

## B1

### Section B. Policies and Practices

#### B1. General Principles

As defined in A3, a CONSER record is an authenticated record. While CONSER catalogers are expected to authenticate most of the records they create or maintain, they are not required to authenticate every record. Records that are authenticated must conform to the following:

##### B1.1. Bibliographic description and identification

Creation of new bibliographic descriptions are based on Resource Description and Access (RDA), the *LC-PCC Policy Statements in RDA Toolkit*, and other CONSER and PCC documentation. Guidelines for working with copy created and authenticated under earlier descriptive codes are available from <http://www.loc.gov/aba/pcc/conser/documents/WorkingWithExistingRecords.doc>. PCC practices for working with microforms and other reproductions are documented in LC-PCC Policy Statement 1.11. Records created by the U.S. ISSN Center and ISSN Canada also incorporate conventions given in the ISSN Manual.

##### B1.2. Form of name and series headings

Headings for names and series used in CONSER records are given in *RDA* form, as of the adoption of *RDA* in March of 2013.

##### B1.3. Classification and subject headings

Classification, when given, is based on standardized schemes. Subject headings, when given, are based on standardized lists. Subject headings newly input to CONSER records are at the appropriate level of specificity, are currently valid, and are properly constructed and tagged. When authenticating existing records at the CONSER standard record (CSR) level, subject headings already contained in the record are verified against a standard authority file to assure current validity and construction. The *Subject Headings Manual*, the online subject authority file, and *Free-Floating Subdivisions* are the standard tools for *LCSH*-based subject headings assigned by CONSER members. Institutions not using Library of Congress Subject Headings are not responsible for verifying LC subject headings already present on OCLC records.

##### B1.4. Content designation

CONSER records are fully MARC 21 content-designated according to Section E of the *CONSER Editing Guide*.

### B1.5. Level of records

CONSER records are created at the CONSER standard record level as specified in CSR documentation (<http://www.loc.gov/aba/pcc/conser/documents/CONSER-RDA-CSR.pdf>) or minimal level as specified in B6. The creation of CSR level records is encouraged, as resources permit. Minimal level records are generally limited to specific groups of serials that don't warrant higher level analysis.

### B1.6. Successive vs. Latest entry

CONSER records are normally created in successive entry form; however, latest entry records are acceptable under certain circumstances related to retrospective conversion. (See C10.)

### B1.7. Cooperative cataloging

CONSER records are created cooperatively; therefore, information in records created by CONSER members is accepted by other members, unless the information is obviously erroneous. When questions arise, CONSER catalogers routinely consult with one another to determine the appropriate action.

### B1.8. International resource record

Bibliographic information given in a CONSER record is a composite of all known information about a serial. This information does not necessarily reflect the holdings of any one institution. In addition, CONSER records are created so that they may be used universally. Policies and practices specific to one institution are not applied to CONSER records, nor is information given that is purely local in nature.

### B1.9. Record maintenance

CONSER members are required to maintain CONSER records as they become aware of the need. (For details, see B4.)

Related fields, etc.

A3, B4, C10.

## B2. Database Responsibilities

### B2.1. Changes

CONSER members use records on the OCLC database in a responsible manner. They may not make unwarranted changes to records that radically alter the nature or scope of the record. Nor may they make changes without adequate bibliographic evidence to warrant the change.

### B2.2. Duplicates

CONSER members may not input duplicate records, except for those allowed by the Program (see C7). CONSER members are responsible for identifying, labeling, and reporting existing duplicate records on the OCLC database so that these records may be removed.

## B3. Current Cataloging

Current cataloging is first-time cataloging for an institution and is done with piece or surrogate in hand. Current cataloging may involve creation of or maintenance of CONSER records or first-time authentication of unauthenticated records.

### B3.1. New input of original cataloging

All records newly input as part of current cataloging must be created according to *RDA* and related LC-PCC Policy Statements (see B1.1. above). Subject headings newly input meet the CONSER standard, as set forth in B1.3. For the cataloging of microforms, see Appendix M.

### B3.2. First-time authentication of an existing unauthenticated record

#### **General policies:**

- 1) Unauthenticated records must be brought into conformance with the principles outlined in B1.
- 2) Headings must conform to *RDA* and related *LC-PCC Policy Statements*.
- 3) Subject headings that are retained in existing records are verified according to the CONSER standard, as set forth in B1.3.

