

Update Information
2014 Update Number 1

<i>DCM</i>	<i>Title</i>	<i>Action/Change</i>
DCM	Table of Contents	Updated to indicate period of active use of DCM D8 Appendix 4. Replace.
B11	Minimal Level Cataloging (MLC) : Books	Revised to change the routing for resources needing attention from the preservation/special format aspect (called “physical aspects” in B.11.7.14). Previously “physical aspects” materials went as a separate group to CALM via LM 561. Now they are to go to CALM via BCCD except for miniature books. Replace.
C16	The Local Bibliographic Record and Local Data Fields	C.16.16.1 - Updated to incorporate newly defined subfield \$n. Replace.
Z1	Name and Series Authority Records	008/32 – Undifferentiated Personal Name. Updated to advise catalogers that the creation of a new or an addition to an existing undifferentiated name is no longer an option. Replace.
Z1	Name and Series Authority Records	024 – Other Standard Identifier. New.
Z1	Name and Series Authority Records	100 - Heading - Personal Name. Updated to remove instructions on the fixed field coding of fictitious names and the need to add a 667 note. Replace.
Z1	Name and Series Authority Records	382 – Medium of Performance. Updated to provide the best practices for use of the field as agreed to by the Music community. Replace.

Update Information
2014 Update Number 1

<i>DCM</i>	<i>Title</i>	<i>Action/Change</i>
Z1	Name and Series Authority Records	4XX - See From Tracings. Updated to provide additional guidance related to variants. Replace.
Z1	Name and Series Authority Records	5XX - See Also From Tracings. Updated to provide additional guidance related to references. Replace.
Z1	Name and Series Authority Records	500 - See Also From Tracing - Personal Name. Revised to discontinue the practice of changing the 4XX to a 5XX to resolve a conflict between a variant name (400) and an authorized access point (500). Now make an addition to either the 400 or 100 to resolve the conflict. Replace.

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B11.1 PURPOSE AND SCOPE OF DCM B11

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

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

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

Abbreviations used:

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

B11.2 WHAT IS MLC?

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

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

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

B11.3 HOW DOES A RESOURCE BECOME MLC?

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

B11.4 WHAT TYPES OF MLC ARE THERE?

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

B11.5 HOW TO RECOGNIZE AN MLC RECORD

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

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

B11.6 PRINCIPLES GOVERNING MLC

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

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

B11.7 GUIDELINES RELATED TO SCOPE

B11.7.1 General

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

B11.7.2 Atlases

Refer atlases to the Geography and Map Division.

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

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

B11.7.14 Physical Aspects

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

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

If in doubt about a particular condition, consult Chief, BCCD (Jeanne Drewes, 7-5330).

B11.7.14.1

Books with accompanying material

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

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

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

B11.7.14.2

Brittle books

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

B11.7.14.3

Loose-leaf publications

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

B11.7.14.4 Loose material within a resource

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

B11.7.14.5 Loose pages/Thin material

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

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

B11.7.14.6 Miniature books (10 cm. or less)

Miniature books are in scope for MLC. They receive an item barcode and an MLC shelf number in the same manner as other books. Place in the “Miniature books for CALM” tray on the “Toy and Moveable Books” shelf in the Literature Section, USPRILL.

B11.7.14.7 Special format material

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

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

Attachments -

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

Non-traditional book structure -

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

Insecure/unattached materials -

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

B11.7.14.8

Spiral bound material

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

B11.7.15

Rare Material

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

B11.7.16

Reference Assignment

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

B11.7.17

Serials

Resources that are serials are out of scope for processing as MLC under the procedures of DCM B11. Note, however, that there is MLC processing for serials (excluding monographic series) documented in section B6.2.3 of the *CONSER Editing Guide* and online documentation for LC staff at:

http://www.loc.gov/staff/idt/ABAW-P/SER/SER-CAT/CATTYPE-Minimal_F.pdf

For the treatment of monographic series classified as a collection and the individual titles in such series, see DCM B11.7.12.

B11.7.18 Special Cataloging Conditions

Some resources may require cataloging beyond the scope of MLC. If a resource such as a back-to-back book or a “bound with” or a resource with several loose pieces clearly needs description or access points that exceed the guidelines for MLC, use section policy and cataloger’s judgment to determine whether to handle the resource as MLC but add on the needed additional data elements or whether to transfer the resource to a workstream that more readily accommodates the special cataloging conditions.

