

Update Information
2009 Update Number 2-3

<i>DCM</i>	<i>Title</i>	<i>Action/Change</i>
Z1	Name and Series Authority Records	Contents page revised to reflect a deletion and some additions. Introduction revised to reflect changes in CONSER and PCC series practices and to add information on revised normalization tables. MARC 21 serials, 008/32-33, 008/39, 010, 016, 022, 050, X00, 1XX, 4XX, 5XX, 64X, 642-646, 667, 670, and 7XX sections revised to reflect changes in CONSER and PCC series practices. 034 - Coded Cartographic Mathematical Data (added)
LC Supplement to the MARC 21 Format for Authority Data		024 - Other Standard Identifier: Revised to indicate that the field can now be used, except for subfields, \$6, \$8. 031 - Musical Incipits Information (added) 034 - Coded Cartographic Mathematical Data (added) 111, 411, 511, 711 : Revised to indicate a name change and that the \$j subfield is not used.

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INTRODUCTION

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

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

In constructing headings/references and recording information, NACO participants and LC catalogers not working in the LC Database may make use of all records on the file against which the searching and cataloging is being done: OCLC, British Library, etc. NACO participants may choose to use only LC records found on the file being searched. For LC catalogers working in the LC Database, the file is the set of records comprising the “LC database” (see 670 section). In this document, “database” refers to whatever file is being used for searching and cataloging. At times, LC staff may need to consult the manual Official Name Catalog (ONC).

Use this document (DCM Z1) in connection with AACR 2, *Library of Congress Rule Interpretations* (LCRI), and other sections of the *Descriptive Cataloging Manual* (DCM). It supplements the MARC 21 Format for Authority Data and generally does not repeat information found in the format. The examples are given in MARC 21 style; an exception is the use of a blank space before and after the delimiter/subfield code combination. The symbol “#” represents a blank in an indicator position; the symbol “\$” is used for the delimiter.

This Introduction section covers the following topics:

- Name authority records (NARs)
- Series authority records (SARs)
- Additions and changes to authority records
- NACO normalization
- Should an SAR be made?
- How many SARs should be made?
- Series statement appears only on ECIP data view at galley stage
- Priorities for series/multipart items
- Searching series

Name authority records (NARs)

A name authority record has the following basic contents: 1) the authorized form of name

chosen for use in headings (1XX), 2) the sources for this form and for variant forms (670), and 3) the cross references leading to the heading from variant forms or from related headings (4XX/5XX). Additional information may be recorded in fixed fields (008) and in note areas of the authority record (667/675). Control data and content designation are also included for proper identification and manipulation of the data.

NARs are not made for personal names when the only clue to the person's identity is a nonalphabetic or nonnumeric device, or for entities that may be used only as subjects, e.g., topical subject headings, fictional characters, animals, geographic features.

Generally, make a name authority record for any personal or corporate (including geographic) name heading that may be used as an access point, whether it is actually first used as a primary or a secondary entry (including as a subject). Under certain LC workflow procedures, e.g., Minimal Level Cataloging, authority records may not be created for all access points assigned. NACO libraries are not obligated to contribute all authorities generated by their cataloging. However, any NAR contributed to the LC/NAF must have all necessary elements of the heading established in the following cases:

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

All bodies referred through in cross references; e.g., if a heading is entered independently and a reference is given through a higher body or bodies, the higher body/bodies need to be represented in the authority file as well. Thus, catalogers may need to create other NARs in addition to the one needed for use in the catalog.

All names and corporate bodies used in see also references (5XXs); e.g., when establishing a name for an author who uses a pseudonym, or a corporate heading representing an earlier and later change of name, the library will need to connect the headings by means of see-also references. In order to avoid blind references, the cataloger will need to make sure that the corresponding heading is established.

Name headings used in some qualifiers, such as geographic names used in locations on conference headings, must also be established before they can be used. Specific guidance is provided within the LCRI as required.

Certain elements under which uniform titles are entered; e.g., when an NAR for the collective uniform title "Works" is created under an author who is not established in the LC/NAF, an NAR for the author must be contributed as well.

Additional guidelines for the creation of uniform titles are listed below:

LC practice: For titles or name/titles, an authority record is required only when one or more of the conditions listed below applies. Apply these criteria to each element of the full heading (main title, language, part, etc.) and make a separate authority record for each element that meets the criteria. Note: Currently, authority records are not automatically created for each element of a uniform title heading (e.g., when creating a name/title NAR for Queneau, Raymond, 1903-1978. \$t Fleurs bleues. \$l English it is not necessary to create an NAR for: Queneau, Raymond, 1903-1978. \$t Fleurs bleues)

- (1) a reference must be traced on **that** authority record; or,
- (2) special research done to establish that heading must be recorded (Note: In this context the LC manual Official Name Catalog is treated as a reference source; so searches in that catalog should be recorded in the authority record); or,
- (3) the heading is needed for a related work added entry or subject entry and the work is not represented by a bibliographic record in the LC database, or, for serials, by a CONSER record in OCLC or RLIN. See specific guidelines in LCRI 21.30G for a related work added entry; apply the same guidelines when a heading is needed for a subject entry; or,
- (4) special information needs to be recorded, e.g., citation title for a law.

LC music cataloging practice: As of August 16, 1999, authority records are created for ALL title and name/title headings. When a name/title see also reference needs to be made in accordance with LCRI 26.4B4, Conflicts, make an authority record for the name/title referred from if such a record had not been made in accordance with the above guidelines.

PCC practice: NACO participants may contribute name authority records for titles or name/titles (other than series, see below) as needed for cataloging. Also consult LCRI 21.30G for specific guidelines when a heading is needed for a related work added entry; apply the same guidelines when a heading is needed for a subject entry.

Series authority records (SARs)

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

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

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

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

Until 1983, series authority records created at LC, for the most part, reflected solely LC holdings and practices. However, now the authority file is a national authority file that accommodates holdings and practices of other institutions.

Series treatment information reflects institution-specific decisions. Therefore, the fields containing series treatment information require the identification of institution(s) following that practice. Because series treatment decisions in an institution can change, certain series treatment fields provide the means for indicating variations in practice within an institution.

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

Additions and changes to authority records

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

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

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

Change an authority record when errors in headings or cross references are discovered. When the published work for an item cataloged through the CIP program shows a change in the form of name of a person, corporate body, uniform title, or series, change the authority record; add the published source after the CIP source in the 670 field to document the change. Changes in the imprint date, choice of main entry, and changes in title proper do not require changes to authority records created for CIP items.

Code uncoded headings for AACR2 at the first instance of use. Refer authority records for headings that are totally invalid under AACR2 to the Cataloging Policy and Support Office (cpsso@loc.gov).

NACO normalization

When a new authority record (or field) is added to the authority file, each heading is compared against the headings already in the file to determine whether the new headings are unique, i.e., adequately differentiated from existing headings. Prior to comparison, the headings undergo a computer edit designed to eliminate all but the essential characters of a heading-- this process is called *normalization*. All parties involved in the exchange of LC/NAF authority data have agreed to a specific set of rules for normalization, and these rules are posted at:

<http://www.loc.gov/catdir/pcc/naco/normrule-2.html>

The process of normalization removes all combining diacritics and most punctuation, and converts all letters to uppercase and all modified letters to their unmodified equivalents. Subfield delimiters and subfield codes are retained in the normalized form. The normalized form of heading differs from the authorized catalog form of the heading. For example:

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

Only normalized forms of headings and references are compared in the check for uniqueness. Normalized forms that match are considered duplicate headings or a see reference in conflict with an authorized heading.

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

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

Catalog form: Chung-hui
Normalized form: CHUNG HUI

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

Headings. If headings do not differ after character normalization rules have been applied, they are considered to conflict and must be further distinguished. If personal names cannot be distinguished, create an undifferentiated personal name authority record. The heading can represent only one form of the name (it does not matter which), but the 670 fields for each person should make it clear what the catalog entry form should be, and that form, not necessarily the form in the 100 field, should be used in the entry on the bibliographic records. For example:

```
100 1# $a Ku, Chun
400 1# $a Gu, Zhun
400 1# $a Gu, Qun
670   $a [Editor of Hsia jih ti hui i]
670   $a Lo, Y.L. Hsia jih ti hui i, 1977: $b t.p. (Ku
      Chün)
670   $a [Joint author of Chung-kuo cheng fu k'uai chi chih
      tu]
670   $a P'an, H.L. Chung-kuo cheng fu k'uai chi chih tu,
      1941: $b t.p. (Ku Chun)
```

Form of entry on bibliographic records for the first author: Ku, Chün.

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

See References. Do not trace a 4XX reference that normalizes to the same character string as an existing authorized 1XX heading in the national authority file, including the heading in the record to which the reference is made. This policy also applies to the *optional* linking references. If a linking reference and the heading in the same record normalize to the same form, do not trace a 4XX linking reference. Instead, give the old catalog heading in a 667 field preceded by the phrase: Old catalog heading:.

100 0# \$a Napoleon \$b I, \$c Emperor of the French, \$d 1769-1821

667 \$a Old catalog heading: Napoléon I, Emperor of the French, 1769-1821

not 400 0# \$w nnaa \$a Napoléon \$b I, \$c Emperor of the French, \$d 1769-1821

130 #0 \$a Archives of toxicology. \$p Supplement

667 \$a Old catalog heading: Archives of toxicology : Supplement

not 430 #0 \$w nnaa \$a Archives of toxicology : \$p Supplement

but 151 ## \$a Birmingham (Ala.)

451 ## \$w nnaa \$a Birmingham, Ala.

(This linking reference is permitted because the comma in the \$a subfield makes the heading unique.)

110 2# \$a United States Information Agency

410 1# \$a United States. \$b Information Agency

(This reference is permitted because the delimiter and subfield code are retained in the normalized form and makes the heading unique.)

4XX references are allowed to conflict across records, but a 4XX reference should not conflict with another 4XX on the same record.

Apply these guidelines to references on new authority records and to existing authority records when making some other change to the record.

Should an SAR be made?

Series authority records should not be made for the following categories:

- (1) a republication that does not include the original series statement (see “Republications” section in 64X yellow pages);
- (2) generally, a periodical (includes several separate articles by several contributors, frequency of publication more often than annual, and usually has both numeric and chronological designations) even if the issue in hand consists of a single contribution (e.g., a festschrift, proceedings of a conference) or may have a special title giving the overall theme of the issue;
- (3) a hardcover (sometimes even softcover) edition of a selected issue of a periodical.

Several publishers (e.g., Haworth Press, Pergamon Press) publish separate editions, with special titles, of selected issues of their periodicals. These editions are published in addition to the unbound issues received by subscribers. The Library generally acquires the separate edition whether or not it subscribes to the periodical.

Do not consider such a separate edition to be an integral part of the periodical; do not prepare an SAR. Make a separate bibliographic record for it. Add a note explaining its relationship to the periodical, e.g., “Published also as v. 15, no. 2 of the *Journal of children in contemporary society*.” Give a related work added entry for the periodical on the bibliographic record (cf. LCRI 21.30G).

It is not always clear, especially at CIP galley stage, whether the item in hand is an integral part of the periodical or a separate edition. Some publishers make clear statements, e.g., saying the title “has also been published as [title of journal], v. _____, no. _____.” Others make ambiguous or misleading statements, e.g., saying that the edition is “Published as a special issue of the journal _____, v. _____, no. _____ and

supplied to subscribers as part of their normal subscription.” The latter statement seems to indicate that the volume in hand is the only one issued and constitutes an integral part of the periodical. If the information given in the item is ambiguous, check the issue of the periodical or contact the publisher.

How many SARs should be made?

Because the entities represented by series authority records offer limitless possibilities for variation and change, it is sometimes difficult to determine how many authority records should exist.

- (1) How many authority records are made if the title or the series-like phrase changes?

Is the change in the series-like phrase or in the title proper of the monographic series/other serial a major change or a minor change? (Consult AACR2 21.2C, LCRI 21.2C.) If it is a major change, make a new SAR. If it is a minor change, give a 670 citation and a 4XX reference for the different form.

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

- (2) How many authority records are made if the volumes of a monographic series are in different languages? Consult LCRI 1.6, 21.14, and 25.5C.
- (3) How many authority records are made if the same volumes in a series are published separately by publishers in the same language in the United States and in another country (e.g., England)? A separate SAR is made for the series from each publisher; if the titles of the series are the same, add a LCRI 25.5B qualifier to the SAR made later.
- (4) How many authority records are made if the volumes of a monographic series switch from having numbers to lacking numbers and vice versa? Consult LCRI 25.5B.