#### **Additional guidance:**

- 1) An existing OCLC record should not be changed to cover a different publication (e.g., a different edition, a different physical format, etc.)
- 2) Because the national bibliographic record is created and maintained cooperatively, it does not exclusively reflect practices and policies of a specific institution. Therefore, information on unauthenticated OCLC records will be accepted, as long as it is not an error in fact and is not an obvious violation of rules or *LC-PCC Policy Statements* in effect at the time it was created (see additional instructions below). The final record should reflect all known information about the serial.

- 3) In general, CONSER libraries should change the description of an *AACR2* or *RDA* record only when they have earlier issues upon which to base the description. Unless there is serious cause to doubt the validity of the data in the record, a CONSER library should accept a description based on an earlier issue than the one the CONSER library has in hand.
- 4) Generally accept the style and terminology of notes found in OCLC records, with the exception of linking entry notes. Linking entry notes should be formulated according to instructions in the guidelines in CONSER Editing Guide (CEG) – Section E. MARC 21 Format for Serials as Applied within CONSER – Variable Data Fields – 76X-78X Linking Entries – Linking Entry Fields General Information.
- 5) In general, unauthenticated records created before Dec. 1, 2002 that reflect changes now considered to be minor, according to the 2002 amendments of *AACR2*, may be collapsed when performing first time authentication. However, such collapsing should be done cautiously and should take into consideration various criteria, including:
  - Length of time that the serial bore the minor change
  - Amount of effort needed to make the changes (e.g., simple updating versus recataloging)
  - Number of holdings on the records (i.e., a large number of holding libraries)
  - Whether there is a mix of CONSER and non-CONSER records that could/could not be collapsed
  - Quality and completeness of the records
  - Local policies

If a CONSER library decides not to collapse one or more records, the CONSER library would authenticate the records, as appropriate. A 588 note giving some explanation might be added if it was felt useful.

### B3.3. Modification of a previously authenticated record

The cataloger determines whether changes in the serial warrant changes to the record, according to the policies outlined in B4. Some changes may not be made directly by CONSER members to authenticated records, but will be made by LC or NLC upon request. Refer to the following sections in the *CEG* to determine what changes are allowable and/or the associated notification requirements:

- C3. Modifications to LC-Authenticated Records
- C7. Duplicate Records
- C8. Record Consolidation/Separation
- C9. Converting Pre-*AACR2* Records to *RDA2*
- C11. Surrogates

## C12. Canadian/NLC Records

### B4. Record Maintenance

Record maintenance is the process of ensuring the continued authoritativeness of a CONSER record through additions, changes, or deletions:

- 1) To correct obvious errors;
- 2) To reflect changes in the publication, or;
- 3) To reflect changes to policies and practices used within CONSER for the bibliographic control of the publication.

Record maintenance may occur during first-time cataloging of the title, when a CONSER record is found on OCLC, during the cataloging of records for related titles, when changes are noted during check-in of pieces, and so forth. For instructions on when to claim maintenance credits, consult C13.

The degree to which a record is changed may depend on the activity that the cataloger is performing, the availability of information, and the record's encoding level. The action taken may involve making the change on the CONSER database or notifying LC or LAC of the desired change, as instructed in Section C.

In the instructions that follow, particular actions are identified as:

<b>[M] MANDATORY</b>	Action must be performed in the given situation.
<b>[R] REQUIRED IF AVAILABLE</b>	Action is performed when the information is readily in hand
<b>[O] OPTIONAL</b>	Action is performed at the discretion of the CONSER institution. Instructions are provided for institutions that opt to perform the necessary actions.

#### B4.1. Correcting obvious errors **[M]**

Members are responsible for correcting typographical errors and errors in content designation whenever they are encountered in a record that is or is about to be authenticated. Correct these errors wherever they occur; however, bear in mind that what appears to be an error is not always one.

245 00 Enrolment in community colleges.

[In the example, "enrolment" represents a variant spelling of "enrollment." The title is not in error.]