B11.7.19 Special Format Material

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

B11.7.20 Spiral Bound Material

See DCM B11.7.14.7.

B11.7.21 Supplements, Etc.

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

B11.7.22 Thin Material

See DCM B11.7.14.5

B11.7.23 Unbound Material

See DCM B11.7.14.5

B11.7.24 Unusual/High Research Value

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

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

B11.8.1 General

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

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

If no authority record was created for an MLC heading, create an authority record when the heading is needed for full, , or copy cataloging. Establish the heading on the authority record in accord with current rules and LC practice, taking into account the statement of responsibility on the MLC record. Change the heading on the MLC record if necessary. Use any data from the MLC heading (e.g., birth date, full name), as appropriate. Cite the MLC record (as provided in DCM Z1: 670)

as the source of any information not found elsewhere.

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

B11.8.3 Serials And Unanalyzable Multipart Monographs

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

B11.8.3.1 Serials

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

B11.8.3.2 Unanalyzable multipart monographs

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

B11.8.4 SEARCHING AND AUTHORITY WORK

B11.8.4.1 Pre-Cataloging Searching

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

B11.8.4.1.1 Duplicates

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

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

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

B11.8.4.1.2 Editions

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

If a record with MLC cataloging is found for another edition of the work, before continuing with MLC cataloging, evaluate whether the resource in hand is needed for the collections, especially if it is an earlier edition than the one already cataloged.

B11.8.4.1.3

PCC adapts

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

B11.8.4.1.4

Multipart monographs

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

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

B11.8.4.1.5

Serials

Proceed as follows:

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

B11.8.4.2

Searching For Access Points

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

B11.8.4.2.1

Name headings

Take the action specified in the following table:

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

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

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

B11.8.4.2.2

Name heading conflicts

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

B11.8.4.2.3

Uniform titles

Provide uniform titles as needed in the same manner as for full cataloging. If a 240 uniform title is used, for authority work for the name used as the 1XX as well as for the 240 itself, follow the guidelines in DCM B11.8.4.1

B11.9 SETTING PREFERENCES BEFORE CATALOGING BEGINS

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

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

B11.9.1 MLC Shelf Number

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

B11.9.2 Item Record Defaults

Select the “Item Defaults” tab:

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

B11.10 INDIVIDUAL DATA ELEMENTS

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

B11.10.1 Leader

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

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

B11.10.4 906 Field (Local Processing Data)

The following table states the values/codes for local processing data for the MLC workflow. For further information, see DCM C16. If there is no IBC record, the MLC cataloger may input the values for the completed stage in the first instance as long as the record is completed immediately.

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

B11.10.5 925 Field (Local Selection Decision)

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

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

B11.10.6 955 Field (Local Tracking Information)

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

the history of record creation and forwarding.

955 field	
Subfield	Data
IBC processing/other forwarding or tracking information (\$a used prior to 2009; \$b used after 2008)	1) a four-character alpha/numeric staff or section code; 2) the date in the form yyyy-mm-dd
MLC tracking information (\$h)	1) a four-character alpha/numeric staff code; 2) the date in the form yyyy-mm-dd ; 3) “to shelf” or “to CALM”(without quotes) following date; “physical aspects” material (DCM B11.7.14) first goes to BCCD

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

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

B11.10.8 020 Field (International Standard Book Number)

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

B11.10.9 034 Field (Coded Mathematical Data)

Used for atlases only.

B11.10.10 037 Field (Source of Acquisition)

Used by some overseas offices.

B11.10.11 040 Field (Cataloging Source)

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

B11.10.12 042 Field (Authentication Code)

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

B11.10.13 050 Field (MLC Shelf Number)

The 050 field for MLC records contains an MLC shelf number. Pre-printed MLC shelf numbers are available in each division office. For high-volume MLC projects done through

working in the LC ILS for resources whose custody is CALM (General Collections), use the MLC Shelf Number Generator to populate field 050 in the BR. The MLC shelf number has three components, each separated by a space:

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

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

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

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

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

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

The second component of the MLC shelf number consists of the year of cataloging followed by a slash and a sequential number within each size. Before the year 2000, a two-digit year number was used (e.g., MLCS 99/0234). Beginning in 2000, the year number contained four digits (e.g., MLCM 2000/00789).

