA a.a.p. 2].

Use this 667 note if one pre-RDA authorized access point will be split under RDA:

667 ## $a Previous to RDA covered by: [AACR2 a.a.p.].

(3) Notes on the publisher/issuing body:

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

Examples:

667 ## $a Imprint varies.

667 ## $a Publisher varies.

667 ## $a Published by various offices of the Division of Education.

(4) Notes on the type of publication:

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

667 ## $a Document.

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

Examples:

667 ## $a Telephone call to publisher, 11-2-88: Change in pattern of publication; v. 1-17 monographic works, v. 18- collections of articles.

667 ## $a Publication was periodical for v. 1-3; monographic series beginning with v. 4.

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

667 ## $a Do not give as a quoted note.

667 ## $a Give as a quoted note.

667 ## $a Give as a quoted note if [name of publisher] is not
recorded in the publication, distribution, etc. area of the bibliographic record.

(For phrase that combines name of publisher and a generic term)

667 ## $a Is an imprint, not a series. Record in publication, distribution, etc. area of the bibliographic record.

(for imprint that could be construed to be a title, e.g., Metropolitan Books)

667 ## $a Give as a quoted note, including the number, e.g., AAI no. 85-41.

667 ## $a Give as other title information in the title and statement of responsibility area of the bibliographic record.

(6) Notes on an undifferentiated phrase record:

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

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

Optionally, provide a second 667 note: “Give as a quoted note.” If a different handling is desired for one instance of the phrase, either (a) make a separate phrase SAR and add a qualifier to its 1XX entry, or (b) add another 667 note in the undifferentiated phrase SAR: “For resources published by [________], give the phrase as [__________].”

(7) Notes on the post-cataloging authority records:

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

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

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

(8) Miscellaneous notes:

667 ## $a Previous to AACR 2 subsumed under made-up set for UN documents.

(See 64X section for more information about UN documents)

667 ## $a First printing of vol. 8 of the Princeton theological monograph series erroneously carried the series statement: Pittsburgh theological monographs.

667 ## $a Phone call to Borgo Press 1-20-84: Starmont Press
series; Borgo reprints all titles generally 6 months to a year later in cloth.

667 ## $a Lacked analyzable titles until v. 9.

667 ## $a Indexed in: Social sciences index.  
(For a series not being analyzed)

667 ## $a Establish separate records for English and Spanish titles if Spanish edition of v. 3 is received.
670 Source Data Found

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

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

This 670 section covers the following topics:
- Introduction
- Format of 670 fields
- Recording names and titles
- Recording dates
- Justifying variant access points
- Justifying other elements
- Recording other data
- Special types of citations

Introduction

The purpose of this field is to record information about the name or title represented in the 1XX field. It includes facts that contribute to the identification of the entity, that justify the choice of the name or title and any additional elements used to construct the authorized access point (1XX). The information also justifies, as needed, variant forms of the name or title (4XX), other identifying elements (046 and 3XX), and clarifies relationships between the 1XX and other entities in the file.

Functions of the 670 field:
- To record information, from sources (e.g., books, phone calls, websites), in support of the choice and form of the authorized access point, variants, and other identifying elements
- To store information that may be used to break a conflict later
- To record information on relationships between entities (e.g., a person is the author of a work, a corporate body was absorbed by another corporate body)
- To identify a person with works in diverse subject areas or of diverse forms
- To identify different individuals whose access points must remain identical for now (i.e., undifferentiated personal names)
- To clarify whether different forms of a name or of a title are simply variations or reflect a change in the name or title
- To record research required by the current guidelines
- To facilitate authority and bibliographic file maintenance, i.e., the information in 670 fields aids in making decisions about duplicate authorized access points and misattributions
- To support machine manipulation based on algorithms using information in the 670

The examples given throughout the following text have various conventions in regard to punctuation and style. These conventions are not prescriptive and should be considered as best
practices to facilitate the exchange of information in a shared database environment. Catalogers are expected to use judgment and common sense. Punctuation and style need not be consistent from record to record as long as the information is clear and accurate.

Generally, the first 670 field cites the resource for which the authority record is being established, i.e., the resource being cataloged; give subsequent 670 fields in any order, adding new fields after existing ones. Do not routinely delete or change existing 670 fields when adding new 670 fields.

If the resource being cataloged or consulted provides no information to justify the authorized access point, variants, or other elements recorded in the NAR, see the 675 section of DCM Z1 for instructions on citing the resource in a 675 field.