Members should make corrections to related unauthenticated records, particularly when not correcting the record would hinder access to that record (e.g., adding a missing \$t to a linking field, correcting the second indicator value in the title to omit searching on the initial article). Possible errors in 050 fields input by LC (second indicator = 0) should not be corrected but instead should be reported to the appropriate cataloging unit of the Acquisitions and Bibliographic Access Directorate (<http://www.loc.gov/aba/contact/>).

## B4.2. Changes in the publication

Changes in this category require maintenance to ensure that the CONSER record continues to reflect accurately the bibliographic details of a serial. Following the general instructions below is a list of MARC fields that should be added, changed, or deleted as appropriate to the situation. Specific instructions for making changes are found in Sections C and E of the *CEG*.

### B4.2.1. Major and minor title changes [M]

Changes of this type may or may not result in the creation of a new record. For conditions under which changes of this type do not result in the creation of a successive record, see , , *RDA* instructions and related LC-PCC Policy Statements 2.6.1.4, 2.3.2.12.2, 2.3.2.13, and - 6.27.1.9.

#### 1) Changes resulting in the creation of a new record [M]

When a change in main entry heading and/or title proper results in the creation of a new record, the existing record must be closed off by making changes to the following data elements, as appropriate:

008/06	Publication status code [M]
008/11-14	Ending date of publication [M]
260 or 264	Publication information of later/last issues [R]
300 \$a	Extent of item [O]
362	Designation of last issue or note relating to last issue [R]
588	Update "latest issue consulted" note with the designation of the latest issue consulted or the last issue, if available [R]
580/785	Linking entry (and, when available, control numbers) of later record(s) [M]

Refer to **CCM 21.3 for more information on closing serial records.**

#### 2) Changes resulting in revision of the existing record [M]

When a change in the publication pertains to data in the main entry heading and/or title proper, but the change does not result in the creation of a successive record, revise the existing record as follows:

- a. Changes pertaining to title authorized access point:

When a serial is entered under a title authorized access point qualified by place of publication, and the place of publication changes, record the new place of publication in an additional 260 field or 264 field. Change the fixed field Country of Publication code (008/15-17) to reflect the new place of publication. (For instructions on changing the place of publication when "backing-up" records, refer to *CCM* 21.10.)

When a serial is entered under a title authorized access point qualified by corporate name, and the corporate name changes, create a new successive record and close-off the existing record as in 1) above.

- b. Changes pertaining to the title proper:

Make a general or specific note (fields 246 or 500), as appropriate, about changes in the title proper that do not result in the creation of a successive record. If important for access, make an added entry (field 246) for the later title(s).

500 ## Order of titles varies.  
[No new added entry needed]

500 ## English title precedes German title on title page, 1986-  
[No new added entry needed]

245 00 Year-book / \$c the Royal Society.  
246 1# \$i Vols. for 1981- have title: \$a Year-book of the Royal Society  
245 00 Archiv fuer Bibliothekswissenschaft.  
246 1# \$i Some issues have the title: \$a Archive für Bibliothekswissenschaft

#### B4.2.2. Changes affecting other access points

- 1) Title variations other than title proper (246) **[R]**  
Record any significant additional titles (other than title proper) found on earlier/later issues.

- 2) Series (490/8XX) **[R]**

When no series added entry is being included, transcribe the series statement, using the 490 field. Document changes in the series statement over time in 490 fields on the bibliographic record. When a series added entry is being included, provide the series heading in the 8XX field. Establish new, or update existing, series authority record(s) in the Library of Congress/NACO

Authority File (LC/NAF) as necessary. Record variant forms of the series title in the authority record.

3) Responsible entities (7XX/550) **[R]**

Trace any bibliographically significant entities associated with earlier/later issues (700, 710-711, 730), and optionally describe their significance in a note (500 or 550). If there is no name authority record for the new heading in the authority file, and the bibliographic record contains authentication codes "pcc", "lc", "lcd", "lccopycat," or "nlc" in field 042, complete the authority work for establishing the heading in the LC/NAF.

Also make a title added entry for a significant related work (730 or 740). A 730 may be made based on the existence of an AACR2 or *RDA* bibliographic record when an authority record is not available (RDA and LC-PCC Policy Statement 25.1.1.3).

4) Preceding/succeeding entries (780/785) **[M]**

Make links both to and from preceding/succeeding records (780/785/580).