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

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

to assign this classification letter.

Examples of MLC numbers:

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

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

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

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

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

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

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

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

Follow AACR2 and the LCRIs in providing uniform titles. For authority work related to a uniform title and the heading under which it appears, follow the guidelines in DCM B.11.8.4.2.1.

- B11.10.17** **245 Field (Title And Statement Of Responsibility Area)**
Ensure that all elements of the title and statement of responsibility area are accurately transcribed in accord with AACR2 and the LCRIs. If a 1XX field is present, ensure that the first indicator position of field 245 is set to "1" (Added entry).
- B11.10.18** **246 Field (Varying Form Of Title)**
Be selective in supplying access to varying forms of the title proper and to other titles appearing on the resource. Supply 246s only when failure to provide them would seriously impair access to the resource.
- B11.10.19** **250 Field (Edition Area)**
If an edition statement appears in the resource, transcribe it according to AACR2 and the LCRIs.
- B11.10.20** **255 Field (Mathematical Data Area)**
Used for atlases only.
- B11.10.21** **260 Field (Publication, Distribution, Etc. Area)**
Transcribe all elements of the publication, distribution, etc. area according to AACR2 and the LCRIs.
- B11.10.22** **300 Field (Physical Description Area)**
Transcribe all elements of the physical description area according to AACR2 and the LCRIs.
- B11.10.23** **490 Field (Series Area)**
Transcribe the series title, any ISSN, and any series numbering as found and in accord with AACR2 and the LCRIs. Tag the series statement 490 0# (Series Not Traced).
- B11.10.24** **5XX Fields (Note Area)**
Normally, do not make notes except those that support the identification or completeness of a resource. Do not make a note whose sole purpose is to justify an added entry. By exception, notes are made by some of LC's overseas offices 1) to provide a summary or 2) to provide a language note (LCRI 1.7B2) or to provide both. Otherwise, only make notes if judged necessary for the particular resource being cataloged. Examples of situations that might call for such notes are:
- source of title if not from the title page and not stated in field 246
 - loose materials inserted in the resource that are not described in the 300 field
 - location and date of an exhibition that are not included in the 245 field
 - the resource is a reproduction of an original (533 Reproduction note)
 - resource has a combination of language and script that may not be obvious from a romanized title, e.g., "Turkish in Arabic script";
 - a local note indicating a loose leaf resource is not updated in LC.

In situations where resources that already have completed full or level descriptive cataloging are being converted to MLC, do not delete any notes that may already be present.

B11.10.25 **6XX Fields (Controlled Subject Headings)**
For purposes of this Interim Draft, do not assign controlled subject headings.

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

B11.10.26.1 *General*

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

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

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

B11.10.26.2 *Field format*

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

B11.10.26.3 *Selecting words*

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

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

245 12 \$a A glasznoszt
653 0# \$a Glasnost

If it is not possible to determine useful words quickly, omit the 653.

DON'T AGONIZE. There is no single “right” way to assign these words to the record. The choice of them should not become a matter for agonizing or dispute.

B11.10.26.4

Personal and corporate names

Use names of persons, bodies, or places in field 653 on the same basis as the words selected according to the preceding instruction. Do no searching for names. Do not attempt to be consistent with other bibliographic records in the database. Do not construct headings in catalog-entry form. Give personal names in direct order; do not invert; do not use dates. For a corporate name that is not in English, make a quick judgment whether or not an English translation of the name provides useful access; if not, omit it from the 653. If given in the 653, give the name in direct order, in English.