- (5) How many authority records are made for main series and subseries? Consult LCRI 1.6H and LCRI 1.6.
- (6) Has there been a change in responsibility (i.e., different person/body, body's name changes, uniform title changes)? Consult 21.3B.
- (7) When reestablishing a series, is the apparent difference between the “earlier” form of title and the current title due to different transcription practices? If so, make only one SAR. *Optionally*, give the “earlier” form as a 4XX/667 old catalog heading (see 4XX yellow pages).

Possibilities include the following:

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

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

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

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

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

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

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

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

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

- (e) Evidence indicates that a word such as Bibliotheca, Collection, Edice was always present as the first word of the title but was not considered to constitute a part of the title proper.
- (8) How many series-like phrase heading SARs are made for the same phrase used by different bodies?

There should be only one SAR. If an SAR already exists, use it as an undifferentiated phrase record; delete from the existing heading any qualifier other than “(Series).”

If the heading on an undifferentiated phrase record consists of a combination of letters that is the same as an acronym/initialism or name of a corporate body, use the qualifier “(Series).” If the heading on an undifferentiated phrase record conflicts with the title of a serial (monographic series or non-analyzable serial), add a qualifier to the heading for the serial on its bibliographic record.

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

Include two 667 fields. The first should be either “Give phrase as a quoted note” or “Do not give phrase as quoted note.” The second 667 should be the following: “Undifferentiated phrase record: Covers all instances when this character string used by any publisher is considered to

be a series-like phrase; if character string is considered to be a series, separate SAR has been made.”

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

(1) Series is new to the Library.

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

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

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

(2) Series is already represented by an SAR.

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

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

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

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

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

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

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

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

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

Searching series

Searching is the most important step in series processing. You must determine whether your series is already represented in the database; if not, you must know what other series are already in the database so your series will “fit” and not conflict with headings on authority and bibliographic records (also see LCRI 25.5B).

Remember that the bibliographic records in the database include series handled under different cataloging codes. Some of the differences affecting series access are summarized below.

Choice of entry:

AACR 1 had a special rule for serials. Generic titles were entered under body. Titles containing name or initialism of body were entered under body.

AACR 2 has no special rule for serials. Most are entered under title per 21.1C1.

Title truncated:

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

Space-hyphen-space:

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

Subseries:

AACR 1: If subseries title was “weak,” the subseries was entered subordinately to the main series; if subseries title was “strong,” the subseries was entered independently.

AACR 2: If the main series and subseries are on the same source in the preliminaries, the subseries is entered subordinately to the main series; if the main series and subseries aren't on the same source in the preliminaries, the subseries is entered independently.

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

MARC 21 Fields Used in Serial Records

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

PCC series practice: The PCC Policy Committee has announced that the PCC series policy remains unchanged.

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

Below are explanations of some of the MARC 21 fields used primarily/only in serial bibliographic records. For an explanation of fields not covered here, see the *CONSER Editing Guide*.)

Fields which may affect series heading or treatment

010 field (LC control number)

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

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

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

numbers were also assigned to LC minimal level cataloging records.)

042 field (Authentication agency code)

Records may have more than one code. If the record is an AACR 2 record and has been authenticated by LC or LAC, the heading is usually accepted as the AACR 2 heading. (See also 1XX yellow pages.)

lc descriptive and subject elements verified by LC; all name and series headings are represented by name/series authority records in the national authority file; not used after April 30, 2009

lccopycat Code lccopycat signifies that the Library of Congress has used another organization's record as the basis for its cataloging. All headings have been checked against the relevant authority file (except for series headings in records used after May 31, 2006 and except subject headings not from *Library of Congress Subject Headings*).

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

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

nsdp ISSN elements (e.g., ISSN, key title) verified by National Serials Data Program (NSDP)

isds/c ISSN elements verified by ISSN Canada

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

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

- pcc descriptive elements verified by LC or a CONSER participant; all name and series headings are represented by name/series authority records in the national authority file or there are no headings appropriate to the record; used as of May 1, 2009
- premarc code used for records converted to machine-readable form as part of LC retrospective conversion (source records used are printed catalog cards taken from the LC general shelflist and other manual LC files, or OCLC records that have been amalgamated with data from LC manual files); descriptive elements have not necessarily been verified or reverified by LC but the authoritativeness of the headings is indicated by the additional presence of code “lcd,” “pcc,” or “msc”
- xlc not currently treated as a serial by LC; this code will appear only in combination with other codes (e.g., “nsdp,” “nlc”) that indicate serial treatment by another authenticating agency.

[N.B.: An “x” preceding any of the agency-specific codes above indicates that the agency does not currently treat the publication as a serial.]

050 field (Library of Congress Class/Call Number)

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

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

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

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

UNCLASSIFIED Same as “UNCLASSED”

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

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

MICROFILM [no.] Microfilm shelf number

MICROFICHE [no.] Microfiche shelf number

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

DISCARD Retention decision

CURRENT ISSUES ONLY Retention decision

Fields showing variant and changed titles

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

246 field (Varying form of title)

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

247 field (Former title or title variations)

Not used for AACR2 (except in records for electronic serials that do not retain their titles); used for title changes on AACR 1 records before June 14, 1971, and for earlier titles in latest entry (ALA) cataloging records.

580 field (Linking entry complexity note)

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

780 field (Preceding entry)

The second indicator in this field gives the exact relationship:

0 =	Continues	
1 =	Continues in part	
2 =	Supersedes	(not used for AACR 2)
3 =	Supersedes in part	(not used for AACR 2)

- 4 = Formed by the union of _____ and _____
- 5 = Absorbed
- 6 = Absorbed in part
- 7 = Separated from

785 field (Succeeding entry)

The second indicator in this field gives the exact relationship:

- 0 = Continued by
- 1 = Continued in part by
- 2 = Superseded by (not used for AACR 2)
- 3 = Superseded in part by (not used for AACR 2)
- 4 = Absorbed by
- 5 = Absorbed in part by
- 6 = Split into _____ and _____
- 7 = Merged with _____ to form _____
- 8 = Changed back to

Other fields of interest

310 field (Current frequency)

If the frequency indicated is more often than annual, the series may actually be a periodical.

321 field (Former frequency)

This field gives information about earlier/past frequencies of publication.

362 field (Dates of publication and volume designation)

This field gives information about first and/or last issues.

515 field (Numbering peculiarities note)

This field contains information on peculiarities/irregularities in numbering or pattern of publication.

550 field (Issuing body note)

This field shows variations in the issuing body.

008/32 Undifferentiated Personal NameGeneral

Assign value "b" if the heading is for a personal name and is to be used for more than one person according to AACR 2 22.20. (See LCRI 22.17-22.20.) Do not change the 1XX field on an undifferentiated name authority record.

From April 1988-mid-June 1990 LC 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 current LC policy is 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.

When information is found to distinguish a person included on an undifferentiated name record, always create a new name authority record for that person. Delete information pertaining to that person from the undifferentiated name record. Add a 667 note on the new record to identify the LCCN of the authority record on which information about that person had been recorded:

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

When an undifferentiated personal name authority record is being revised to delete all but one name, change value "b" to "a." Delete all of the other data applying to the name(s) being deleted from the authority record. Also delete the bracketed caption for the one name remaining.

When an authority record for a single person is being revised to include another person, change the value from "a" to "b."

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. You may change this field if the value is incorrect when you are updating the SAR for another reason.

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008/33 Level of EstablishmentNARs

NACO participants and **provisional** (008/33 value “c”) records:

In addition to the basic condition for coding an authority record provisional, i.e., that the heading cannot be formulated satisfactorily because of inadequate information, **NACO** participants may create provisional records in the following exceptional situations:

(1) If the contributing library does not have the language expertise to establish the heading as a fully established authority record; this would include situations where the library lacked adequate reference sources for research or where the cataloger was not confident of the correct grammatical form of heading.

(2) If the contributing library is unable, due to limited resources or other constraints, to complete related authority work or to determine the appropriate reference structure that is required for fully established headings.

In no case will NACO participants create provisional authority records for headings that conflict (including normalization) with already established headings. The Cooperative Cataloging Team is prepared to provide language expertise, etc., to NACO participants on request, so that such headings and references can be fully established at the time they are contributed.

Questions about provisional authority records contributed by NACO participants should be referred to the Cooperative Cataloging Team, which may refer them to the appropriate subject team.

BIBCO participants and **provisional** records:

BIBCO participants may not create **provisional** records in the two exceptional situations noted above for NACO participants if the NARs being contributed by BIBCO libraries are in support of their BIBCO bibliographic records, i.e., those records with “pcc” in 042.

LC/NACO participants and **Preliminary** (008/33 value “d”) records:

Preliminary authority records (008/33 value “d”) generally are the result of retrospective projects. LC catalogers are expected to upgrade NARs coded preliminary when using the heading on a bibliographic record. PCC catalogers are expected to routinely upgrade NARs coded preliminary when making other modifications to the record. Because of this

maintenance requirement, NACO participants are asked to contact the Cooperative Cataloging Team before embarking on projects that may result in large numbers of NARs coded preliminary being added to the NACO Authority File.

As needed, catalogers may upgrade NARs coded preliminary when working with earlier/later corporate body headings although the heading(s) being upgraded is not used in the local bibliographic database. Occasionally catalogers may need to create a new heading(s) without having an item in hand, e.g., for an earlier or later name heading using information from reference sources, or a heading based on information found in field 245 subfield “c” of bibliographic records when resolving NAR conflicts. Do not code these occasional NARs as “preliminary.”

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.

Generally, series data elements should be viewed on the publication and series authority records should be coded “a” (full). In post-cataloging authority work it is permissible to create SARs without the piece in hand; these records are coded “d” (preliminary). When a publication in the series has been examined and the preliminary authority record reviewed and updated as necessary, upgrade the SAR to full level.

008/39 Cataloging Source

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.

Whatever value is originally input into this field remains; do not change this value when updating a record unless the original value was incorrect.

LC catalogers working in the LC Database: Note that an authority record created using the LC ILS authority generation feature will have 008/39 set to value "d." If the NAR macro is not used, this value must be changed manually to value "blank" (the appropriate value for new records created at LC).

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010 Library of Congress Control Number

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

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

When one authority record is being deleted in favor of another authority record, give the LCCN of the deleted record in subfield \$z of the 010 field in the retained record. This action may result in a mixture of old and new-structure LCCNs. When inputting the LCCN, follow the conventions appropriate to the structure of that LCCN. Do not convert old-structure LCCNs to new-structure LCCNs, or vice versa. (See DCM C3 for additional information.)

Examples:

[blank space = system-supplied space for clarity in display; “#” = space input by cataloger]

010 \$a n##99001234# \$z no#98222222# \$z n##99500045#
[all LCCNs are old-structure]

010 \$a nr2001040302 \$z n#2001000888
[all LCCNs are new-structure]

010 \$a n##99123456# \$z n#2001123456
[LCCN in subfield \$a is old-structure; LCCN in subfield \$z is new-structure]

010 \$a no2001333333 \$z nb#99000123#
[LCCN in subfield \$a is new-structure; LCCN in subfield \$z is old-structure]

Do not “re-use” an LCCN. Once an authority record for a specific entity is created and an LCCN is assigned to the record, do not change the data in that record to represent a DIFFERENT entity. For example, do not change an NAR for “Smith, John” to “Jones, Mary” (unless the person’s name has changed).

When a duplicate authority record is identified, delete the record. Do NOT “fix up” the record by deleting the 040 \$d in the record and keying in all new fixed and variable fields so that the record “looks” new. This action causes problems for LC, CDS, the bibliographic utilities, and other libraries’ systems.

010 Guidelines for Library of Congress Staff:

Generation of Library of Congress Control Numbers (LCCNs) for name authority records

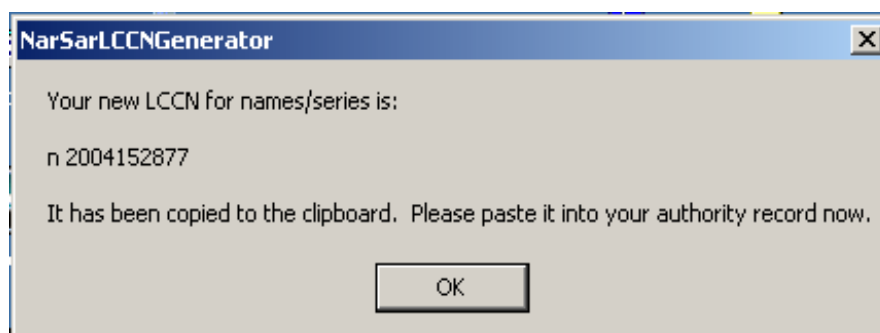
LCCNs for name authority records (“n” numbers) are assigned through software (called “Number Generator” and referred to as the “the application”) developed for this purpose. The application must be installed on a staff member’s PC using the instructions below.