5) Other linking entries (765-777/787/580) **[O]**

Record all changes in bibliographically significant relationships to other publications as required by the applicable *RDA* instructions and LC-PCC Policy Statements. Make links both to and from related records (765-787/580) and give added entries when appropriate (700-730).

6) Subject fields (600-651, 043, 008/24-27) **[R]**

Expand or modify subject headings, geographic area codes, and fixed field contents codes to reflect obvious changes in the scope of a publication. (See also *CCM* 15.6, "Modifying Subject Headings.")

B4.2.3. Other changes

1) Subscription data (037) **[O]**

If the subscription data is no longer valid, it may be updated or deleted.

2) Frequency data (310 **[R]**, 321 **[O]** 008/18-19 **[R]**)

If current frequency is known to differ from data in fields 310 and 008/18-19, change tag 310 to 321, add a new 310 field, and update fixed field 008/18-19 to reflect the new 310. Add relationship dates, when known, in subfield \$b of both fields 310 and 321. Prefer to leave existing 321 fields on an existing record, even if more than three.

3) Add publication patterns data, as appropriate.

B4.2.4. Changes to pre-*AACR2* records



Headings in pre-AACR2 records should be updated to currently valid forms. Otherwise there are three basic options for updating the record to reflect changes that don't require a new record under currently cataloging instructions:

- 1) Enter data using rules in place at the time. It should be noted especially that, for pre-AACR2 records, the bibliographic description is based on the latest available issue rather than on the earliest.

OR

- 2) Enter data using CSR guidelines without changing the Leader 18 i.e. update the record but do not change the descriptive cataloging code from blank. Add field 588 "Latest issue consulted" to reflect the issue in hand (the issue showing recent changes).

OR

- 3) Re-describe serial using RDA/CSR guidelines.

**Rule of thumb:** Re-describe using RDA/CSR if updating the record according to pre-AACR2 rules would make the record uninterpretable; if the serial cannot otherwise be distinguished from another serial; or if earlier code would require a new manifestation record and the current code would not.

#### B4.3. Changes in cataloging codes, LC-PCC Policy Statements, subject analysis, or CONSER practice

One of the central innovations of CONSER as a cooperative program has been the authentication procedure, whereby the bibliographic description and access points in a catalog record are verified as being in conformity with CONSER bibliographic conventions and agreed-upon practices. In general, an authenticated record should not be updated merely to reflect changes in cataloging codes or CONSER practice. Usually, an authenticated record will continue to serve the purposes of CONSER even though the rules and/or rule interpretations under which it was constructed have been superseded. The instructions below (B4.3.1 through B4.3.5) address some of the instances where this is not the case.

The 2002 AACR2 rule revisions carried over to *RDA* and *LC-PCC Policy Statements* contain the concept of major and minor changes for deciding when to create a new record. These include instructions for changes in title, edition statement, and numbering that affect the number of records needed. They also include instructions for the transcription of the title proper that differ from instructions in place prior to 2002. Generally, CONSER libraries do not modify the title or consolidate CONSER authenticated records that were created under the provisions in place

before the 2002 revisions were adopted. Other changes introduced by the 2002 revision that are a matter of style or punctuation may be made at the discretion of the cataloger. (For changes to unauthenticated records, see B3.)

#### B4.3.1. Pre-*AACR2* vs. *RDA* authorized access points

The criteria according to which a serial is determined to have changed its title (or authorized access point) differ between pre-*AACR2* and *RDA* instructions. When a change occurs in a serial represented by a pre-*AACR2* record, and that change would necessitate a successive entry as cataloged under pre-*AACR2* rules, but not as cataloged under *RDA* instructions, update the record to *RDA*.

#### B4.3.2. Consolidating multiple pre-*AACR2* records into a single *RDA* record

When a serial entered under a name heading according to earlier rules must be updated because the responsible entity has changed (while the title proper has remained the same), if *RDA* instructions call for a title authorized access point or a title authorized access point with place of publication as qualifier, update the record to *RDA*.

If other pre-*AACR2* successive records exist for earlier changes in the main entry heading, and the title proper has stayed the same, then these records should be consolidated with the revised *RDA* record. (See C8.2)

For restrictions on consolidating LAC or ISSN Canada records, refer to C8.1.2.