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

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

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

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

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

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

B11.11 **END-STAGE PROCESSING**

B11.11.1 **General**

Ensure that the following values are present:

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

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

B11.11.2 Holdings Record

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

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

852

- Ind 1 = 8 (Other) the value set in this indicator position when an HR is created is governed by the “Call Number Hierarchies:” under the “General” tab of “Options” --> “Preferences”; the setting “LCnonclass-050a” generates value “8” (Other) in Indicator position 1; this is the setting to be used for an MLC shelf number (value “0” is used for an LC call number); the value in this indicator position can be changed on a record-by-record basis in the same manner as for any other indicator position

- \$b c-GenColl the value set in this subfield when an HR is created is governed by the “Holdings/Item default location:” under the “General” tab of “Options” -> “Preferences”; the setting “c-General Collections/CMD” generates the location code “c-GenColl” in subfield \$b of field 852; the code in subfield \$b can be changed in the HR; one means of selecting another code is to place the cursor at the beginning of the existing code in subfield \$b and use “Ctrl l [el]” to invoke the menu of location codes; use the cursor to highlight the desired code and click on “OK”. For **miniature books** (cf. DCM B11.7.11) and **special format material** (cf. DCM B11.7.14.6), use “c-SpecMat”. Use other codes as needed for other custodial divisions.

- \$h [MLC shelf no.] for a newly created HR, the system populates subfield \$h with data from field 050 in the BR; if the HR has partially been created, the data from

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

- \$m Apply sublocations in the same manner as for other cataloging. For **miniature books** (cf. DCM B11.7.11) and **special format material** (cf. DCM B11.7.14.6), use “Spec Format”.
- \$t Copy 1 If multiple copies, the copy number reflects the number of each copy.

B11.11.3 Item Record

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

<http://www.loc.gov/staff/aba/psd/irdd.html>

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

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

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

Perm Loc:	system supplied from HR 852 \$b; a change in location in 852 \$b is NOT reflected in the IR "Perm Loc."; the location in "Perm Loc." must be changed manually
Temp Type:	do not supply any data
Item Type: Book	derived from the "Item Defaults" tab of "Options --> Preferences"; may need to be changed in the IR if the resource being cataloged reflects a different type from the default
Media Type:	do not supply any data
Enum:	do not supply any data (used for unanalyzable multipart monographs, which are not in scope for MLC)
Chron:	do not supply any data
Year:	do not supply any data
Caption:	do not supply any data
Free text:	do not supply any data
Spine:	do not supply any data
Copy: 1	derived from the "Item Defaults" tab of "Options --> Preferences"; note, however, that a copy number set in preferences only changes the copy number in a newly created IR, not in an existing one, which generally will be set to 0 for in-process material; when MLC cataloging is completed, should contain the number appropriate to the copy
Pieces: 1	derived from the "Item Defaults" tab of "Options --> Preferences"; when MLC cataloging is completed, should contain "1" in most cases
Item Status:	the phrase "Not Charged" will always be generated by the system; any other status is derived from the "Status:" in the "Item Defaults" tab of "Options --> Preferences"; at the "Status:" window, select "In Process" or set "In Process" on a record-by-record basis

B11.11.4 **Completing Processing**

B11.11.4.1

Labels

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

LCCN: If the LCCN is not printed or written in the book, attach the label with

the number on it to the lower part of the verso of the title page (or as close to this position as possible without obscuring information). If no label is available, write in the number.

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

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

B11.11.4.2

Slips

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

“Condition Alert for BCCD (LM G17/18)” (824 (2013/05)):

follow the guidelines in DCM B11.7.14 and insert securely and conspicuously in a resource to call attention to BCCD staff brittle books, loose-leaf publications, loose material within a resource, and special format material exclusive of miniature books.

“Special Attention” (1669 (2002/06)):

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

B11.11.4.3

Writing data in resource

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

B11.11.5

Disposition Of Resource After Processing Is Completed

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

Except for “physical aspects” material (DCM B11.7.14, send resources with MLC numbers in the 050 field that are intended for the general collections directly to the CALM transfer station on the fifth floor of the Madison building according to division practice. Send “physical aspects”

material to BCCD. For resources that receive other custody, arrange directly with the custodial division a mutually agreed upon means of sending MLC resources to the custodial division. For resources that are part of high-volume projects, follow the special guidelines established for the disposition of resources in the project.

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

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C16.1 GENERAL

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

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

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

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

- # = blank space
- \$ = subfield delimiter

C16.2 ORDER OF VARIABLE DATA FIELDS

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

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

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

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

C16.3 LOCAL VARIABLE DATA FIELDS—GENERAL INFORMATION

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

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

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

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

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

C16.4.1 Content Designation Summary

Has same indicators and subfields as MARC 21 field 246.