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

Format of 670 fields

General

With the exception of the eszett (ß or ſʒ) and the euro sign (€), all characters found in the MARC code table: http://www.loc.gov/marc/specifications/specchartables.html, are valid for use in authority records contributed to the LC/NACO Authority File (cf. LC-PCC PS 1.4).

If a substitution for a symbol that cannot be reproduced is given in brackets, an explanation of that interpolation may also be provided (c.f. LC-PCC PS 1.7.5).

Example:


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

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

When authority records are created using automated authority generation programs, additional information may be included. This data may also be formatted in a different way than instructed in this document. Generally, this data should be retained as generated to maintain the cost effectiveness of this process unless the data is confusing or causes validation errors. The exceptions to this are 1) names and titles for which NARs are created and 2) BGN citations. Follow the instructions in those sections for recording this data.
**Subfield $a – Source citation**

A 670 field should include the following data in subfield $a:

1) The title proper of the resource being cited, complete enough for later identification in an online catalog. Abbreviations and ellipses may be used. Precede a generic or indistinctive title with the creator’s name that would begin the authorized access point for the work. If the authorized access point for the work is the same as the title proper plus a qualifier, it may be provided instead of the title proper to avoid ambiguity. When information in subfield $a$ of a 670 field is provided to justify an authorized or variant access point, follow the additional instructions at *Recording names and titles*.

2) The date of publication.

*Examples:*

670 ## $a Barlow, Nadine G. Mars, 2008: $b t.p. ([data])

670 ## $a Socialism (Routledge (Firm)), 2003: $b $b t.p. ([data])

Also see the guidelines below for specific categories:

- **Multipart monographs.** If the part is the first part, give the date of publication as an open date.

- **Serials other than monographic series.** Generally, use a chronological designation instead of a publication date. If there is no designation date, use the numeric designation and the date of publication. Indicate, following the designation statement, if a “surrogate” was used.

  670 ## $a The Verdict, February 1975: $b t.p. ([data])

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

  670 ## $a Studies in Confederate history, No. 1 (1966), surrogate: $b cover ([data])

  not 670 ## $a Studies in Confederate history, 1966, surrogate: $b cover ([data])

- **Integrating resources.** Apply the instructions at RDA 2.2.4.2 for source of the title proper of a website. Identify the iteration from which information was taken (e.g., “viewed on” dates for updating websites, update number or release number for updating loose-leafs).

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

A 670 field should include the following data in subfield $b:

1) The specific location(s) of the information found. For multipart resources with numbered parts, provide the designation of the part and the location within the part (e.g., v. 6, page 10; map recto, label). Abbreviations may be used (e.g., t.p., jkt., v. 6).

2) Information found. Following the location, cite the information found there, enclosed in parentheses. As appropriate, give multiple occurrences of information from the same source following the location of the information. (Note: In SARs, the parenthetical statement of the form of title proper was omitted until June 1989.)

Examples:

670 ## $a The complete guide to creating enduring festivals, 2015: $b t.p. (Dr. Ros Derrett, OAM) p. xi (Roslyn Derrett)

670 ## $a Da real world, 1999: $b container (Beyoncé)

670 ## $a The World Book encyclopedia, 2010: $b v. 17, p. 106 (Sand, George; 1804–1876; pen name of Amantine-Lucille-Aurore Dupin)

Also see the guidelines below for specific categories:

- **ECIPs.** If the authorized access point (1XX) is being constructed from an ECIP at the galley stage, precede the first location with “ECIP” (e.g., ECIP t.p., ECIP data view).

  670 ## $a Arts-based research in education, 2008: $b ECIP t.p. (Richard Siegesmund) galley (associate prof. in the Lamar Dodd School of Art, Univ. of Georgia)

- **Internet resources.** For websites, provide the name of the location within the website if appropriate (e.g., about us; history, timeline; government, executive branch).

  670 ## $a Amistad Research Center (Website), viewed on May 23, 2016: $b history of the center (Amistad Research Center; established in 1966)

- **Multiple locations within a resource.**

  - **NARs.** For NARs, generally, use “etc.” to avoid giving more than two locations or a sequence of locations (e.g., p. 316, etc., for sequence p. 316-325, 329-331).

    670 ## $a Drevon, André. Alice Milliat, 2005: $b t.p. (Alice Milliat) p. 9, etc. (b. Alice Joséphine Marie Million on May 5, 1884 in Nantes; d. May 19, 1957; female athlete)
SARs. For SARs, always give each location separately.