#### B4.3.3. Revising the choice/form of entry of *AACR2* records to reflect *RDA* instructions

In most instances it should not be necessary to alter substantially the description of *AACR2* records to reflect changes in *RDA* instructions. If, however, the change involves main entry, and it would necessitate successive entries according to the rules and rule interpretations under which the record was created, but not according to current *RDA* instructions and LC-PCC Policy Statements, update the description to reflect current *RDA* instructions. .

130 0# International relations (Central Connecticut State College)  
[Name of college changes to Central Connecticut State University]

This record was created under earlier *AACR2* based practices, by which titles consisting solely of subject terms were qualified by corporate body. The current instruction in LC-PCC Policy Statement 6.27.1.9 for making additions to authorized access points does not include this requirement. To avoid making a new record, change the qualifier to place of publication.

130 0# International relations (New Britain, Conn.)  
550 ## Vols. for <1968-> issued by: Central Connecticut State College; <1987-> by: Central Connecticut State University.

B4.3.4. Revising the description of *AACR2* and *RDA* records based on the issue in hand  
When an *AACR2* CONSER or *RDA* CONSER record is based on a later issue and a CONSER member has the first issue in hand, the member "backs-up" the record to reflect the first issue, updates the "description based on" note and adds a "latest issue consulted" note, as appropriate. This may also be done when an earlier issue, but not the first, is in hand and the issue reflects information that is different from that given on the CONSER record (but that would not result in the creation of a new record). (See also C3.) In general, do not "back up" records solely to record an earlier issue in the "Description based on" note. (See also *CCM* 21.10. For first time authentication, see B3.)

If a CONSER *AACR2* or *RDA* record is based on an earlier issue and another CONSER member performing copy cataloging has only a later issue, the serial should not be re-described. Any changes appearing on the later issue and the "latest issue consulted" should be noted in the record, as appropriate. (For first time authentication, see B3.)

See additional guidelines for deciding when to convert existing records to *RDA* at:  
<http://www.loc.gov/aba/pcc/conser/documents/WorkingWithExistingRecords.doc>

B4.3.5. Revising subject analysis fields to reflect current practice  
CONSER members may make changes to subject analysis fields that clearly do not correlate with the subject matter of the publication. Data should be removed from records only when clearly incorrect, not just when a matter of judgment on predominant subject emphasis. When there is doubt, fields should not be changed.

1) Subject headings.

The cataloger adds, changes, or deletes subject headings to reflect vocabulary changes in standard subject heading lists as well as heading and subdivision assignment practices in such source documents as *Subject Headings Manual*, MeSH Browser, Canadian Subject Headings (CSH) on the Web, etc. Redundant, largely duplicate fields should be removed from a record (although subject headings assigned from different lists are not considered duplicates).

2) Classification.

The cataloger adds, changes, or deletes classification fields to reflect additions and changes to standard classification schemes. A clear exception to this is a call number assignment by a national library; in this case, an updated class number may be added to the record in a separate field according to the guidelines in Section E.

B4.4. Changes to MARC 21 coding

Changes to MARC 21 coding are issued in the *MARC 21 Format for Bibliographic Data* and may have resulted from the implementation of format integration or from the ongoing revision of MARC 21. Some changes to records are automatically generated by OCLC as part of implementation of the new coding while others are left to catalogers to make when revisiting the records. CONSER policies for maintaining specific fields are noted at the end of the field in a section labeled "CONSER maintenance."

In general, making changes to variable fields is optional. For example, a 500 note that now could be recorded as 246 \$i can be converted if desired, but this is not required. Similarly, in some of the linking fields, \$i could be used instead of 580/530 notes for displaying text. However, catalogers should move the latest issue consulted citation in the 936 to a 588 note when making changes to a record (but be careful not to delete other data that might be recorded in the 936).

Making changes to fixed fields is necessary, at least in some cases. For example some legacy records for integrating resources that are predominantly language type material were coded type of record code = a, bibliographic level = m when they were created. These records may be changed to reflect the appropriate bibliographic level "i." The record may be reported to OCLC or the fixed fields may be changed by the cataloger.

Related fields, etc.

B3, B4.3.1-B4.3.5, C3, C8.2; CCM 15.6, 21.3, 21.10.