First Indicator – Note Controller/Title Added Entry

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

Second Indicator – Type of Title

: No information provided [Only value used]

C16.4.2 General Description and Instructions

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

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

C16.5 590: LOCAL NOTE (R)

C16.5.1 Content Designation Summary

First and Second Indicators

: Undefined

Subfields

a : Text of note (NR)

C16.5.2 General Description and Instructions

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

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

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

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

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

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

C16.6.1 Content Designation Summary

First and Second Indicators

: Undefined

Subfields

a : Text of note (NR)

C16.6.2 General Description and Instructions

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

C16.7 592: LOCAL ACQUISITION NOTE (R)

C16.7.1 Content Designation Summary

First and Second Indicators

: Undefined

Subfields

a : Text of note (NR)

C16.7.2 General Description and Instructions

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

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

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

C16.8.1 Content Designation Summary

Has same indicators and subfields as MARC 21 field 856.

C16.8.2 General Description and Instructions

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

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

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

C16.9.1 Content Designation Summary

First and Second Indicators

: Undefined

Subfields

a : Visible file entry (NR)

i : Control number (R)

C16.9.2 General Description and Instructions

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

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

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

C16.10.1 General

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

Subfields

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

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

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

C16.10.2 Subfields

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

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

C16.10.2.2

\$b Local record completion state (NR)

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

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

C16.10.2.3

\$c Local processing workflow (NR)

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

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

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

C16.10.2.4

\$d Priority (NR)

Priority assigned to the processing of the resource.

1-4	Priorities 1-4
5	Priority 5 (No longer assigned)
u	Undetermined

C16.10.2.5

\$e CIP/PCN flag (NR)

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

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

C16.10.2.6

\$f Century flag (NR)

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

18	1800-1899
19	1900-1999
20	2000-2099

C16.10.2.7

\$g Stakeholder code (NR)

C16.10.2.7.1

General

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

C16.10.2.7.2

Maintenance prefix

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

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

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

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

C16.10.2.7.3

Complete Stakeholder Code

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

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

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

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

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

C16.11.1 Content Designation Summary

First and Second Indicators

: Undefined

Subfields

a : Selection decision (R)

C16.11.2 General Description and Instructions

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

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

Examples of former practice (Do not imitate):

920 ## \$a Keep 1

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

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

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

C16.12.1 Content Designation Summary

First and Second Indicators

: Undefined

Subfields

a : Book source acquisition information (R)

C16.12.2 General Description and Instructions

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

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

Examples of past practice (Do not copy):

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

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

922 ## \$a lccopycat

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

C16.13.1 Content Designation Summary

First and Second Indicators

: Undefined

Subfields

a : Additional information (R)

d : Formatted date (NR)

n : Shipment/invoice number (NR)

s : Supplier (NR)

C16.13.2 General Description and Instructions

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

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

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

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

C16.14.1 General

C16.14.1.1 Content designation summary

First Indicator–Current Decision

- 0 : Current decision
- 1 : Former decision

Second Indicator

- # : Undefined

Subfields

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

C16.14.1.2 General description and instructions

Information related to selection of the resource for LC use.

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

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

C16.14.2 Subfields

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

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

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

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

“Sel Off”	selection/recommending officer made or changed decision but initials cannot be recorded for some reason	5 0# \$a acquire \$b 1 shelf copy \$x Sel Off 2003-08-21 5 0# \$a do not acquire \$d NLM \$x Sel Off
------------------	---	---

C16.14.2.7

\$y Office copy request (R)

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

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

On request, PSD can input 925 \$y in LC ILS for those who cannot do so themselves. Then the next copy is sent to PSD, where staff process it and delete 925 \$y.

C16.14.2.8

\$z Reference assignment request (R)

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

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

On request, PSD can input 925 \$z in LC ILS for those who cannot do so themselves. Then the next copy is sent to PSD, where staff process it and delete 925 \$z. (However, reference staff send an extra copy selected from discards to PSD with a request for processing, without using 925 \$z.)