Note: Specific location was not given on “n42-” (retrospective) SARs.

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

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

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.

Catalogers may optionally provide a uniform resource identifier (URI) in subfield $u of the 670 citation to link to the cited resource if it contains significant information related to the established entity that cannot be cited succinctly in the authority record. Note that use of a URI in the 670 $u does not take the place of the requirement to cite relevant data in subfields $a and $b of the 670 field needed to support the authorized access point (including additions) or variants (this information will continue to be available if the site changes or disappears). However, information found in online sources may be added to the 046 or 3XX fields with the appropriate citations in subfields $v and $u and not repeated in a 670 when that information is not used in the 1XX or a 4XX. If a URI is included in a 670, it must be given in subfield $u.

Example:

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

Recording names and titles

Record names or series titles used in the authorized access point or variant access points in full, as they appear in the source, without abbreviation by the cataloger.

When preparing an authority record for the text of a law or a subject compilation of laws, if a source being cited contains an official short title or citation title, cite that title, preceded by the term “citation title” and its exact location, e.g.,

670 ## $a Workers' compensation law of the state of North Carolina, c1980: $b t.p. (Workers' compensation law of the state of North Carolina) citation title, p. 49 (The North Carolina Workers' Compensation Act)
For corporate name authorities, include in the data cited all the hierarchy required to justify needed variant access points. Use judgment in deciding what information (e.g., subordinate body's name) is extraneous to the record being created and should not be recorded.

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

If information about an earlier or later name or title is found in the same source as the name or title in the authorized access point, give all the information in the 670 field. Do not separate the information about the earlier or later name or title in order to give it in a 675 field.

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

Recording dates

To facilitate international contribution and use of authority records, when record dates, generally use the spelled out or abbreviated forms for months as the U.S. practice for recording dates using numerals differs from the practice in some other countries. (For dates recorded using automated authority generation programs, see the Format of 670 fields section of this document.) Do not change the style of dates in existing records. As a best practice, if a date is not included in subfield $d of the 100 field, consider adding a 046 field if dates are available.

Justifying variant access points

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

(1) Variant access points made on the basis of the cataloger's awareness of different romanizations or orthographies;

(2) A variant title derived from the resource being cataloged, from other resources cataloged under the same access point, or from information in standard reference sources;

(3) References for authorized access points of corporate bodies reflecting changes due to national orthographic reform, changes in names due to an official language change, or changes involving only a parent body to which the body being established is subordinate.

(4) Optional references from AACR2 or pre-AACR 2 forms on SARs and on retrospective NARs.
**Justifying other elements**

Information recorded in the 046 or 3XX of the authority record should generally be justified unless it is otherwise obvious from information recorded in subfield $a of a 670 citation or it can be easily inferred from other identifying elements recorded, including the preferred name.

For the 046 field and many of the 3XX fields, a subfield $u or subfield $v recorded in the same field may be used instead of or in addition to a 670. See the 046 section of this document for guidelines on subfield $u and subfield $v.

**Recording other data**

NARs. Use judgment to determine how much data to record in the authority record. Do not abbreviate or translate attributes such as title of the person (RDA 9.4) that appear in conjunction with personal names in statements of responsibility and that potentially could be used as part of the access point. Other data may be abbreviated or summarized. Generally informally translate other data from foreign languages into English, paraphrasing or summarizing as convenient.

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

**Special types of citations**

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

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

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

```
670 ## $a 665 info formerly in this record $b {[data moved from 665 field]}
```

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

For LC catalogers working in OCLC and for NACO participants, there is no change in what is considered to be the “LC database” as used in 670 subfield $a.
NARs. Give the date of the search, using month abbreviations. In parentheses, prefaced by the label access point: if appropriate), give the access point (or access points) found, even if it is the same as the current authorized access point.

If different forms of the name appear in the bibliographic records, record the access point and also any forms found, including usage identical to the authorized access point. Separate the access point from the other forms, and preface the other forms with an appropriate label, e.g., usage: or non-transcribed form:.

Do not normally cite specific bibliographic records or the exact location of the variations found.

670 ## $a LC database, Jan. 5, 2015 $b (access point: Smith, Julius Harold, 1924--; usage: J. Harold Smith)

670 ## $a LC database, Mar. 11, 2016 $b (access point: Swedish American Corporation; non-transcribed form: Swedish American Corp.)