Installing the application: Go to <http://www.loc.gov/staff/catdir/installs/> and click on “Install” next to “LCCN Generator for Name and Series Authorities.” This results in a window labeled “File Download.” Click on “Open followed by clicking the “OK” button. The application is copied to the staff member’s PC and an associated icon is put on the desktop to facilitate use of the application.

Using the application: When a name authority record is needed, before creating it, click on the Generator icon for name and series LCCNs:



The Generator displays a new LCCN for a name authority record:



There is no need to write down the LCCN because it is automatically copied to the clipboard and is ready to paste into an authority record. Initiate creation of the authority record. However this is done, immediately paste the LCCN into field 010 to avoid accidentally erasing the LCCN from the clipboard by using the clipboard for another purpose. Insure that field 010 exists and contains subfield \$a. Paste the LCCN in the 010 \$a subfield; it will be properly structured according to the conventions of MARC 21 for LCCNs in field 010. (Note: pasting must be done

within the Voyager screen; pasting into another application like Notepad may result in the LCCN not being visible.)

CAUTION: It is critical that the “Authority Import/Replace Profile” under the “General” tab of the “Session Defaults and Preferences” window under “Options --> Preferences” is set to “ARLCCNadd” to avoid pasting the same LCCN into another authority record and saving more than one record with the same LCCN.

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016 National Bibliographic Agency Control Number

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

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

This field may appear in authority records emanating from national bibliographic agencies. Do not modify or delete this field.

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022 International Standard Serial Number

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.

Do not do any special searching to determine the ISSN; give the ISSN if it is available from the item in hand, from analytic bibliographic records, or from the collected set bibliographic record for the series.

Do not give an ISSN if it has more or less than eight digits or if a letter other than “X” is the eighth digit. Do not give an ISBN or ISSN listed by the publisher for a multipart item set.

When the title of a publication has changed, confirm that an ISSN appearing on the publication belongs to the new title and not to the earlier title.

An incorrect ISSN can be given in a 667 field (e.g., “ISSN 1122-3344 is not a valid ISSN for this publication”).

Do not use this field in an SAR for a series-like phrase. If an ISSN is on an item containing a phrase judged not to be a series, reconsider the decision that the phrase isn't a series.

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050 Library of Congress Call Number

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.

Punctuation

Use periods after the terms listed below. Use periods for abbreviations in non-English languages according to the usage in those languages.

fol.
no.
pt.
subser.
Suppl.
vol.

Use of "subser."

If a subseries (numbered or unnumbered, established subordinately or independently) is classified with the main series, the call number of the main series plus "subser." is the call number given in the 050 field on the subseries SAR; the abbreviation "subser." is part of subfield \$b.

main series SAR: 050 \$a AS36.I92 \$b A2 \$5 ____
 646 \$a c \$5 ____

subseries SAR: 050 \$a AS36.I92 \$b A2 subser. \$5 ____
 646 \$a m \$5 ____

The abbreviation "subser." appears in the 050 field of the collected set bibliographic record for a numbered subseries. The call number of the main series appears in the 050 field of a monograph analytic bibliographic record for a volume of the subseries; the volume number of the main series given in the 4XX field of the bibliographic record replaces "subser." in the call number in the bibliographic record.

main series collected set record: 050 \$a AS36.I92 \$b A2 \$5 ____
numbered subseries collected set record: 050 \$a AS36.I92 \$b A2 subser. \$5

monograph analytic record: (if subseries numbered)	050 \$a AS36.I92 \$b A2 no. 63 490 1 \$a [main series title] ; \$v no. 63. \$a [subseries title] ; \$v no. 5
monograph analytic record: (if subseries unnumbered)	050 \$a AS36.I92 \$b A2 no. 63 490 1 \$a [main series title] ; \$v no. 63. \$a [subseries title]

"Subser." is also used in 050 fields of nonanalyzable serials in monographic series.

periodical in a collected series:	050 \$a P9 \$b .A24 subser. \$5 ____ 245 \$a Linguistica generalia. 440 \$a Acta Universitatis Carolinae. \$p Philologica
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Numbered multipart items classified with main or another series

When a numbered multipart item is in a monographic series or in a more comprehensive multipart item that is classified as a collection, a collected set bibliographic record is also prepared for the smaller multipart item as a whole. The call number in the 050 field of that bibliographic record consists of the call number of the main/another series plus the volume number of the main/another series (not the volume number of the smaller multipart item) that constitutes the first or earliest known volume of the smaller multipart item, followed by the abbreviation "etc." That call number is the one given in the 050 field of the SAR for the smaller multipart item.

For the volume number of the main/another series, use the numbering designation already established as shown in the 642 of the SAR or in subfield \$v of 4XX/8XX fields in analytic bibliographic records. If that information is not available (e.g., the only existing analytic record is a nonanalyzable series or the series was previously not analyzed), always use the English abbreviations "vol.," "no.," and "pt." for "volume," "number," and "part" or for any equivalents in the vernacular.

<u>item in hand:</u>	"vypusk 5" of the multipart item constitutes "tom 17" of the main series
<u>data base:</u>	pre-AACR 2 analytic record for "vypusk 1" of the multipart item shows that it constitutes "tom 6" of the main series and "t. 6" has been added as an integral part of the call number of the analytic record
<u>add in 050:</u>	t. 6, etc.

item in hand: "1. Teil" of the multipart item constitutes "Band 9" of the main series
data base: no analytic records
add in 050: vol. 9, etc.

Following are records showing the interrelationship of the fields in an SAR for a series classified as a collection, an SAR for a multipart item in that series, the multipart item collected set bibliographic record, and a multipart item analytic bibliographic record.

series SAR: 050 \$a QE75 \$b .B9 \$5 ____
 130 \$a U.S. Geological Survey bulletin
 642 \$a 1749 \$5 ____
 646 \$a c \$5 ____

multipart SAR: 050 \$a QE75 \$b .B9 no. 1749, etc. \$5 ____
 130 \$a Mineral resources of wilderness study areas--west-central Utah
 430 \$a U.S. Geological Survey bulletin. \$p Mineral resources of wilderness study areas--west-central Utah
 642 \$a ch. A \$5 ____
 646 \$a m \$5 ____

{Note: if a volume number consists of only an arabic numeral (i.e., designation is lacking), "no." is given with the arabic numeral at the end of a call number so that volume number doesn't look like a date.}

multipart collected set record:

050 \$a QE75 \$b .B9 no. 1749, etc.
 245 \$a Mineral resources of wilderness study areas--west-central Utah.
 440 \$a U.S. Geological Survey bulletin ; \$v 1749
 505 \$a ch. A. Mineral resources of the Swasey Mountain and Howell Peak Wilderness study areas, Millard County, Utah / by David A. Lindsay ... [et al.]

analytic record: 050 \$a QE75 \$b .B9 no. 1749-A
 245 \$a Mineral resources of the Swasey Mountain and Howell Peak wilderness study areas, Millard County, Utah / \$c by David A. Lindsey ... [et al.]
 440 \$a Mineral resources of wilderness study areas--west-central Utah ; \$v ch. A

Unnumbered multipart item classified with main or another series

No collected set bibliographic record is prepared for an unnumbered multipart item in a monographic series or in a more comprehensive multipart item classified as a collection.

So, in the 050 field of the SAR give the call number of the main or another series without an addition of the volume designation of the main/other series. The 050 field in each bibliographic record has the specific volume number of the main/other series.

main/other series SAR: 050 \$a Q11 \$b .K84 \$5 ____
 646 \$a c \$5 ____

unnumbered multipart item SAR: 050 \$a Q11 \$b .K84 \$5 ____
 646 \$a m \$5 ____

multipart analytic record: 050 \$a Q11 \$b .K84 no. 47
 4XX \$a [main/other series title] ; \$v
 no. 47
 4XX \$a [multipart item title]

Exceptions to use of call number

If, by exception, a subseries has a classification decision different from that of the main series or a serial analytic has a classification decision different from that of the series, explain the exception in the 050 subfield \$d.

main series SAR:
 050 \$a __ \$b __ \$d all vols. except [title of subseries]
 \$5 ____
 646 \$a c \$d all vols. except [title of subseries] \$5 ____
 646 \$a s \$d [title of subseries] \$5 ____

subseries SAR:
 646 \$a s \$5 ____

series SAR:
 050 \$a ____ \$b ____ \$d [title of serial] \$5 ____
 646 \$a s \$d all vols. except [title of serial] \$5 ____
 646 \$a c \$d [title of serial] \$5 ____

X00 Personal Names – First Indicator Value for Surnames

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.

In 1996, the first indicator value 2 (Multiple surname) in X00 fields in MARC 21 was made obsolete. Value 1 (Single surname) was redefined as "surname" to be used for headings with either single or multiple surnames. At the time value 2 was made obsolete, various factors contributed to a delay in implementation, including the installation of the LC ILS. (By exception, the change was implemented by the British Library and three NACO libraries (National Library of Scotland, Cambridge, and Oxford) linked with the BL in a UK cooperative called the Copyright Libraries Shared Cataloguing Programme (CLSC), and the UK's National Art Library. Authority records contributed by the Dance Heritage Coalition also contained the change.) Although LC and the rest of NACO began implementing the change on January 1, 2000, OCLC subsequently converted all name authority records with first indicator value 2 in authority fields 100, 400, and 500 later that year.

LC practice for bibliographic records:

The implementation of the indicator change in corresponding bibliographic records has been treated independently, i.e., there has been no attempt to keep authority and bibliographic records in synchronization. Although value 2 has been removed from all authority records, it remains in many bibliographic records.

The following guidelines apply to the treatment of fields 100, 400, 600, 700, and 800 in bibliographic records:

1. Newly created bibliographic records. Discontinue using value 2 in newly created bibliographic records.

2. Existing bibliographic records. Limit changes to those encountered in regular work, i.e., do not look for changes in the indicator value *per se*; but, if changing the record for another reason, change the value 2 to 1 in all candidate fields as needed.

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1XX Headings

General

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

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

NARs

Canadian Headings

Through a cooperative agreement between the Library of Congress (LC) and Library and Archives Canada (LAC), efforts will be made to keep the LAC and LC/NACO Authority File in synch as much as possible. When creating an authority record for the LC/NAF for a name found on Canadian imprints, both personal and corporate names may be accepted from information found in Canadian CIP data or access points on current LAC bibliographic records without further searching. LC and LAC strive to harmonize usage of personal name headings, but all headings for Canadian corporate bodies used in current cataloging must be in the LAC authorized form except in the cases noted below. Uniform titles and series are not covered by the agreement. LCRI 23.2 contains more information for formulating Canadian geographic names.

When the LAC heading is found in Canadian CIP data or access points on current LAC bibliographic records, use the LAC heading to create an NAR unless modifications are called for by NACO procedures as stated below. When the name to be established is not found in these sources, search the LAC name authority file in AMICUS according to the guidelines below.

Personal Names:

Search the LAC name authority file in AMICUS to find the LAC authorized form. When an authorized LAC heading is found, use the LAC form to create an NAR unless modifications are called for by NACO procedures as stated below.

LC catalogers will import an LAC authority record from the LAC name authority file on AMICUS when a Canadian personal name heading is found, according to the guidelines in the DCM Z1 *Appendix for LC Staff*.

PCC catalogers will either import the LAC authority record to their local file or create a new NAR using copy and paste methods assuring that all elements in the NAR meet LC/NACO parameters for the creation of personal names.

Keep the LAC 670 or cite the LAC search per normal procedures. In the event that a

Canadian personal name conflicts with an established name in the LC/NAF make the appropriate modifications to assure uniqueness and record the LAC form in a 670 citation. Add/keep all references found in the LAC authority record even if the LAC 670 does not provide any justification.

When an authorized form of the name is not found in AMICUS, establish the name based on the information found in the resource being cataloged according to normal NACO procedures. Cite the AMICUS search in a 675 field.

Corporate Names:

Search the LAC name authority file in AMICUS to find the LAC authorized form. When an authorized LAC heading is found, use the LAC form of name (including punctuation) except in the following cases:

- LAC practice is to establish separate English and French headings for corporate entities whenever possible. LC/PCC policy is to use the English form, except for Québec corporate names, which should be established in French, following the guidelines in LCRI 24.1. *Canadian Headings*.
- LAC establishes individual meeting name headings for named ongoing conferences. LC/PCC catalogers should use the heading without the parenthetical qualifier following the guidelines in LCRI 24.7B. *Additions*.