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

C16.15.1 Content Designation Summary

First and Second Indicators

: Undefined

Subfields

a : Cataloger's note (NR)

C16.15.2 General Description and Instructions

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

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

C16.16.1 General

C16.16.1.1 *Content designation summary*

First and second indicators

: Undefined

Subfields

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

C16.16.1.2

General description and instructions

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

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

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

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

C16.16.1.3

Field 955 charge statements

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

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

Following those, when appropriate, also input:

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

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

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

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

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

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

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

C16.16.2

Tracking Locations of In-Process materials

Location information in a 955 charge represents either:

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

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

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

... \$d jj10 2005-02-07 to shelflisting ...
(After subject cataloging, someone **optionally** tracked submitting item for shelflisting in same section)

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

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

Example

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

C16.16.3 Tracking Added Copies

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

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

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

C16.16.4 Tracking added volumes

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

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

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

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

C16.16.5 Identifying Functional Aspects of Cataloging

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

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

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

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

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

Examples

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

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

C16.16.6 Subfields

C16.16.6.1 \$a Tracking information (R)

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

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

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

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

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

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

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

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

955 ## ... \$c 1f06 2001-09-08 \$d 1f07 2001-10-05 to 1b00 \$d
1b04 2001-11-30 ...
(First subfield \$d tracks completion of subject
cataloging; second one tracks CYA subject cataloging)

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

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

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

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

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

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

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

C16.16.6.9

\$i Whole item cataloging (R)

Tracking for combination of descriptive and subject cataloging, along with shelflisting or end-stage processing, done by same person at same time. Also used for whole item copy cataloging.

- 955 ## ... \$i v119 2002-01-31 ...
(Subfield \$i tracks completion of descriptive and subject cataloging done together by same person)
- 955 ## ... \$i xz15 2008-11-02 to USPL/CL \$d yq09 2008-11-15 ...
(Subfield \$i tracks completion of descriptive and subject cataloging done together by same person; separate subfield \$d tracks Children and Young Adult subject cataloging by another person)

C16.16.6.10

\$j-\$n [Used only for serials]

Used only for serials. See 955 section of ABA Serials: LC Local Fields Used in Serial Bibliographic Control (www.loc.gov/staff/idt/ABAW-P/SER/SER-CAT/CATGEN-LocalFields.pdf).

C16.16.6.11

\$t Added copy (R)

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

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

C16.16.6.12

\$w Dewey Decimal Classification (R)

Tracking for assignment and inputting of a Dewey Decimal Classification (DDC) number.

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

C16.17.1 Content Designation Summary

First and Second Indicators

: Undefined

Subfields

a : Publisher contact name/phone (R)

b : Miscellaneous note (R)

c : Congressional loan legend (R)

C16.17.2 General Description and Instructions

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

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

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

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

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

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

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

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

C16.18.1 General

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

Subfields

a : Comparison file (NR)

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

b : Note (NR)

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

C16.18.1.2 General description and instructions

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

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

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

C16.19 985: LOCAL RECORD HISTORY (R)

C16.19.1 General

C16.19.1.1 Content designation summary

First and Second Indicators

: Undefined

Subfields

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

C16.19.1.2 General description and instructions

Information about record source, loading, and maintenance.

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

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

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

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

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

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

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

```

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

C16.20 987: LOCAL CONVERSION HISTORY (R)

C16.20.1 General

C16.20.1.1 Content designation summary

First and Second Indicators

: Undefined

Subfields

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

C16.20.1.2 General description and instructions

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

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

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

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

C16.20.2 Subfields

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

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

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

C16.20.3.4\$d

Status code (NR)

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

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

C16.20.3.5

\$e Version of conversion program used (NR)

Identification of version of conversion program applied.

C16.20.3.6

\$f Note (NR)

Free text information about status of data conversion in record.

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

C16.21.1 Content Designation Summary

First and Second Indicators

: Undefined

Subfields

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

C16.21.2 General Description and Instructions

Local location information used to generate LC ILS holdings records.

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

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

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

C16.22.1 Content Designation Summary

First and Second Indicators

: Undefined

Subfields

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

C16.22.2 General Description and Instructions

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

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

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

C16.23.1 Leader and 008

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

C16.23.2 006 Field in LC Integrating Resource Records

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

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

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

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 one of the following RDA attributes to create a unique authorized access point for the person being established (See RDA 9.19):

- date of birth (9.3.2)
- date of death (9.3.3)
- fuller form of name (9.5)
- period of activity (9.3.4)
- profession or occupation (9.16)
- title of the person, including terms of rank, honor, or office (9.4)
- other designation associated with the person (9.6)

Maintenance of existing undifferentiated records:

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

- Always create a new name authority record for that person, with distinguishing information
- Transfer information pertaining to that person from the undifferentiated name record and edit as necessary.
- 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)
- 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 record

LC catalogers:

- Create a new differentiated NAR for the remaining single identity ; the heading itself may be identical to the heading in the undifferentiated NAR
- Delete the undifferentiated NAR. Add the LCCN (010) of the deleted NAR in subfield \$z of the newly created NAR(s).

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.

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" or "b" if a new SAR is entered under a personal name heading. Catalogers may change this field if the value is incorrect when updating the SAR for another reason.

024 Other Standard Identifier

General

LC/PCC catalogers are encouraged to add standard identifiers in field 024 if these are readily available.

When adding the 024 set indicator 1 to 7 and add a subfield \$2 with the appropriate *Standard Identifier Source Code* for the identifier.

Input the number in the structure as determined by the agency formulating it.

Example:

```
024 7# $a 8462832856536435 $2 isni  
[number may display as: 8462 8328 5653 6435]
```

Maintenance:

LC/PCC catalogers are not required to maintain identifiers coded in the 024 field of NACO authority records. When an 024 identifier (e.g., ISNI, ORCID) is present in a personal name record that is being reported for deletion (for example, in the case of a duplicate), LC/PCC catalogers should transfer the identifier to the record that is to be retained. When two personal name authority records are being collapsed into one, and each record has its own identifier, LC/PCC catalogers should include both identifiers (in separate 024 fields) in the updated record.

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100 Heading - Personal NameFamily names

When following RDA Chapter 10, LC/NACO catalogers will use first indicator 3 when creating NARs and SARs for family names. 008/11 should be set to value “n” and 008/15 should be set to “b”.

Per LCPS 10.0, when creating family names add a 667 noting subject usage:

667##\$a SUBJECT USAGE: This heading is not valid for use as a subject; use a family name heading from LCSH.

Subfield \$g – Miscellaneous Information

When giving the name of a prominent member of a family in subfield \$g, give the form for the person found in the NAR for the person. Do not include any internal subfield coding in subfield \$g.

Order of subfields in 100 field

There is no prescribed MARC order for the subfields beyond subfield \$a in the X00 fields. RDA 9.2.2.9.5 provides guidance for the placement of words indicating relationship (e.g., Jr.) and MARC defines subfield \$q as “fuller form of name.” When providing multiple additions to the name generally follow these guidelines:

- 1) Subfield \$d (date) should always be the last element in a 100 string unless the term (Spirit) is being added to the name. Add \$c (Spirit) as the last element in a 100 string.

Example:

```
100 0# $a Elizabeth $b I, $c Queen of England, $d
1533-1603 $c (Spirit)
```

- 2) Generally add subfield \$c before subfield \$q when also adding words, numerals, etc. indicating relationship. (See RDA 9.2.2.9.5 for treatment of Portuguese names)

Example:

```
100 1# $a McCauley, Robert H., $c Jr. $q (Robert
Henry), $d 1913-1979
```

BUT