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

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

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

---

1 Formerly these citations were given using the labels hdg.: and MLC hdg.: Do not change existing citations using these labels.

2 “Usage” for bibliographic records refers to the transcribed forms of name usually found in statements of responsibility of bibliographic records. It may also appear in other parts of the bibliographic record such as a title proper or a quoted note. Because of changes in cataloging instructions, catalogers should be careful when taking information from the publication statement, distribution statement, etc. and the series statement.

3 “Non-transcribed form” for bibliographic records refers to a form of the name that may not represent a transcribed form. For example, in AACR2 records, a publisher’s name that appeared on the resource as “ABC Publishing Company” might have been recorded in the publication statement as “ABC Pub. Co.” Normally, there is no need to cite such a form in a 670 field. Formerly, this citation was given as variant: (not the same as a variant citation for another database such as GEOnet or a variant form of name found on a resource). Do not change existing citations using this label.
LC manual authority card. LC practice: When formulating the 670 citation for a manual authority card citation, use either LC manual auth. cd. or LC manual cat. (i.e., authority and bibliographic records) as appropriate. Summarize and record data found, without specifying individual works cited on the manual authority card or other sources of information which may have been mentioned there.

Citing other files or catalogs. If an access point is found in a manual catalog or online database, use judgment in creating a 670 citation. Begin the 670 field with a designation of the catalog/database in which these other bibliographic records were found. There is no prescribed formulation of such citations; examples are listed below:

- 670 ## $a LC in OCLC, [date] $b ([data])
- 670 ## $a M/B/RS Collections Authority file $b ([data])
- 670 ## $a New Delhi MARC file $b ([data])
- 670 ## $a MWA/NAIP files $b ([data])
- 670 ## $a NUC pre-56 $b ([data])
- 670 ## $a NRMM $b ([data])
- 670 ## $a BNF in VIAF, [date] $b ([data])

Library of Congress staff working with the National Union Catalog (NUC) reports used specific library reports in the 670 citations when creating name authority records.

- 670 ## $a nuc85-70017: Lower and middle Pennsylvania stratigraphy ... 1982 $b (hdg. on AAP rept.: Sutherland, Patrick Kennedy, 1925- ; usage: Patrick K. Sutherland)

BGN.4 Provide the name of the database and the date searched in subfield $a. For domestic names, cite GNIS. For foreign names, cite GEOnet. In subfield $b provide names given for the entity, feature designation or class (e.g., ADM1, PPL, civil) coordinates, and name of larger place if appropriate. (Other relevant information may also be provided.) For foreign names, convey the name type by adding within brackets after the name, e.g., [conventional], [approved], [short]. Repeat the brackets after each name of this type. Variant names (including non-roman script names) may be given in a single listing as shown below. If possible, use the degree sign (not superscript zero) to show degrees, use the miagkii znak (modifier letter prime) for minutes and the tverdyi znak (modifer letter double prime) for seconds.

- 670 ## $a GNIS, viewed May 5, 2016 $b (Alleghany County; civil, 39°37'17"N 078°41'56"W, located in Maryland; variant: Alligany County)

- 670 ## $a GEOnet, viewed April 12, 2014 $b (Bellinzona [approved]; PPLA in Ticino, Switzerland, 46°11'43"N, 009 01'22"E; also a district of the same name in Ticino)

- 670 ## $a GEOnet, viewed May 4, 2016 $b (Taitung [conventional], Taitung County [conventional], Taidong [approved],

4 GNIS (US domestic names; URL: http://geonames.usgs.gov/pls/gnispublic); GEOnet (foreign names; URL: http://geonames.nga.mil/gns/html)
Non-bibliographic sources. Give the non-bibliographic source, the date, and the information. The source can be given specifically (“Letter from author,” “Phone call to publisher,” etc.) or in general terms (“Information from author,” “Information from publisher,” etc.). When noting a specific source, it isn't necessary to show how information was received, e.g., that letter was received via FAX rather than via mail. When a telephone call to a publisher/agency/organization is cited, usually give the name of the group called, rather than the title or name of the person contacted.