Note:

- LAC treats the Religious Society of Friends as a corporate body and establishes "meetings," etc. subordinate to "Society of Friends." LC/PCC practice is to establish "Society of Friends" as a subject heading and establishes "meetings," etc., directly under their own name. It is not necessary to contact LAC for verification of these entities; establish these meeting names according to NACO procedures.
- LAC establishes Canadian parks and forests as subject entities, since they are not corporate bodies in the Canadian context. LC/PCC will follow LAC practice for Canadian parks and forests. LAC will follow NACO practice for U.S. parks and forests.
- Canadian First Nation names are coded on AMICUS as corporate names and not as jurisdictions because of current system limitations. LC/PCC will accept the LAC coding

When an authorized form for a Canadian corporate heading is not found in AMICUS, both LC and PCC catalogers should create and contribute an NAR based on the information

found in the resource being cataloged and then contact LAC for verification of the Canadian corporate name by using the Web form found at: <http://www.loc.gov/catdir/pcc/naco/LAC-nacohdgform.html>

LAC will respond directly to the cataloger requesting the verification and either confirm, or suggest modifications to meet LAC specifications.

SARs

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

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

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

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

For the title proper of a multipart item, consult AACR2 1.0A2b.

Choosing a monographic series title proper:

(1) If the item in hand has more than one form of series title, consult AACR2 1.6B2 and .0B2 in the AACR2 chapter for the material being cataloged (.0B3 in ch. 3 & 12).

(2) If the item in hand has the series title in more than one language or script on the same source, consult AACR2 1.1D2 and its LCRI.

(3) If the item in hand has series title pages in more than one language and or script and the series title appears on each of the sources in the appropriate language or script, consult AACR2 1.0A3a)ii).

(4) Consider spacing and changes in typography when determining where the series title begins and ends. Also consult AACR2 12.1B3 and its LCRI.

Establishing an SAR heading:

(1) Determine choice of entry based on chapter 21 of AACR2.

(2) Exclude from the heading the following information included in the series statement in the analytic bibliographic record:

- (a) initial article in subfields \$a, \$t, \$n, and \$p;
- (b) other title information;
- (c) statement of responsibility;
- (d) parallel title(s);
- (e) ISSN;
- (f) numeric/chronological designations.

(3) Add a parenthetical qualifier(s) if appropriate according to the guidelines in LCRI 25.5B.

(4) If you found a CONSER record,

(a) do not use a heading from a record in the following categories:

- 010 prefix is "cf"
- 010 prefix is "cn" and 040 \$b is "fre"

(b) use the choice and form of entry on records with 042 code of **lc**, **lcd**, or **pcc** as the heading unless there is a clear-cut error. An error in form of qualifier may be corrected; choice of qualifier is accepted as found. If you are not a CONSER participant, notify the CONSER Coordinator (lhaw@loc.gov) if an error is discovered; use the correct heading on the SAR.

4XX See From Tracings

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

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

General

NARs: Consult AACR2 Chapters 22-26 and its rule interpretations for guidelines on which 4XX references to make.

SARs: Consult LCRI 26.5A for guidelines on making 4XX references.

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 yellow Introduction pages.

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 nna = to indicate a pre-AACR2 form of heading

\$w nnaa = to indicate a pre-AACR2 form of heading that is not appropriate as a reference in an AACR2 catalog

\$w nne = to indicate a form previously used as an AACR2 heading

\$w nnea = to indicate a form previously used as an AACR2 heading that is not appropriate as a reference in an AACR2 catalog. Used only in records converted from Wade-Giles to pinyin romanization of Chinese.

Linking references for NARs and SARs

If the AACR2 choice or form of entry differs from the pre-AACR2 choice or form, *optionally*, make a linking reference from that form. Note: the addition of a qualifier is considered a change in form. For SARs, give the linking reference regardless of whether the series was previously traced or untraced, analyzed or not analyzed. However, do not give such a linking reference if:

- (1) the reference would normalize to the same form as the heading or another reference on the same record or to the same form as a heading on another record. Instead, give the form in a 667 field: "Old catalog heading: _____;"
- (2) there is no one-to-one correspondence between the pre-AACR2 heading and the AACR 2 heading, i.e., two or more pre-AACR2 headings will be treated as one heading under AACR2, or one pre-AACR2 heading will be split under AACR2. Instead, in a 667 field give the appropriate information. For the former, use "Includes the old catalog headings: _____; and, _____." For the latter, use "Previous to AACR2 covered by the heading: _____;"
- (3) for SARs, the series was previously untraced and it is not clear what form should be considered the old catalog heading.

If the heading on an existing NAR or SAR is changed, give a reference from the replaced AACR2 heading only if that form of reference would otherwise be given.

SARs

Give references on all SARs (even those for series-like phrases). When the classification decision is "as a collection," some references may duplicate added entries on 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 Tracings

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

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

General

When modifying an authority record for another reason, delete any final mark of punctuation in a 5XX 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).

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 nnc = to indicate a complex see also reference (record also contains a 663 field)

NARs

Consult AACR 2 Chapters 22-26 and rule interpretations for guidelines on which 5XX references to make.

Routinely delete all subject-to-name references (5XX with subfield \$w/1 = b) when changing a record for another reason. (These references are no longer made; since existing references have not been maintained, they may not be in accord with current subject cataloging policy.)

SARs

Do not code the subfield \$w for an earlier/later relationship when the SAR is for (1) an unnumbered series, (2) an unnumbered multipart item, or (3) a series-like phrase.

If the title in the earlier/later relationship is not represented by its own SAR, do not give a 5XX reference from that title. In a 667 field give a "Continues:" or "Continued by:" note, citing the other title; if the form of entry for that title is not known to be the AACR 2 form, add "[unevaluated catalog entry form]" at the end of that field. When an SAR is made for that title, delete the 667 field and add the appropriate 5XX reference. (See also 667 yellow pages.)

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.

64X Series Treatment - General Information

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

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

This 64X section covers the following topics:

- National-level PCC default decisions for newly-established SARs for monographic series and multipart items
 - General policy
 - Recording PCC local treatment decisions in new SARs
 - Recording PCC local treatment decisions in existing SARs
 - Existing SARs and non-LC analytic records
 - SARs for serials other than monographic series
- Republications
- Document series in general
- U.S. federal document series
- United Nations documents
- Treaty series
- BIBCO tracing practice

Also see specific 64X yellow pages.

National-level PCC default decisions for newly-established SARs for monographic series and multipart items

General policy

To encourage the contribution to shared databases of the greatest number of bibliographic records with the most specific classification, the PCC national-level default treatment decisions will be “analyzed in full, traced, classified separately.”

A PCC library can vary from the default analysis or classification practice for reasons of local needs/preferences/resources. If a BIBCO library varies from the national default

classification practice, any resulting analytic record may be a BIBCO record without a “class separately” number also being supplied. If an analytic record is created, the default tracing practice is mandatory.

(Note: BIBCO libraries may opt not to create an SAR for an unestablished series when cataloging a bibliographic record at the core level; see the separate topic “BIBCO tracing practice” at the end of this 64X section for the handling of established/non-established series in BIBCO full and core records.)

The national level tracing decision information is given in two fields in the SAR: field 645 (tracing) and, when appropriate, field 642 (form of number in added entry) to ensure consistent access points. The use of the MARC 21 organization code “DPCC” (for the Program for Cooperative Cataloging) in subfield \$5 of those two fields indicates that the information applies at the national level. See the yellow pages for the 642 and 645 fields for specific information.

The “DPCC” code will not be given in subfield \$5 in either field 644 (analysis) or field 646 (classification).

Recording PCC local treatment decisions in new SARs

A PCC participant has the option to include its local treatment decisions in any SAR it creates.

Recording PCC local treatment decisions in existing SARs

A PCC participant has the option to add its local treatment decisions to any SAR created by another PCC participant if another PCC participant’s treatment decisions are not already in the SAR.

Existing SARs and non-LC analytic records

SARs with an LC decision not to analyze and, therefore, not to trace represent only LC's pre-June 1, 2006 local decision. Such an LC decision does not prohibit another library from analyzing and tracing. It is not necessary to modify such SARs to add PCC tracing policy if it is not present. Analytic records (either full or core) may be coded as BIBCO records if the series are traced.

SARs created before Sept. 1, 1989, with an LC decision to analyze in full but not to trace should not be modified to add PCC tracing policy. The LC decision not to trace will be followed by BIBCO participants so that analytic records in a shared database will be consistent in the lack of traced series. Analytic records (either full or core) may be coded as BIBCO records even though the series are not traced.

SARs created between September 1989 and mid-November 1998 (when “DPCC” code began to be added to new SARs) should not be modified to add PCC tracing policy. Analytic records (either full or core) may be coded as BIBCO records if the series are traced.

SARs for serials other than monographic series

Note: The national-level default treatment decisions for analysis and classification do not apply to SARs for serials other than monographic series (008/12 = z). The decision to analyze an issue or issues of such a serial is a local decision. The presence of a participant’s code in such an SAR does not mean that another library must follow the analysis or classification decision recorded. However, if an analytic record is created, the default tracing practice is mandatory.

History of LC/PCC treatment decisions recorded in SARs

Before August 1995, PCC participants could omit treatment fields, give treatment only for the PCC library or only for LC, or give treatment for both the PCC library and LC. At point of contribution, SARs created by PCC participants from August 1995-March 1998 lacked LC treatment decisions. From April to mid-November 1998, PCC participants included an LC tracing practice to serve as the national-level tracing decision for the tracing of series in BIBCO records. The use by LC staff and PCC participants of the MARC 21 organization code “DPCC” in subfield \$5 of the 642 and 645 fields to indicate national-level tracing decisions began in mid-November 1998. As of June 1, 2006, LC does not create or update SARs; LC’s treatment decisions are summarized in LCRI 13.3.

Republications

Do not consider a republication to be in the original series if the original series statement has been omitted. The information can be given in a note on the bibliographic record. (See also LCRI 2.7B7.)

Photoreproduction, microform, and other republications are represented on the SAR for the original. If the 642, 644-646 treatment decisions for the republication are the same as for the original, add a second subfield \$5 to each of those fields. If the treatment decision for the republication is not the same as for the original, use separate treatment fields with each having its specific subfield \$5. Use “___ photo-offset reprint” in the subfield \$5 for a photoreproduction. For other republications, use a term appropriate to the republication in hand, preceding the term with the appropriate MARC 21 organization code in subfield \$5. If the treatment fields for the republication are not the same as for the original, give the treatment field for the original before the treatment field for the republication. Always use a separate field for the republication if the same field for the original shows a change of decision.

```

646  $a s $5 ___ $5 ___ photo-offset reprint
050  $a ___ $b ___
646  $a c $5 ___
646  $a s $5 ___ microfiche

050  $a ___ $b ___
646  $a s $d no. 78- $5 ___
646  $a c $d no. 1-77 $5 ___
646  $a s $5 ___ large print edition

```

If only a republication is in hand and no SAR exists for the original even though the original is in the collection, either create a SAR for both the original and the republication or create an SAR only for the republication. If the original is not in the collection, create an SAR only for the republication.

The inclusion of 643 and 670 fields for the republication is dependent on whether the SAR is for one or more republications or is for the original and one or more republications. (Until April 1998, 643 and 670 fields were required for each type of republication and for each publisher/manufacturer of republications on all SARs; do not delete any 643 and 670 fields for republications on SARs for the original and republication(s) created before April 1998.)

(1) Creating a new SAR for only a republication:

- (a) In the 643 field, indicate in subfield \$d the type of republication of the item for which the SAR is being made.
- (b) Begin the 670 field with the term for the type of republication and a slash.

```

642  $a no. 1 $5 DPCC photo-offset reprint $5 ___ photo-
      offset reprint
643  $a [Place of republication] $b [Publisher/Manufacturer
      of republication] $d photo-offset reprint
644  $a f $5 ___ photo-offset reprint
645  $a t $5 DPCC photo-offset reprint $5 ___ photo-offset
      reprint
646  $a s $5 ___ photo-offset reprint
670  $a Photo-offset reprint/[Title], [date]: $b [source]
      ([usage])

```

(2) Creating a new SAR for both the original and a republication:

- (a) Do not include a 643 field for the publisher/manufacturer of the republication.