```
100 1# $a M. Alicia $q (Mary Alicia), $c Sister,
S.C.N.
```

- 3) For exceptional situations, such as when subfield \$a contains only a surname or only a forename or the name includes a prefix, etc. consult LC-PCC PS 1.7.1, section *Access points for persons in name authority and bibliographic records*, paragraph 3c.

SARs

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

382 Medium of Performance**General**

Best practice: Record the medium of performance using RDA terminology when available. If a required term is not listed in RDA, use a term from a controlled vocabulary, such as LCSH. Record the medium of performance by applying the instructions at RDA 6.15.1.3–6.15.1.13 with the following additional guidelines:

1a) Record the name of the instrument or voice in the singular, followed by the numeral in \$n, even if the number is implicit in the preferred title (see 6.15.1.3). Numbers in subfield \$n should not be enclosed in parentheses.

1b) When recording doubling or alternative instruments, use one \$n with each instance of \$a, \$d, and \$p terms. Do this even if the number is implicit in the preferred title (see RDA 6.15.1.3) For example, in a work for solo flute, doubling piccolo, alto flute, and bass flute: \$a flute \$n 1 \$d piccolo \$n 1 \$d alto flute \$n 1 \$d bass flute \$n 1 \$s 1

1c) If the medium includes an uncertain number of performers, do not include \$n. If the medium term is that of a standard combination of instruments or group, e.g., orchestra, jazz ensemble, etc., include in subsequent subfield “n” the number of ensembles. For example, \$a orchestra \$n1.

1d) Employ term “percussion” unless cataloger judgment dictates the need for greater detail.

2) If the work is for a standard combination of instruments (see 6.15.1.5) or includes as an accompanying ensemble a standard combination of instruments, use two 382 fields:

- a) The first will record the name of each instrument (as instructed above)
- b) The second will record the name of the standard combination from the left-hand column in RDA Table 6.2.

3) If a song, Lied, etc. is not in a "popular" idiom, record the term for the solo voice and the names of all accompanying instrument(s) or the large ensemble name, even if the accompanying instrument is implicit in the preferred title. Do not follow with the word accompaniment (see 6.15.1.12). If the solo voice is accompanied by multiple solo instruments or a large ensemble, record the voice in \$b and the accompaniment in \$a; otherwise, record both in \$a.

4) Do not omit the terms alto, tenor, bass, etc. (exception to 6.15.1.6.2 b).

5) Alternative instruments may be recorded in one of two ways:

- a) Using a single 382 field: record alternative instruments (see 6.15.1.6.2) in \$p following the appropriate \$a, \$b, or \$d, according to cataloger’s judgment. Include a \$n following each \$p
- b) Using two 382 fields: Record initial 382 field for initial medium of performance. For alternate mediums, use a secondary 382 field, being sure to record alternative instruments in \$p.

6) Record doubling instrument(s) in \$d following the appropriate \$a, according to cataloger’s judgment.

7) Subfield \$s will not be used when the medium includes terms for indefinitely populated ensembles, e.g. orchestra, jazz ensemble, rock band, etc.

8) Record the complete medium of performance for a single work in a single 382 field.

9) Optionally, supply medium of performance in expression authority records.

If considered important for identification and access, provide an additional 382 that does not apply these guidelines.

4XX See From Tracings*General*

NARs: Consult RDA chapters 9-16 for guidelines for possible variants for persons, families, and corporate bodies.

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

Not all 4XX references require justification; see the section "Justifying references" in the 670 yellow pages for those categories.

See the section "NACO normalization" in the Introduction.

Best practice guidelines for RDA:

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

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

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

- Establish additional NARs for the authorized access points needed to support elements used in 4XX variant access points (e.g. parent body associated with subordinate body being established).
- Provide a variant form 4XX access point for a former 1XX authorized access point in all cases, unless the former authorized access point was egregiously incorrect.
- 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.

Example 1

```
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
```

Example 2

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

Example 3

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/4=e).

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.

SARs

NOTE: Series authority record policies here were formulated in the context of AACR2 cataloging and will be changed appropriately when PCC makes new SAR policies in the context of RDA.

Give references on all SARs (even those for series-like phrases). When the classification decision is "as a collection," some 4XX variant access points may duplicate authorized access points in the bibliographic record for the collected set.

If the volumes of a multipart item 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 item.

5XX See Also From TracingsGeneral

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

Pending final resolution of issues raised by the PCC Task Group on Relationship Designators, LC catalogers may continue to use subfield \$w values defined for earlier/later non conference corporate names and pseudonyms in lieu of subfield \$i relationship designators.

Subfield \$w (control subfield)

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

\$w a = to indicate a reference from an earlier heading

\$w b = to indicate a reference from a later heading

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

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

NARs

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

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

SARs

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500 See Also From Tracing - Personal NameGeneral

LC/PCC catalogers should use subfield \$i and code “r” in subfield \$w when recording pseudonymous relationships for personal names when only two authority records are involved. When recording multiple pseudonyms, continue to follow the guidance provided in the *FAQ – LC/PCC RDA Practice for Creating NARs for Persons Who Use Pseudonyms* available at: <http://www.loc.gov/catdir/cps/pseud.pdf>

LC/NACO catalogers may use subfield \$i with subfield \$w coded "r" when providing relationship links between a personal name and the name of another person, family, or corporate body. When using a term from Appendix K in subfield \$i, use a capital letter for the first letter of the term and follow the term with a colon.

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

SARs

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