670 ## $a Phone call to H. Jones, Jan. 31, 1992 $b (Harry Jones is real name of Lionel Jones)


670 ## $a Information from publisher, Feb. 6, 1991 $b (James Allan's middle name is Stephen, not Steven)

670 ## $a Email from publisher, April 3, 2016 $b (__________)

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


Citations for undifferentiated NARs. For information on existing 670 citations found in undifferentiated NARs, see DCM Z1, 008/32 Undifferentiated Personal Name.
Introduction

The Library of Congress (LC) Guidelines for MARC 21 authority records are intended to be used in conjunction with the MARC 21 Format for Authority Data. They were prepared by the Cataloging Policy and Support Office and the Cooperative Cataloging Team in the Regional and Cooperative Cataloging Division and are based on previous editions compiled by the Network Development and MARC Standards Office.

Scope of LC Guidelines

The LC Guidelines present information relating to two areas of usage in authority records: 1) usage pertaining to records contributed to the authority files by participants in the Name Authority Cooperative (NACO) or Subject Authority Cooperative (SACO) programs; and 2) usage pertaining to authority records created and updated by LC. Records include name, series, and subject authority records.

In April 2017, the LC Guidelines were expanded to include fields and subfields for which no implementation decision has been made yet. These fields and subfields contain instructions not to use them with the additional text “implementation decision not yet made.” They will be updated to reflect implementation decisions when appropriate.

The guidelines were developed from various internal and published documents, including the MARC 21 Format for Authority Data 1999 base text with updates, the most recent editions of the NACO Participants’ Manual, and the SACO Participants’ Manual.

Direction for use of LC Guidelines

The LC Guidelines for authority records should be used by LC catalogers and institutions participating in NACO or SACO and creating authority records to be added to the authority files. The guidelines may also be used by institutions that need or want to know special LC practice in authority records. As already mentioned, these guidelines are intended to be used in conjunction with the MARC 21 Format for Authority Data. Data requirements that are not specific to NACO or SACO and/or LC are presented only in the main text of the authorities format.

NACO/SACO participants and LC staff creating authority records must also apply the appropriate procedures presented in various LC cataloging documents (e.g., the Descriptive Cataloging Manual (DCM), and the Subject Headings Manual (SHM)). Cooperating institutions may also refer to the NACO Participants’ Manual and the SACO Participants’ Manual.

Organization of LC Guidelines

The guidelines pages may be filed at the end of the main text of the field to which they apply in the authorities format or in a separate binder. Each guidelines page is marked at the top with the title of the MARC 21 format section (usually a three-digit field tag) to which it applies.

NACO usage and SACO usage sections are given first, with a list of data elements receiving special treatment and explanatory text where appropriate. When there is no special NACO and/or SACO usage, any data requirements detailed in the main text of the Authority format are still applicable.
LC usage follows NACO/SACO usage sections. The LC usage section is also divided into subsections on Name/Series usage, and Subject usage, as appropriate. Some LC usage may be more restrictive than that prescribed for NACO and SACO participants. NACO and SACO participants may not be restricted necessarily from using specific data elements even though LC does not use them. These differences are noted when they occur.

Instructions for genre/form terms and medium of performance terms fields and subfields are given in the SACO and LC Subjects usage sections.

Note: As of June 1, 2006 LC does not create or update SARs.
Leader

NACO:
Leader/05 (Record status)
Do not use codes:
a, d, o, s, x

If a NACO participant identifies an authority record that should be deleted from the National Authority File, consult LC’s Cooperative Programs Section to have the record deleted. NACO participants are not permitted to delete the record from the file.

Leader/09 (Character coding scheme)
Do not use codes:
a

Leader/17 (Encoding level)
Consult LC’s Cooperative Programs Section before using code o.

Leader/18 (Punctuation Policy)
Do not use. Implementation decision not yet made.

SACO:
Leader/05 (Record status)
Do not use codes:
a, d, o, s, x

Leader/09 (Character coding scheme)
Do not use codes:
a

Leader/17 (Encoding level)
Do not use codes:
o

Leader/18 (Punctuation Policy)
Do not use. Implementation decision not yet made.

LC:

NAMES/SERIES:
Leader/05 (Record status)
Do not use codes:
a, o, s, x
Leader/09 (Character coding scheme)
Do not use codes:
  a

Leader/17 (Encoding level)
Use code o for Early Notice Records.

Leader/18 (Punctuation Policy)
Do not use. Implementation decision not yet made.

SUBJECTS:

Leader/05 (Record status)
Do not use codes:
  a, o, s, x

Leader/09 (Character coding scheme)
Do not use codes:
  a

Leader/17 (Encoding level)
Do not use codes:
  o

Leader/18 (Punctuation Policy)
Do not use. Implementation decision not yet made.
075 Type of Entity

NACO:
Do not use this field. Implementation decision not yet made.