(b) Do not include a 670 field for the republished item.

```

050   $a _____ $b _____
642   $a no. 23 $5 DPCC $5 _____ $5 DPCC photo-offset reprint
      $5 _____ photo-offset reprint
643   $a [Place of original] $b [Publisher of original]
644   $a f $5 _____ $5 _____ photo-offset reprint
645   $a t $5 DPCC $5 _____ $5 DPCC photo-offset reprint $5
      _____ photo-offset reprint
646   $a c $5 _____
646   $a s $5 _____ photo-offset reprint
670   $a [Title of original], [date]: $b [source] ([usage])

```

(3) Adding a republication to an existing SAR:

- (a) Add treatment decisions for the republication.
- (b) Do not add 643 and 670 fields for the republication.
- (c) Do not delete any existing 643 and 670 fields for any republication(s).

Example showing addition of photoreproduction to existing SAR for original:

```

642   $a no. 1 $5 _____ $5 _____ photo-offset reprint
643   $a [Place of original] $b [Publisher of original]
644   $a f $5 _____ $5 _____ photo-offset reprint
645   $a t $5 _____ $5 _____ photo-offset reprint
646   $a s $5 _____ $5 _____ photo-offset reprint
670   $a [Title of original], [date]: $b [source] ([usage])

```

Example showing addition of large print edition republication to existing SAR for photoreproduction:

```

642   $a no. 1 $5 _____ photo-offset reprint $5 _____ large
      print edition
643   $a [Place of reproduction] $b [Publisher of
      reproduction] $d photo-offset reprint
644   $a f $5 _____ photo-offset reprint $5 _____ large print
      edition
645   $a t $5 _____ photo-offset reprint $5 _____ large print
      edition
646   $a s $5 _____ photo-offset reprint $5 _____ large print
      edition
670   $a Photo-offset reprint/[Title], [date]: $b [source]
      ([usage])

```

Example showing addition of microfilm republication to existing SAR for original and photoreproduction created before April 1998 (when 643 and 670 fields were still required for

any republication added to SAR for original):

- 642 \$a no. 1 \$5 ___ \$5 ___ photo-offset reprint \$5 ___
microfilm
- 643 \$a [Place of original] \$b [Publisher of original]
- 643 \$a [Place of reproduction] \$b [Publisher of
reproduction] \$d photo-offset reprint
- 644 \$a f \$5 ___ \$5 ___ photo-offset reprint \$5 ___
microfilm
- 645 \$a t \$5 ___ \$5 ___ photo-offset reprint \$5 ___
microfilm
- 646 \$a s \$5 ___ \$5 ___ photo-offset reprint \$5 ___
microfilm
- 670 \$a [Title of original], [date]: \$b [source] ([usage])
- 670 \$a Photo-offset reprint/[Title], [date]: \$b [source]
([usage])

Document series in general

Definition of “document” = “Any publication bearing a government imprint or a statement that it has been published at government expense.” This definition is to be interpreted to include international organizations consisting of national governments, e.g., United Nations, World Health Organization, International Labour Office, etc. Note that publications of institutions created or controlled by a government (universities, colleges, museums, observatories, hospitals, libraries, institutes, etc.) are not to be considered documents. However, publications of agricultural experiment stations are to be considered documents. When in doubt, consider an item to be a document.

The above criteria are applicable only when establishing or reestablishing series headings; they are not to be used in any other context.

U.S. federal document series

PCC participants may create SARs for U.S. federal document series without contacting the Government Printing Office (GPO) Library. GPO will change any heading as needed and will add its symbol in an 040 \$d when it uses an SAR for the first time.

United Nations documents

Establish new UN document series according to normal procedures for document series. Give the UN document number as a quoted note on the analytic record.

Treaty series

If the main entry is the jurisdiction promulgating the treaties, in subfield \$t use “Treaties, etc.” and the title proper of the series as a qualifier.

110 \$a United States. \$t Treaties, etc. (Treaties and other international acts series)

BIBCO tracing practice

SAR already exists in the national authority file

- If the SAR was established before September 1989 and LC’s 644 has value f” and LC’s 645 has value “n,” do not trace the series; code the bibliographic record (either full or core) as a BIBCO record. Do not add the “DPCC” 642/645 fields to an existing SAR.
- If the SAR other than one described in the previous category
 - has 645 value “t” with any subfield \$5, trace the series and code the bibliographic record (either full or core) as a BIBCO record. Do not add the “DPCC” 642/645 fields to an existing SAR;
 - has only LC's 644 of “n” and LC's 645 of “n,” trace the series and code the bibliographic record (either full or core) as a BIBCO record. Do not add the “DPCC” 642/645 fields to an existing SAR;
 - lacks a 645 field, trace the series and code the bibliographic record (either full or core) as a BIBCO record. Do not add the “DPCC” 642/645 fields to an existing SAR.

SAR doesn't exist in the national authority file

For a full-level bibliographic record:

- contribute an SAR* to the national authority file, and
- trace the series in the analytic record.

For a core-level bibliographic record,

either:

- contribute an SAR* to the national authority file, and
- trace the series in the analytic record;

or:

- don't contribute an SAR to the national authority file, and
- don't trace the series in the analytic record.

* New SAR would have “\$5 DPCC” in 642 and 645 fields.

If a BIBCO participant chooses not to follow the guidelines stated above, do not code the resulting analytic records as BIBCO records.

640 Series Dates of Publication and/or Volume Designation

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.

Do not search just to provide information for this field; give the information if it is available from the item in hand or incidentally from the publisher. Do not give information about the first volume if it is the issue given in the 642 field. Search for information if needed to break a conflict.

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642 Series Numbering Example

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.

Consult AACR 2 1.6G and LCRI 1.6G concerning choice of numbering designation.

Determine the form of numbering from the item in hand (not necessarily the first item of the series) and then use that form in tracing all items in the series. When reestablishing a series, change any subfield \$v forms in access points in existing analytic records that don't match the form in the 642 field.

If the only number found on the item is the number in the series statement within the CIP data, ignore that number and consider the series to be unnumbered.

If at the time of reestablishing a series, analytic records in the database show that the series is both numbered and unnumbered but the item in hand is unnumbered, determine the form of number to be used in the tracing from the records in the database and record the earliest number in the 642 field. Also add in a 670 field the citation of the analytic bibliographic record on which the form of number is based; include the number in the parenthetical data in the subfield \$b.

If the analytic being cataloged is a multipart item that represents more than one volume in the series (e.g., the two volumes of the multipart item are numbers 17 and 18 of the series), record only one number in the 642 field; do not use a sequence of numbers.

When an analyzable multipart item is classified with another series (646 \$a = m), the number recorded at the end of the call number in the 050 field will not be the number found in the 642 field. The number found in the 050 field is the number of the "other series" found on the item in hand. (See 050 yellow page.)

When wording such as "new ser." has been supplied in brackets with the numbering in the bibliographic record 4XX subfield \$v (cf. AACR2 1.6G1), include the brackets in the 642 field being added to the SAR:

e.g., 642 \$a [new ser.], no. 1

Serial catalogers: include the 642 field even though subfield \$v usually doesn't appear in 4XX/8XX of serial analytic records.

Recording national-level and PCC local decisions for form of numbering

The national-level decision for form of numbering is to be followed by those libraries creating BIBCO records. The MARC 21 organization code used for this national-level decision in subfield \$5 is “DPCC” (PCC = Program for Cooperative Cataloging). PCC participants should include the national-level and local decisions in SARs according to the following guidelines.

PCC participants: new SAR

(1) Always include the national-level decision for form of numbering for a numbered monographic series, multipart item, or other series (serial) regardless of your local tracing decision. Determine the form of number according to usual rules/policies.

642 \$a [form of number] \$5 DPCC

(2) If your local tracing decision is to trace, optionally add your MARC 21 organization code as the last subfield \$5 in the one 642 field.

642 \$a [form of number] \$5 DPCC \$5 CoDU

PCC participants: existing SAR

(1) If the national-level decision is not in the SAR, do not add it.

(2) If your local tracing decision is to trace, optionally add your MARC 21 organization code as the last subfield \$5 in an already-existing 642 field. Note: only one PCC participant may include a form of numbering decision in an SAR. If a 642 field isn't present, optionally add the field with your MARC 21 organization code in subfield \$5.

642 \$a [form of number] \$5 DPCC \$5 CoDU
 642 \$a [form of number] \$5 DPCC \$5 DLC \$5 IRA
 642 \$a [form of number] \$5 DLC \$5 IRA
 642 \$a [form of number] \$5 WaU

(examples represent single fields in different SARs; “DPCC” already in the first and second SARs)

643 Series Place and Publisher/Issuing Body

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

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

Give the information in the 643 field as found in subfields \$a and \$b of the 260 field of the bibliographic record for the analytic (or, in situations when there will not be an analytic, the way it would be found if an analytic existed). If you are using "cut and paste" or an automated authority generation program, it isn't necessary in the 643 field to delete an address or brackets included from the 260 field. However, do not use the form from 260 \$b if AACR2 1.4D4 was applied to shorten the name given in 260 \$b.

Generally, ignore changes of place if there is no change in publisher.

If the difference in publishers represents alternate rather than successive publishers, give each publisher in its own 643, using "some issues" in subfield \$d in each 643 field.

If there are more than three successive changes of publisher, revert to one 643 field belonging to the volume cited in the first 670 field and give a 667 note. (See 667 yellow page.)

Generally, use "some issues" when a subfield \$d is needed for unnumbered series or multipart items unless a span of dates is readily available.

Give "643 \$a Various places \$b various publishers" as the 643 field for an undifferentiated phrase record. (See Introduction yellow pages for more information about these records.)

When reestablishing a series, generally ignore changes in place or publisher occurring previous to AACR 2. If there is information (e.g., from analytic records or from item in hand) that the place and/or publisher for some or all of the analytics is different from that of item being cited in the 670 field, record in the 643 field only the place and the publisher of that item. Record the designation of that item in the subfield \$d of the 643.

When creating an SAR for a republication only, indicate the type of republication in subfield \$d. Use "photo-offset reprint" for a photoreproduction; for other republications use an appropriate term, e.g., "microfilm," "large-print edition." Do not include a 643 field for the producer of the republication if the SAR covers both the original and one or more republications. Do not add additional 643 fields for other types of republications cataloged later. (See 64X yellow pages for more information about republications.)

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644 Series Analysis Practice

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.

National-level PCC default analysis practice = "analyzed in full."

A BIBCO library can vary from the default analysis practice for reasons of local needs, preferences, or resources.

Recording PCC local analysis decisions

A PCC participant has the option to include or omit its analysis practice when creating or modifying an SAR. Only one PCC participant may include its analysis practice in an SAR.

Exception to analysis practice

Sometimes the exception to the analysis practice will apply to all the volumes of a serial analytic or to all the volumes of a subseries. In such cases, in subfield \$b give the title of the serial analytic or of the subseries instead of the series numbers of those items.

```
644 $a n $b [Title of serial] $5 ____
646 $a c $5 ____
```

Change of decision

When there is a change in analysis practice **and** the classification practice already is classified as a **collection** (646 \$a = c), use a processing date as the cut-off. For subfield \$d in the two 644 fields use the phrases "items processed after [date]" and "items processed before [date one day later than date in the previous subfield \$d]." For example, if the analysis decision change was made on Feb. 3, 1993, give these 644 fields:

```
644 $a n $d items processed after Feb. 2, 1993 $5 ____
644 $a f $d items processed before Feb. 3, 1993 $5 ____
646 $a c $5 ____
```

When there is a change in analysis practice **and** the classification practice has been classified **separately** (646 \$a = s), use a numbering/chronological designation as the cut-off; use the term(s) from the item itself. For subfield \$d in the two 644 fields use the designation of the latest analyzed volume in the database as the ending volume in the second (earlier practice) 644 field and the next number as the beginning volume in the first (current practice) 644 field. Generally, the same cut-offs are used in the 646 fields. Even if some volumes are not in the library, give the cut-off information using definite beginning and ending numbers. Do not show gaps in the subfield \$d information; the person handling one of those "missing" volumes later needs to know what treatment to use.

items in hand: no. 18-20
analyzed vols. in database: no. 1-16

existing SAR:

644 \$a f \$5 ____
646 \$a s \$5 ____

revised SAR:

644 \$a n \$d no. 17- \$5 ____
644 \$a f \$d no. 1-16 \$5 ____
646 \$a c \$d no. 17- \$5 ____
646 \$a s \$d no. 1-16 \$5 ____

If volumes were cataloged out of order and now the analysis practice is being changed to "not analyzed" with a change in classification practice to "classed as a collection," consider recording the specific volumes for each analysis practice instead of reclassifying already-cataloged volumes. Give the new analysis practice in the first 644 field; use a hyphen with the last number to indicate that all volumes after that number should have the same treatment.

already analyzed: no. 1-4, 6-7
being processed now with "not analyzed" decision: no. 5, 8-10

existing SAR:

644 \$a f \$5 ____
646 \$a s \$5 ____

revised SAR:

644 \$a n \$d no. 5, 8- \$5 ____
644 \$a f \$d no. 1-4, 6-7 \$5 ____
646 \$a c \$d no. 5, 8- \$5 ____
646 \$a s \$d no. 1-4, 6-7 \$5 ____

already analyzed: v. 1-23, 25, 27-32
being processed now with "not analyzed" decision: v. 24, 26

existing SAR:

644 \$a f \$5 ____
 646 \$a s \$5 ____

revised SAR:

644 \$a n \$d v. 24, 26, 33- \$5 ____
 644 \$a f \$d v. 1-23, 25, 27-32 \$5 ____
 646 \$a c \$d v. 24, 26, 33- \$5 ____
 646 \$a s \$d v. 1-23, 25, 27-32 \$5 ____

Non-analyzable volumes

If the publication began as a not-analyzable serial and then became a monographic series without changing its title, create one SAR. Give two 644 fields and a 667 notes that explains the change in the publication.