## **B5. Retrospective Conversion**

Retrospective conversion involves the online input of records (generally without piece in hand) for serial titles that have been previously cataloged by a CONSER member and for which a CONSER record in OCLC does not exist. All newly input records must meet the minimum requirements for a minimal level record (see B6). The need to input records will be determined by the presence or absence of records on the database. For the treatment of latest entry records, see C10.

When an issue is not consulted in the process of converting the manual record, input value "1" (cataloging without piece in hand) for the encoding level.

### **B5.1. Conversion of previously existing cataloging, record newly input to database**

- 1) Description is input as found.
- 2) Name/series headings must be in *RDA* form. If headings are not in *RDA* form, the record cannot be authenticated.
- 3) Topical subject headings, if present, must be currently valid.

B5.2. First-time authentication of an existing record

- 1) Description is modified as necessary.
- 2) Name/series headings must be in *RDA* form. If headings are not *RDA* from the record cannot be authenticated.

B5.3. CONSER (authenticated) record found

Record is accepted as found (no maintenance required).

B6. CONSER Record Requirements: CONSER Standard Records and Minimal Level Records

The CONSER Standard Record (CSR) <http://www.loc.gov/aba/pcc/conser/documents/CONSER-RDA-CSR.pdf> is a combination of *RDA* “Core,” *RDA* “Core if,” “PCC Core,” and “PCC Recommended” elements applicable to textual serials in various formats. Specific instructions have been included where appropriate for describing rare serials. Instructions in the *RDA* CSR should be read in conjunction with the *LC-PCC Policy Statements* (LC-PCC PSs) that are integrated into the *RDA* Toolkit. When describing online resources, catalogers should also consult the *PCC RDA* Provider-Neutral guidelines. Modules of the CONSER Cataloging Manual (CCM) should be consulted for specialized formats such as Module 30 for direct access computer file serials, Module 31 for online serials, Module 32 for microform serials, Module 33 for newspapers, Module 34 for legal serials and Module 35 for integrating resources.

The creation of CSR level records is encouraged, as resources permit.

Minimal Level Records

CONSER records with the Leader 17 Encoding level 7 identify CONSER minimal level records. This level indicates a record containing all elements specified as mandatory for minimal level cataloging in the *MARC 21 Format for Bibliographic Data*. The salient feature of records with encoding level “7” is that subject headings are not likely to be present. Minimal level records are generally limited to specific groups of serials that don't warrant higher level analysis.

Descriptive elements are included according to the CONSER Standard Record, *RDA* and the LC-PCC Policy Statements.

Name headings are checked in the NAF. If present, the authorized heading is used. If not present, the heading is constructed according to *RDA*, but an authority record need not be submitted to the NAF. Series headings are checked in the NAF. If present, the authorized heading is used. If not present, the series is coded as 490 0 (series not traced). Field 042 is coded as “lcd” or “msc”, as appropriate (see field 042). (For LC series policy, see footnote 1.)

Subject headings are not required in new records. In adapted records, subject headings may be left as found.

Classification is not required.

The primary difference between CONSER Standard Record and minimal is that name authority work and subject analysis are not required for minimal level records. The same principle that applies to CONSER Standard Records also applies to minimal, that once a field is determined to be applicable, the contents are given according to *RDA* and the LC-PCC Policy Statements.

## B7. Integrating Resources

### **Responsibility for Cataloging Integrating Resources**

According to a PCC policy decision made in 2002, responsibility for the authentication and maintenance of records for integrating resources is shared by both CONSER and BIBCO members. **Linking Between Resources**

PCC members use linking entry fields to show bibliographic relationships between integrating resources, serials, and monographs, per *RDA* chapters 24-28.

### **Documentation in the CEG of Fields Related to Integrating Entity**

The guidelines for identifying and coding records for resources cataloged according to integrating entry are given in the *CEG* for the convenience of catalogers responsible for cataloging all types of continuing resources. However, the complete addition of such information will occur over time. Fixed and variable fields that have not been included in this update to incorporate integrating resources will be included in later updates as needed. Information about integrating entry and coding of integrating resources is found in the following areas of the *CEG*:

Information	Section of the CEG
Identification of records created according to integrating entry: integrating resources and serials that don't retain earlier titles	C10
Interim practice for coding records created according to integrating entry, until bibliographic level code "i" is implemented	Fixed field lengths, general information
Linking guidelines	Linking entry fields, general information
Record example	Appendix N