SACO:
Do not use this field. Implementation decision not yet made.

LC:

NAMES/SERIES:
Do not use this field. Implementation decision not yet made.

SUBJECTS:
Do not use this field. Implementation decision not yet made.
080  Universal Decimal Classification Number

NACO:

NACO participants may supply the 080 field in series authority records for multipart items at their own discretion. There are no further guidelines for the field.

Do not use subfields:
   $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.
100 Heading – Personal Name

NACO:

Use first indicator value 3 in name and series authority records when creating RDA authorized access points for family names.

Do not use subfields:
$e, $h, $j, $v, $x, $y, $z, $6, $8

SACO:

Do not use subfields:
$e, $g, $h, $j, $6, $8

---

LC:

NAMES/SERIES:

Use first indicator value 3 in name authority records when creating RDA authorized access points for family names.

Do not use subfields:
$e, $h, $j, $v, $x, $y, $z, $6, $8

SUBJECTS:

Do not use subfields:
$e, $g, $h, $j, $6, $8
147  Heading – Named Event

NACO:
Do not use this field. Implementation decision not yet made.

SACO:
Do not use this field.

LC:

NAMES/SERIES:
Do not use this field. Implementation decision not yet made.

SUBJECTS:
Do not use this field.
336  Content Type

NACO:

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

Do not use subfields:
   $3, $6, $8

Do not use subfield (implementation decision not yet made):
   $0

SACO:

Do not use this field.

LC:

NAMES/SERIES:

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

Do not use subfields:
   $3, $6, $8

Do not use subfield (implementation decision not yet made):
   $0

SUBJECTS:

Do not use this field.
348  Format of Notated Music

NACO:
Do not use this field. Implementation decision not yet made.

SACO:
Do not use this field.

LC:

NAMES/SERIES:
Do not use this field. Implementation decision not yet made.

SUBJECTS:
Do not use this field.
**377 Associated Language**

**NACO:**

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

Do not use subfields:

- $6, $8

Do not use subfield (implementation decision not yet made):

- $0

**SACO:**

Do not use this field.

**LC:**

**NAMES/SERIES:**

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

Do not use subfields:

- $6, $8

Do not use subfield (implementation decision not yet made):

- $0

**SUBJECTS:**

Do not use this field.
382   Medium of Performance

NACO:

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

Do not use subfields:
   $0, $6, $8

Do not use subfields (implementation decision not yet made):
   $r, $t

SACO:

Do not use this field.

LC:

NAMES/SERIES:

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

Do not use subfields:
   $0, $6, $8

Do not use subfields (implementation decision not yet made):
   $r, $t

SUBJECTS:

Do not use this field.
388 Time Period of Creation

NACO:

Do not use this field. Implementation decision not yet made.

SACO:

Do not use this field. Implementation decision not yet made.

LC:

NAMES/SERIES:

Do not use this field. Implementation decision not yet made.

SUBJECTS:

Do not use this field. Implementation decision not yet made.
447  See From Tracing – Named Event

NACO:
Do not use this field. Implementation decision not yet made.

SACO:
Do not use this field.

LC:

NAMES/SERIES:
Do not use this field. Implementation decision not yet made.

SUBJECTS:
Do not use this field.
547  See Also From Tracing – Named Event

NACO:

Do not use this field. Implementation decision not yet made.

SACO:

Do not use this field.

LC:

NAMES/SERIES:

Do not use this field. Implementation decision not yet made.

SUBJECTS:

Do not use this field.
664 Complex See Reference – Name

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.
666 General Explanatory Reference – Name

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.
670 Source Data Found

NACO:

As of January 2006, catalogers may supply a subfield $u in 670s of Name/series authority records following the guidelines in Descriptive Cataloging Manual Z1, supplement to the MARC 21 Format for Authority Data. These guidelines suggest that a cataloger should use judgement in supplying URIs because, 1) URIs are subject to rapid changes thus incurring an increased need for maintenance and 2) URIs are unnecessary when a well-crafted 670 note provides enough information to identify the 1XX and references.