644 \$a f \$d v. 9- \$5 ____
 644 \$a n \$d v. 1-8 \$5 ____
 645 \$a t \$5 DPCC \$5 ____
 646 \$a c \$5 ____
 667 \$a Lacked analyzable titles until v. 9.

If a later volume of an existing analyzed-in-full series is not analyzable, consider creating an analytic record for the volume according to the guidelines in LCRI 13.3. instead of modifying the 644 field to indicate this fact.

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645 Series Tracing Practice

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.

National-level PCC tracing decision for all newly-established SARs for series, multipart items, and other series (serial) = “trace.”

See the section “BIBCO tracing practice” in the 64X yellow pages for guidelines about tracing when the SAR is already in the national authority file.

General policy for tracing practice

When reestablishing a series that was untraced prior to AACR 2, always give two 645 fields, using the AACR 2 implementation date (regardless of the date of creating the SAR):

```
645 $a t $d items cataloged after Dec. 31, 1980 $5 [code]
645 $a n $d items cataloged before Jan. 1, 1981 $5 [code]
```

Even if only one/few volume(s) of a series or a serial other than a monographic series is analyzed, the 645 \$a = t.

Recording national-level and PCC local tracing decisions

The national-level tracing practice, to be followed by those libraries creating BIBCO records, is separate from the local tracing practice at any PCC institution. The national-level tracing decision always will be to trace. The MARC 21 organization code used for this national-level decision in subfield \$5 is “DPCC.” PCC participants should include the national-level and local decisions in SARs according to the following guidelines.

PCC participants: new SAR

(1) Always include the national-level decision to trace in any new SAR created for a monographic series, multipart item, or other series (serial) regardless of your local tracing decision.

```
645 $a t $5 DPCC
```

(2) Optionally, add your own local decision.

(a) If your decision is to trace, add your MARC 21 organization code as the last subfield \$5 in the one 645 field.

645 \$a t \$5 DPCC \$5 IRA

(b) If your decision is not to trace, give two 645 fields with your decision in a second 645 field.

two fields in one SAR:

645 \$a t \$5 DPCC

645 \$a n \$5 WaU

PCC participants: existing SAR

(1) If the national-level decision is not in the SAR, do not add it.

(2) Optionally, add your local tracing decision. Note: only one PCC participant may include a local tracing practice in an SAR.

(a) If your decision is to trace, add your MARC 21 organization code to an already-existing 645 field with decision to trace; if a 645 field isn't present, add the field with your MARC 21 organization code in subfield \$5.

645 \$a t \$5 DPCC \$5 WaU

645 \$a t \$5 DPCC \$5 DLC \$5 CoDU

645 \$a t \$5 DLC \$5 CoDU

645 \$a t \$5 IRA

(examples represent single fields in different SARs; "DPCC" already in the first and second SARs)

(b) If your decision is not to trace, give your decision in a second 645 field if a 645 for a "traced" decision is present. If a 645 field isn't present, add the field with your MARC 21 identification code in subfield \$5.

two fields in one SAR:

645 \$a t \$5 DPCC

645 \$a n \$5 IRA

single field in one SAR:

645 \$a n \$5 WaU

646 Series Classification Practice

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.

National-level PCC default classification practice = classified separately.

A BIBCO library can vary from the default classification practice for reasons of local needs, preferences, or resources. If the BIBCO library's practice varies from the national default classification practice, any resulting analytic record may be a BIBCO record. without a "class separately" number also being supplied.

General guidance

If a main series is classified separately, a numbered subseries is normally classified separately (the default decision). If a main series is classified separately, an unnumbered subseries can only be classified separately. If a main series is classified as a collection, a subseries (numbered or unnumbered) is normally classified with the main series.

If, by exception, a subseries has a classification decision different from that of the main series, give a second 646 field on the main series SAR identifying the subseries exception. If, by exception, a serial analytic has a classification decision different from that of the series, give a second 646 field on the series SAR identifying the serial analytic exception.

main series SAR:

```
050 $a ___ $b ___ $d all vols. except [title of subseries]
646 $a c $d all vols. except [title of subseries] $5 ___
646 $a s $d [title of subseries] $5 ___
```

subseries SAR:

```
646 $a s $5 ___
```

series SAR:

```
050 $a ___ $b ___ $d [title of serial]
646 $a s $d all vols. except [title of serial] $5 ___
646 $a c $d [title of serial] $5 ___
```

"Classified with main or other series"

This classification decision (646 \$a = m) applies to two situations:

- (1) a subseries (numbered or unnumbered, entered subordinately or independently) whose main series is classified as a collection (i.e., the SAR for the main series has 646 \$a = c);

If the subseries is numbered, there will be serial collected set bibliographic records for both the main series and the subseries; if the subseries is unnumbered, there will be a serial collected set record for only the main series.

- (2) a multipart item, numbered or unnumbered, in a series or other multipart item that is classified as a collection (i.e., the SAR for the series or multipart item has 646 \$a = c).

If the smaller multipart item is numbered, there will be collected set bibliographic records for both the series/larger multipart item and the smaller multipart item; if the smaller multipart item is unnumbered, there will be a collected set record only for the series/larger multipart item. The collected set record for the series will be a serial record; the collected set record(s) for the multipart item(s) will be monograph record(s).

Recording PCC local classification decisions

A PCC participant has the option to include or omit its classification practice when creating or modifying an SAR. Only one PCC participant may include its classification practice in an SAR.

Unnumbered volumes in a collected set series

If a numbered series that is classified as a collection has some volumes that are unnumbered, use two 646 fields:

```
646 $a c $d numbered items $5 DLC
646 $a s $d unnumbered items $5 DLC
```

Change of decision -- numbered monographic series

When the classification decision for a numbered monographic series has changed, generally use numeric/chronological designations in subfield \$d of both 646 fields. Use the term(s) from the item itself.

Even if some volumes are not in the library, give the cut-off information for the earlier classification decision using definite beginning and ending numbers. For example, v. 1-35 are represented by classified separately analytic bibliographic records. The classification decision has

changed with the processing of v. 38. Do not show gaps in the subfield \$d; the person handling one of those "missing" volumes later needs to know what treatment to use.

```
646 $a c $d v. 36- $5 ____
646 $a s $d v. 1-35 $5 ____
not:
646 $a c $d <v. 38 > $5 ____
646 $a s $d v. 1-<35 > $5 ____
```

At times, if volumes were cataloged out of order (any of the uncataloged issues is earlier than the latest analyzed volume in the database), some volumes would have to be reclassified into the collected set in order to give a "clean" cut-off as shown above. Instead, generally record the specific volumes for each classification practice. Give the new classification practice in the first 646 field; use a hyphen with the last number to indicate that all volumes after that number should have the same treatment. In the second 646 field, show only the specific volumes not having the new classification practice.

volumes already classified separately: no. 1-13, 15-18
 being cataloged now with classification decision changed to classification as a
 collection: no. 14, 19-20

existing SAR:
 646 \$a s \$5 ____

revised SAR:
 646 \$a c \$d no. 14, 19- \$5 ____
 646 \$a s \$d no. 1-13, 15-18 \$5 ____

volumes already classified separately: t. 1-5, 7-11, 13
 being cataloged now with classification decision changed to classification as a
 collection: t. 6, 12

existing SAR:
 646 \$a s \$5 ____

revised SAR:
 646 \$a c \$d t. 6, 12, 14- \$5 ____
 646 \$a s \$d t. 1-5, 7-11, 13 \$5 ____

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Example:

```

110 1# $a United States. $b President (1953-1961 :
      Eisenhower)
008/11 = n
008/15 = b
667   $a SUBJECT USAGE: This heading is not valid for use
      as a subject. Works about this person are entered
      under Eisenhower, Dwight D. (Dwight David), 1890-
      1969.

```

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

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

(b) Earlier/later linear jurisdictional name changes

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

Example:

```

151   $a Ceylon
667   $a SUBJECT USAGE: This heading is not valid for use
      as a subject. Works about this place are entered
      under Sri Lanka.

```

A web form to facilitate PCC catalogers' notifications to CPSO is available at: <http://www.loc.gov/catdir/pcc/naco/nar667form.html> LC catalogers should continue to follow the guidelines provided in SCM H 708.

(2) Notes indicating that a geographic name heading is not appropriate for use as a geographic subdivision

PCC optional practice:

Add a 667 note to name authority records for geographic headings that are not appropriate for use as geographic subdivisions in subject cataloging usage (Per SCM H 835) when the name represents an entity within a city and is qualified by the city name. Such notes will most frequently be needed for names of city sections, districts, neighborhoods, etc. Make no changes to values in bytes of the 008.

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

Example:

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

Follow these guidelines for newly-created authority records. Add the note to an existing record when making any other change to the record.

See DCM Z1 781 for guidelines on adding 781 fields to name authority records for geographic headings that may also be used as geographic subdivisions.

MESSAGE notes (LC practice)

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

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

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

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

SARs

(1) Notes re title proper:

There may be a clear pattern of fluctuation between two or more forms of title proper of a numbered series (based on information in the database or from items in hand). There may be a change in the form of the title proper that isn't considered a title change (AACR 2 21.2A/LCRI 21.2A). You can use a 667 field in lieu of a 670 field to indicate the different title proper that is not generating its own SAR. Give that form of the title proper in a 4XX field.

same form as the heading or another reference on the same record or to the same form as a heading on another record.]

667 \$a Includes old catalog headings: Great Britain. Foreign Office. Treaty series; and, Great Britain. Foreign and Commonwealth Office. Treaty series"
[Use if two or more pre-AACR 2 headings will be treated as one heading under AACR 2.]

667 \$a Previous to AACR 2 covered by the heading:

[Use if one pre-AACR 2 heading will be split under AACR 2.]

(3) Notes re publisher/issuing body:

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

667 \$a Imprint varies
 667 \$a Publisher varies
 667 \$a Published by various offices of the Division of Education
 667 \$a Issued by various agencies of the West German government, e.g., Presse- und Informationsamt, Bundesministerium der Justiz, Bundesministerium für Forschung und Technologie

(4) Notes re type of publication:

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

667 \$a Document

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

667 \$a Telephone call to publisher, 11-2-88: Change in pattern of publication; v. 1-17 monographic works, v. 18- collections of articles
 667 \$a Publication was periodical for v. 1-3; monographic series beginning with v. 4

(5) Notes re handling of series-like phrase:

- 667 \$a Do not give as a quoted note
 667 \$a Give as a quoted note
 667 \$a Give as a quoted note if [name of publisher] is not recorded in the publication, distribution, etc. area of the bibliographic record
 [for phrase that combines name of publisher and a generic term]
 667 \$a Is an imprint, not a series. Record in publication, distribution, etc. area of the bibliographic record
 [for imprint that could be construed to be title, e.g., Metropolitan Books]
 667 \$a Give as a quoted note, including the number, e.g., AAI no. 85-41
 667 \$a Give as other title information in the title and statement of responsibility area of the bibliographic record

(6) Notes re undifferentiated phrase record

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

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

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

(7) Notes re post-cataloging authority records

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

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

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

(8) Miscellaneous notes for whatever information needs to be conveyed:

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

[See 64X yellow pages for more information about UN documents]

- 667 \$a First printing of vol. 8 of the Princeton theological monograph series erroneously carried the series statement: Pittsburgh theological monographs
- 667 \$a Phone call to Borgo Press 1-20-84: Starmont Press series; Borgo reprints all titles generally 6 months to a year later in cloth
- 667 \$a Lacked analyzable titles until v. 9
- 667 \$a Indexed in: Social sciences index
[for series not being analyzed]
- 667 \$a Establish separate records for English and Spanish titles if Spanish edition of v. 3 is received

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670 Source Data Found

This 670 section covers the following topics:

- General
- Transcription of names and titles
- Internet resources
- Recording dates
- Justifying references
- Transcription of other data
- Special types of citations

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

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

General

The purpose of this field is to record information about the name or title represented in the 1XX field. It includes facts that contribute to the identification of the heading, that justify the choice of the name used as the 1XX heading and references to it, and that clarify relationships between it and other headings in the file.

Functions of the 670 field:

- ◆ To supply information, from bibliographic, and at times non-bibliographic sources (e.g., phone calls, letters), in support of the choice and form of the heading and references
 - ◆ To store information that may be used to break a conflict later
 - ◆ To identify a person with a particular work or as an author in a particular discipline or time period
 - ◆ To identify different individuals whose access points must remain identical for now (i.e., undifferentiated personal name headings)
 - ◆ To clarify whether different forms of a body's name or of a title are simply variations or reflect a change in the name or title and to identify relationships with other headings
 - ◆ To record research required by the current rules
 - ◆ To facilitate authority and bibliographic file maintenance, i.e., the information in 670 fields aids in making decisions about duplicate headings and misattributions
 - ◆ To support machine manipulation based on algorithms using information in the 670

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

Generally, the first 670 field cites the work for which the heading is being established, i.e., the work being cataloged; give subsequent 670 fields in any order, adding new fields after existing ones. Do not routinely delete or change existing 670 fields, input by LC or by a NACO participant, when adding new 670 fields.

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

By exception, a 670 field (rather than a 675 field) may be provided with the phrase (name not given) or (title not given) in the subfield \$b if/when the name or title in the 1XX is not available in the work being cataloged. This information will help reduce ambiguity and provide other catalogers with clues to the identity of the author by citing the work that generated the need for the heading (e.g., title of work, publication date) as described below. For all citations other than that for the work being cataloged that lack information about the 1XX, use field 675.

A 670 field should include the following:

- (1) The title of the work being cited, complete enough for later identification in an online catalog. Abbreviations and ellipses may be used. Precede a generic or indistinctive title with an indication of the main entry of the work, which may also be abbreviated, or in a NAR be replaced by a pronoun; if the main entry is the same as the title proper plus a qualifier, give the uniform title main entry instead of the title proper.

In authority records created using an automated authority generation program, the 670 information may include the main entry name as it appears in the bibliographic record for which the authority record is being made. In order to maintain the cost effectiveness of this process, it is recommended that catalogers accept the additional information as generated.

- (2) The date of publication. Also see the guidelines below for specific categories:

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

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

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

670 \$a Studies in Confederate history, No. 1 (1966),
surrogate \$b cover ([data])
not 670 \$a Studies in Confederate history, 1966,
surrogate \$b cover ([data])

- Integrating resources. Identify the iteration from which information was taken (e.g., “viewed on” dates for updating Web sites, update number or release number for updating loose-leaves).

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

- MARC characters. With the exception of the eszett, the Euro, and the spacing circumflex (cf. LCRI 1.0E) any characters found in the MARC code table at: <http://www.loc.gov/marc/specifications/specchartables.html>, are valid for use in authority records contributed to the LC/NACO Authority File. Note that LC catalogers will generally continue to substitute the letters ‘p’ and ‘c’ rather than use the phono copyright or copyright symbols when transcribing publication, distribution, etc., dates in 670 \$a.

- (3) The specific location(s) of the information found (e.g., t.p., jkt., label, map recto) when the work cited is other than a standard reference source, (e.g., an encyclopedia or a bibliographic file). For numbered multipart items, include the volume number of the item with the specific location. If the heading is being established from a CIP or ECIP at the galley stage, precede the first location with the “CIP” or “ECIP” as appropriate (e.g., CIP t.p., ECIP pref.).

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

For NARs, generally, use “etc.” to avoid giving more than two locations or a sequence of locations (e.g., p. 316, etc., for p. 316-325, 329-331, 342). For SARs,

always give each location separately.

PCC series practice:

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

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

- (4) Information found. Following the location, cite the information found there, enclosed in parentheses. Automated authority record generation programs may supply additional information from the bibliographic record from which the authority record is being made, e.g., complete statements of responsibility. In order to maintain the cost effectiveness of these programs, use judgment in deciding what information can remain in the subfield \$b and what is really extraneous to the record being created and should be deleted.

As appropriate, give multiple occurrences of information from the same source following the location of the information. (Note: In SARs the parenthetical statement of the form of title proper was omitted until June 1989.)

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

670 \$a Large print edition/Fool's coach, c1989 \$b CIP t.p. (An Evans novel of the West)

- (5) When creating an undifferentiated NAR or converting a differentiated NAR to an undifferentiated one (i.e., 008/32=b), create a pair of 670 fields to group information about each individual covered by the NAR. The pair should consist of an "identifying" 670 field containing a descriptive term (e.g., the role the person played in the context of a particular work) and a “citation” 670 with the title of the particular work. All data in the identifying 670 should be in \$a and enclosed within square brackets. This 670 should be followed by one or more "citation" 670s, constructed according to normal practices, that relate to the “identifying” 670.

This pairing of identifying and citing 670 fields helps to provide a visual cue that

the record represents an undifferentiated heading, and also assists in distinguishing individuals covered by the record should it become possible in the future to remove an individual to form a differentiated heading (e.g., if additional information becomes available).

```
1001#$a Smith, Arnold
670##$a [Author of A book of dreams]
670##$a A book of dreams, 1996: $b t.p. (Arnold Smith)
670##$a [Author of Coaching high school basketball]
670##$a Coaching high school basketball, 2005: $b t.p.
(Arnold Smith)
670##$a [Director of High school confidential]
670##$a High school confidential, 1965: $b credits (directed
by Arnold Smith)
```

Transcription of names and titles

Transcribe names or series titles used in the heading or references in full, as they appear in the source, without abbreviation by the cataloger.

For titles that are not series (cf. Introduction Page 2 on when an NAR for these titles is needed), generally transcribe only titles that are considered important to document.

When preparing an authority record for the text of a law (AACR2 rule 25.15A2) or a subject compilation of laws (AACR2 25.15A1), if a source being cited contains an official short title or citation title, cite that title, preceded by the term "citation title" and its exact location, e.g.

```
670 $a Workers' compensation law of the state of North Carolina,
c1980: $b t.p. (Workers' compensation law of the state of
North Carolina) citation title, p. 49 (The North Carolina
Workers' Compensation Act)
```

For corporate headings, include in the data cited all the hierarchy required to justify needed references, but do not include elements irrelevant to the particular heading being established, e.g., subordinate body's name. Automated authority generation programs may supply additional information beyond the specific corporate body's name; use judgment in deciding what information (e.g., subordinate body's name) is extraneous to the record being created and should be deleted.

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

If information about an earlier/later name or title is found in the same source as the name or title in the heading, give all the information in the 670 field; do not separate the information about the earlier/later name or title and give it in a 675 field.

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

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

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

Internet resources

These instructions apply to electronic resources being cataloged and to resources used as reference sources.

Give the title of the Internet resource and the date it was consulted in subfield \$a. In subfield \$b, give a location within the resource (e.g., home page, about page, HTML title, t.p. of .pdf), if appropriate, and the information found.

Catalogers may *optionally* provide a uniform resource identifier (URI) in the 670 citation to link to the cited resource if it contains significant information related to the established heading that cannot be cited succinctly in the authority record. Note that use of a URI in the 670 \$u does not take the place of the requirement to cite relevant data in subfields \$a and \$b of the 670 field needed to support the heading or references (this information will continue to be available if the site changes or disappears). Do not provide URIs for general reference sources and/or web-based reference sources that are included in the LCRIs (e.g., Contemporary Authors online, GNIS, GEOnet). If a URI is included, it must be given in subfield \$u.

670 \$a British Oceanographic Data Centre WWW Home page, Sept. 6, 1995 \$b (BODC, est. Apr. 1989, developed British Oceanographic Data Service (BODS))

670 \$a AltaVista, viewed Dec. 4, 1997: \$b WWW page title screen (AltaVista, search network) HTML title (Alta Vista) additional screens (World Wide Web search engine developed by Digital Equipment Corp.)

670 \$a Harvard Business School Publishing Corporation gopher, Nov. 23, 1994 \$b main menu (Harvard Business School Publishing Corporation) readme (Harvard Business School Publishing)

670 \$a Stephen King.com, the official Web site, viewed Feb. 28, 2006 \$b biography, etc. (Stephen Edwin King; b. Portland, Maine, 1947) site also includes listings of author's works

§u <http://www.stephenking.com>

Recording dates

To facilitate international contribution and use of authority records, when giving dates, use the abbreviated forms for months given in AACR2 Appendix B.15. (The U.S. practice for recording dates using numerals differs from the practice in some other countries). Do not change the style of dates in existing records.

Justifying references

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

- (1) References justified by rules or rule interpretations only, usually because the reference is derived from inverting, shortening, etc., the heading or giving a substitute form in the heading.
- (2) References made on the basis of the cataloger's awareness of different romanizations or orthographies.
- (3) Name/title cross references derived from the work being cataloged, from other works cataloged under the same heading, or from information in standard reference sources.
- (4) References made on the basis of information from the Library and Archives, Canada (cf. DCM Z1 Appendix 2: Canadian headings).
- (5) References to earlier/later headings of corporate bodies reflecting changes due to national orthographic reform, changes in government headings due to an official language change, or changes involving only a parent body to which the body being established is subordinate.
- (6) References made on the basis of information from the British Library as part of the English Short Title Catalogue project.
- (7) Optional references from pre-AACR 2 forms on SARs and on retrospective NARs.

Transcription of other data

NARs. Use judgment to determine how much data to record in the permanent authority record. Do not abbreviate or translate distinguishing terms (e.g., titles of address or office) that

appear in conjunction with personal names in statements of responsibility and that potentially could be used as part of the heading. Other data may be abbreviated or summarized. Generally informally translate other data from foreign languages into English, paraphrasing or summarizing as convenient.

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

Special types of citations

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

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

For LC catalogers working in OCLC and for NACO participants, there is no change in what is considered to be the “LC database” as used in 670 subfield \$a.

NARs. Give the date of the search, using month abbreviations. In parentheses, prefaced by the label **hdg.:** (or **MLC hdg.:** if appropriate), give the heading (or headings) found, even if it is the same as the current heading.

If different forms of the name exist in the bibliographic records, record the heading and also any forms found, including usage identical to the heading. Separate the heading from the other forms, and preface the other forms with an appropriate label, e.g., **usage:**¹ or **variant:**² Do not normally cite specific

¹ “Usage” on bibliographic records refers to literal transcriptions of the forms of name usually found in records' statement of responsibility. Literal transcriptions may also appear in other parts of the bibliographic record, such as in the title proper or in a quoted note. Be sure that you are recording the transcription of the name as it appeared on the publication and not as it was formulated because of cataloging rules. Be especially careful when taking information from the publication, distribution, etc., area and from series statements. Headings may never be provided as usage.

² “Variant” on bibliographic records refers to a form of the name other than a literal transcription, e.g., a form found in the publication, distribution, etc. area or in an unquoted note;

bibliographic records or the exact location of the variations found.

670 \$a LC database, Jan. 31, 1992 \$b (hdg.: Rivière, Pierre, 1815-1840)

670 \$a LC database, Aug. 24, 1982: \$b (hdg.: Sociedade Brasileira pelo Progresso da Ciencia; usage: Sociedade Brasileira para o Progresso da Ciencia, SBPC)

670 \$a LC database, Mar. 11, 1996 \$b (hdg.: Swedish American Corporation; variant: Swedish American Corp.)

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

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

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

LC manual authority card. *LC practice:* When formulating the 670 citation for a manual authority card citation, use either **LC manual auth. cd.** or **LC manual cat.** (i.e., authority and bibliographic records) as appropriate. Summarize and record data found, without specifying individual works cited on the manual authority card or other sources of information which may have been mentioned there.

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

normally, there is not a need to cite such a variant in a 670 field. This understanding of “variant” within the context of a database does not refer to the varying forms of name found on an item not selected as the form used for the heading.