Do not use subfields:
   $6, $8

Do not use subfield (implementation decision not yet made):
   $w

SACO:

As of January 2006, catalogers may supply a subfield $u in 670s of subject authority records following the guidelines in Descriptive Cataloging Manual Z1, supplement to the MARC 21 Format for Authority Data. These guidelines suggest that a cataloger should use judgement in supplying URIs because, 1) URIs are subject to rapid changes thus incurring an increased need for maintenance and 2) URIs are unnecessary when a well-crafted 670 note provides enough information to identify the 1XX and references.

Do not use subfields:
   $6, $8

Do not use subfield (implementation decision not yet made):
   $w

LC:

NAMES/SERIES:

As of January 2006, catalogers may supply a subfield $u in 670s of Name/series authority records following the guidelines in Descriptive Cataloging Manual Z1, supplement to the MARC 21 Format for Authority Data. These guidelines suggest that a cataloger should use judgement in supplying URIs because, 1) URIs are subject to rapid changes thus incurring an increased need for maintenance and 2) URIs are unnecessary when a well-crafted 670 note provides enough information to identify the 1XX and references.

Do not use subfields:
   $6, $8
Do not use subfield (implementation decision not yet made):
   $w

SUBJECTS:

As of January 2006, catalogers may supply a subfield $u in 670s of subject authority records following the guidelines in *Descriptive Cataloging Manual Z1, supplement to the MARC 21 Format for Authority Data*. These guidelines suggest that a cataloger should use judgement in supplying URIs because, 1) URIs are subject to rapid changes thus incurring an increased need for maintenance and 2) URIs are unnecessary when a well-crafted 670 note provides enough information to identify the 1XX and references.

Do not use subfields:
   $6, $8

Do not use subfield (implementation decision not yet made):
   $w
677 Definition

NACO:

Do not use this field. Implementation decision not yet made.

SACO:

Do not use this field.

LC:

NAMES/SERIES:

Do not use this field. Implementation decision not yet made.

SUBJECTS:

Do not use this field.
747 Established Heading Linking Entry – Named Event

NACO:

Do not use this field. Implementation decision not yet made.

SACO:

Do not use this field.

LC:

NAMES/SERIES:

Do not use this field. Implementation decision not yet made.

SUBJECTS:

Do not use this field.
781  Subdivision Heading Linking Entry – Geographic Subdivision

NACO:

NACO participants may provide a 781 field in a name authority record for a geographic heading (151) that may also be used as a geographic subdivision. Always use second indicator value 0.

Do not use subfields:
$v, $w, $x, $y, $0, $2, $5, $6, $8

Do not use subfields (implementation decision not yet made):
$i, $4

SACO:

SACO participants should provide a 781 field in a subject authority record for a geographic heading (151) that may also be used as a geographic subdivision. Always use second indicator value 0.

Do not use subfields:
$i, $v, $w, $x, $y, $0, $2, $4, $5, $6, $8

LC:

NAMES/SERIES:

LC catalogers may provide a 781 field in a name authority record for a geographic heading (151) that may also be used as a geographic subdivision. Always use second indicator value 0.

Do not use subfields:
$v, $w, $x, $y, $0, $2, $5, $6, $8

Do not use subfields (implementation decision not yet made):
$i, $4

SUBJECTS:

LC catalogers should provide a 781 field in a subject authority record for a geographic heading (151) that may also be used as a geographic subdivision. Always use second indicator value 0.

Do not use subfields:
$i, $v, $w, $x, $y, $0, $2, $4, $5, $6, $8

Local Subfield Code

$9 - Local field-level nonprint flag [SUBJECTS only]

Use local subfield $9 to control the printing of the field in output products.
883  Machine-generated Metadata Provenance

**NACO:**
Do not use this field. Implementation decision not yet made.

**SACO:**
Do not use this field. Implementation decision not yet made.

**LC:**

**NAMES/SERIES:**
Do not use this field. Implementation decision not yet made.

**SUBJECTS:**
Do not use this field. Implementation decision not yet made.
884 Description Conversion Information

NACO:

Do not use this field. Implementation decision not yet made.

SACO:

Do not use this field. Implementation decision not yet made.

LC:

NAMES/SERIES:

Do not use this field. Implementation decision not yet made.

SUBJECTS:

Do not use this field. Implementation decision not yet made.
885 Matching Information

NACO:
Do not use this field. Implementation decision not yet made.

SACO:
Do not use this field. Implementation decision not yet made.

LC:

NAMES/SERIES:
Do not use this field. Implementation decision not yet made.

SUBJECTS:
Do not use this field. Implementation decision not yet made.