670 \$a LC in OCLC, date: \$b ([data])
 670 \$a RLIN, date \$b ([data])
 670 \$a M/B/RS Collections Authority file \$b ([data])
 670 \$a New Delhi MARC file \$b ([data])
 670 \$a MWA/NAIP files \$b (hdg.: ____; usage: ____; variants:
 _____)
 670 \$a NUC pre-56: \$b ([data])
 670 \$a NRMM \$b ([data])

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

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

Reference works. Cite reference sources and the information found in them as briefly as possible within the requirements of intelligibility already stated, e.g.:

670 \$a DNB \$b ([data])
 670 \$a Harvard dict. of music \$b ([data])
 670 \$a Comp. diss. index: \$b ([data])
 670 \$a WW sci. Europe, 1991 \$b ([data])
 670 \$a Banker's alm./yrbk., 1991: \$b ([data])

A list of previously used abbreviations for some national bibliographies is in *Cataloging Service Bulletin*, no. 22 (fall 1983).

BGN. For geographic names established on the basis of information from the United States Board on Geographic Names,³ convey a designated short form of name by adding within brackets immediately after the appropriate element the statement [short form]. Repeat the short form if needed for clarity. Do this even if the long form is chosen for the heading. Retain the phrases “[conventional],” “[language],” etc., when used by BGN. Give the date of the search in the online file and include the feature designation (e.g., ADM1, PPL), coordinates, and variants. If searching the latest available published gazetteer because online access is not available, do not include the date but do include the feature designation and coordinates. Note: In the published gazetteers the short form is shown with the use of boldface type.

670 \$a GEOnet, June 13, 1989 \$b (Coast [short form] Province; ADM1, 3⁰⁰'S 39³⁰'E)

³ Published gazetteers or World Wide Web sites (GNIS (domestic information: URL: <http://geonames.usgs.gov>; GEOnet (foreign information: URL: <http://164.214.2.59/gns/html/>))

- or* 670 \$a BGN \$b (Coast [short form] Province; ADMD, 3⁰00'S
39⁰30'E)
- 670 \$a GEOnet, July 7, 1992 \$b (Varese [short form]
Provincia di; ADM2, 45⁰48'N 8⁰48'E)
- or* 670 \$a BGN \$b (Varese [short form], Provincia di; PROV,
45⁰48'N 8⁰48'E)
- 670 \$a GEOnet, Apr. 31, 1996 \$b (Geneva [conventional];
Genève [native], PPL, 46⁰12'N 6⁰10'E; variants:
Ginevra, Genf)
- or* 670 \$a BGN \$b (Genève [French], Geneva [conventional];
POPL, 46⁰12'N 6⁰10'E)
- 670 \$a GEOnet, Sept. 28, 2001 \$b (Cambridgeshire [short form
= Cambridge]; ADM1, 52⁰12'N 0⁰07'E)

Non-bibliographic sources. Give the non-bibliographic source, the date, and the information. The source can be given specifically (“Letter from author,” “Phone call to publisher,” etc.) or in general terms (“Information from author,” “Information from publisher,” etc.). When noting a specific source, it isn't necessary to show how information was received, e.g, that letter was received via FAX rather than via mail. When a telephone call to a publisher/agency/organization is cited, usually give the name of the group called, rather than the title or name of the person contacted.

- 670 \$a Phone call to H. Jones, Jan. 31, 1992 \$b (Harry Jones
is real name of Lionel Jones)
- 670 \$a Letter from author, May 29, 1994 \$b (correct
birthdate for _____ is Oct. 14, 1950)
- 670 \$a Information from publisher, Feb. 6, 1991 \$b (James
Allan's middle name is Stephen, not Steven)
- 670 \$a Information from OCLC, Mar. 8, 1996 \$b (_____)

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7XX Heading Linking Entries

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

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

General

The use of this field in NARs or SARs is limited to recording the authorized form of name from a national bibliography. The purpose of including a 7XX in a NAR or SAR is usually to allow a National Bibliography Agency (NBA) to retain its preferred form of name in its own bibliographic database, while still contributing name authority records to the national authority file (NAF) under NACO standards.

Indicators

Use the appropriate first indicator. Use second indicator value 7 (the value most appropriate for this application of the 7XX field).

Subfield \$2

A 7XX field using second indicator value 7 must contain a subfield \$2 and a code to identify the source of the heading.

A NBA, such as a national library or other agency responsible for maintaining a national bibliography, must apply to the LC Network Development and MARC Standards Office (NDMSO) to obtain a code which will become part of the *MARC Code List for Relators, Sources, Description Conventions*. Information on the process of applying for codes is available from the NDMSO ndmso@loc.gov, or at: <http://lcweb.loc.gov/marc/relators/>

MARC 21 model: 7XX for alternate authorized form of name

Consult the LC Cooperative Cataloging Team before including 7XX fields in NARs or SARs.

Initially, the 7XX model will be limited to records created by NBAs and under certain conditions by designated NACO contributors authorized by the NBA from within the same geographic jurisdiction, for the sole purpose of recording the form of heading used in its national bibliography.

NACO contributors from within the same geographic jurisdiction as the NBA that wish to create or modify 7XX headings should request permission directly from the NBA that controls the national bibliography. These arrangements are to be made between the NBA and the individual institution and will not be administered by the PCC or the Library of Congress; nonetheless, the NBA is expected to notify the Cooperative Cataloging Team when making these agreements and provide a list of libraries authorized to create or modify 7XX fields. The responsibility for applying for a subfield \$2 code resides with the NBA; once the proper code is identified, it should be used as needed in 7XX fields input by any library.

This policy will be evaluated after a sufficient period of using the 7XX approach, but not sooner than a year.

Guidelines for including 7XX and subfield \$2 in an authority record

A NBA or NBA-designated NACO library may include an alternate authorized form in a new or extant NACO record in the 7XX field as defined by the *MARC 21 Authority Format* and NACO guidelines:

- The NBA should consult with the Cooperative Cataloging Team before using 7XX fields in name or series authority records.
- The 7XX must include a subfield \$2 code to identify the NBA's authority file as the source of the 7XX. The source code should be requested from the LC NDMSO by the appropriate national library or NBA.
- A 7XX heading in a NACO record may be modified only by the NBA and/or a NBA-designated NACO library.
- The NBA and/or NBA-designated NACO library contributing the 7XX form is responsible for any maintenance to the NAR if the form of name authorized by the NBA changes.
- The NBA is advised to consider the impact of 7XX fields on its internally-used system (e.g., indexing, record maintenance) and consult with its system vendor prior to using 7XX fields.

Sample record

1XX __ \$a [Authorized NACO AACR2 form]
 4XX __ \$a [Variant form]
 670 ## \$a [Citation] \$b t.p. ([Usage or 1XX]) p. 5 ([Usage for
 4XX])
 7XX 17 \$a [Alternate authorized form] \$2 [source code]

Current status of the 7XX in the NAF

NACO records containing 7XX fields are distributed by the LC Cataloging Distribution Service as part of the LC/NAF. The 7XX fields have been implemented in the LC ILS, but LC does not yet use the 7XX fields in its own cataloging.

LC/NACO practice: Allow the 7XX fields to remain in records unchanged.

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034 Coded Cartographic Mathematical Data**Recording coordinates for countries, states, counties**

Coordinates for outside limits (bounding boxes or polygons) should generally be used with larger geographic entities such as countries, states, and counties to identify the coordinates of the entity. The coordinates may be recorded in either degrees/minutes/seconds, decimal degrees, decimal minutes, and/or decimal seconds. Styles should not be mixed in a single 034 field, but the field may be repeated to represent the different styles (see below for conversion utilities); the order of 034 fields when both styles are given does not matter.

Degrees/minutes/seconds : record in the form *hdddmmss* (hemisphere-degrees-minutes-seconds).

034 ##\$dW1800000\$eE1800000\$fN0840000\$gS0700000

Decimal degrees : record in the form *hddd.ddddd* (hemisphere-degrees.decimal degrees)

034 ##\$dE079.533265\$eE086.216635\$fS012.583377\$gS020.419532

Decimal degrees with plus and minus : record in the form *+-.ddd.ddddd* (hemisphere[+/-]-degrees.decimal degrees) (“+” for N and E, “-” for S and W; the plus sign is optional)

034 ##\$d+079.533265\$e+086.216635\$f-012.583377\$g-020.419532

(Example with +/-)

034 ##\$d079.533265\$e086.216635\$f-012.583377\$g-020.419532

(Example without the optional plus sign)

Decimal minutes : record in the form *hdddmm.mmmm* (hemisphere-degrees-minutes.decimal minutes)

034 ##\$dE07932.5332\$eE08607.4478\$fS01235.5421\$gS02028.9704

Decimal seconds: record in the form *hdddmmss.sss* (hemisphere-degrees-minutes-seconds.decimal seconds)

034 ##\$dE0793235.575\$eE0860727.350\$fS0123536.895\$gS0202858.125

Recording coordinates for cities, towns, and townships

Coordinates for cities, towns, and townships should generally be recorded as center points rather than outside limits. For the 034 field, the longitude and latitude that form the central axis are recorded twice to define the center point (i.e., the contents of \$d and \$e are identical, the contents of \$f and \$g are identical).

034 ##\$dW0950500\$eW0950500\$fN0303000\$gN0303000

(Example showing degrees/minutes/seconds)

034 ##\$dW119.697222\$eW119.697222\$fN034.420833\$gN034.420833

(Example showing decimal degrees)

034 ##\$d-119.697222\$e-119.697222\$f+034.420833\$g+034.420833

(Example showing decimal degrees with plus/minus)

Coordinate Conversion Tools

NACO institutions are encouraged to provide both degrees/minutes/seconds and decimal degrees when available. Numerous conversion tools are available on the Web to derive one from the other; here are two examples:

Degrees/minutes/seconds to Decimal degrees:

<http://vancouver-webpages.com/META/DMS.html>

Decimal degrees to Degrees/minutes/seconds:

<http://vancouver-webpages.com/META/DD.html>

Sources

Subfield \$2 has been defined for recording the source of the coordinate information— codes for commonly used sources are available from: *MARC Code Lists for Relators, Sources, Description Conventions*.

A 670 citation to the source would not be required if the only information from the source is recorded in field 034; a 670 citation should be made if necessary to record information beyond coordinates, such as variant names, hierarchy, time period of applicability, etc.

024 Other Standard Identifier

NACO:

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

SACO:

Do not use this field.

LC:

NAMES/SERIES:

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

SUBJECTS:

Do not use this field.

LC Guidelines

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031 Musical Incipits Information

NACO:

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

SACO:

Do not use this field.

LC:

NAMES/SERIES:

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

SUBJECTS:

Do not use this field.

LC Guidelines

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034 Coded Cartographic Mathematical Data

NACO:

NACO participants may supply the 034 field in authority records for geographic name headings only (151) at their own discretion. Additional uses may be considered in the future.

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

SACO:

Consult the LC Policy and Standards Division before use.

LC:

NAMES/SERIES:

Use this field in name authority records for geographic name headings only (151). Additional uses may be considered in the future.

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

SUBJECTS:

Consult the LC Policy and Standards Division before use.

LC Guidelines

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111 Heading–Meeting Name

NACO:

Do not use subfields:

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

SACO:

Do not use subfields:

\$h, \$j, \$6, \$8

LC:

NAMES/SERIES:

Do not use subfields:

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

SUBJECTS:

Do not use subfields:

\$h, \$j, \$6, \$8

LC Guidelines

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411 See From Tracing–Meeting Name

NACO:

Do not use subfields:

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

NACO usage for subfield \$w is given in the LC Guidelines sections for *Tracings and References*.

SACO:

Do not use subfields:

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

SACO usage for subfield \$w is given in the LC Guidelines section for *Tracings and References*.

LC:

NAMES/SERIES:

Do not use subfields:

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

Usage for subfield \$w is given in the LC Guidelines section for *Tracings and References*.

SUBJECTS:

Do not use subfields:

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

Usage for subfield \$w is given in the LC Guidelines section for *Tracings and References*.

Local Subfield Code

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

Use local subfield \$9 to control the printing of the field in output products.

LC Guidelines

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LC Guidelines

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711 Established Heading Linking Entry–Meeting Name

NACO:

Field 711 may be supplied only by national bibliographic agencies in Name/Series authority records in consultation with LC's Cooperative Programs Section. Other NACO participants should not supply, update, or delete this field when found in Name/Series authority records.

Do not use subfields:

\$j, \$6, \$8

SACO:

Do not use this field.

LC:

NAMES/SERIES:

Do not use this field.

LC does not maintain this field.

SUBJECTS:

Do not use this field.