

# B

## Policies and Practices

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## Revision History

Last updated November 2024

## B1. General Principles

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 CONSER standards.

### B1.1. Bibliographic description and identification

- Creation of new bibliographic descriptions are based on Resource Description and Access (Original RDA), the LC-PCC Policy Statements in the Original 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 in CONSER records should be made according to the guidance in Original RDA, the NACO Participants Manual, and the LC Guidelines Supplement to the MARC21 Format for Authority Data.

### B1.3. Classification and subject headings

When assigning class numbers to serials, use the Library of Congress Classification (LCC), Dewey Decimal Classification (DDC) or other classification schemes.

When assigning subjects to serials, use the Library of Congress Subject Headings (LCSH), Library of Congress Genre/Form Terms (LCGFT) or other controlled vocabularies. For guidance on assigning LCSH consult the *Subject Heading Manual*; for LCGFT, use *Library of Congress Genre Form Terms Manual*.

When authenticating existing records at the CONSER standard record (CSR) level, verify that the subject headings exist in the LCSH authority file. 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

The standard encoding scheme for CONSER records is MARC21 format. Guidance on MARC fields can be found at the Library of Congress MARC Standards pages for bibliographic, authority, holdings, and classification formats. (see <https://www.loc.gov/marc/>) The CONSER Editing Guide (CEG) also gives instruction for the MARC fields used in serials cataloging. Please note that the CEG is being updated and parts of it are out of date.

### B1.5. Level of records

CONSER records are created according to the CONSER Standard Record (CSR) RDA Metadata Application Profile. (see <https://www.loc.gov/aba/pcc/conser/documents/CONSER-RDA-CSR.pdf>) or minimal level. Prefer creating CSR level records to minimal level records.

### 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 CEG Section 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. Hence, 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 CEG Section A3 CEG Section C10)

## B2. Database Responsibilities

### B2.1. Changes

CONSER members use records in 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 or changes without adequate bibliographic evidence to warrant the change.

### B2.2. Duplicates

CONSER members may not input duplicate records, except for those allowed per CEG Section C7). CONSER members are responsible for identifying, labeling, and reporting existing duplicate records for removal in OCLC.

## B3. Cataloging

Cataloging is done with piece or surrogate in hand. Cataloging may involve the creation or maintenance of CONSER records or first-time authentication of unauthenticated records.

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

All records new must be created according to Original RDA and related LC-PCC Policy Statements. Subject heading assigned to new records must meet the CONSER standard, as set forth in B1.3. For the cataloging follow LC-PCC Policy State 1.11.

### 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 Original RDA and related LC-PCC Policy Statements.
3. Subject headings that are retained in existing records are verified according to the CONSER standards.

#### 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 should not reflect local practices and policies of a specific institution.
3. Information on unauthenticated OCLC records will be accepted, unless there are errors or is in contradiction to CONSER policies, Original RDA, or LC-PCC Policy statements. The final record should reflect all known information about the serial.

4. In general, CONSER libraries should change the description of an AACR2 to an Original RDA record only when they have earlier issues than those given in the record. 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.
5. 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 MARC21 bibliographic format and as instructed in the CSR.
6. 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 libraries that have holdings on the record
  - 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 CEG, Sections C3, C7, C8, C9, C11, and C12 to determine what changes are allowable and/or the associated notification requirements:

## B4. Record Maintenance

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

- To correct obvious errors
- To reflect changes in the publication, or;
- 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.

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 CEG Section C.

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

[M] MANDATORY - Action must be performed in the given situation.

[R] REQUIRED IF AVAILABLE - Action is performed when the information is readily in hand

[O] OPTIONAL - 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.

Example 1: The spelling of enrolment appears on the title page and represents a variant spelling of enrollment.

```
245 00 Enrolment in community colleges.
```

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

## MARC 21 data elements

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

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:

- 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 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.

- 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).

## Example 1: A note when a new added entry is not needed

## MARC Record

```
500 ## $a Order of titles varies.
```

## Example 2: Another scenario of a note when a new added entry is not needed

## MARC Record

```
500 ## $a English title precedes German title on title page, 1986-
```

### Example 2: An added title field note

#### MARC Record

```
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 Original RDA bibliographic record when an authority record is not available (Original 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 Original 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

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 standards under which it was constructed have been superseded.

The 2002 AACR2 rule revisions carried over to Original RDA and LC-PCC Policy Statements contain the concept of major and minor changes for deciding when to create a new record. 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.

### B4.3.1. Pre-AACR2 vs. Original 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 Original 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 Original RDA instructions, update the record to Original RDA.

### B4.3.2. Consolidating multiple pre-AACR2 records into a single Original 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 Original 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 Original 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 Original RDA record. (See CEG Section C8.2)

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

### B4.3.3 Revising the form of entry of AACR2 records to reflect Original RDA instructions

In most instances it should not be necessary to alter substantially the description of AACR2 records to reflect changes in Original RDA instructions. If, however, the change involves an authorized access point 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 Original RDA instructions and LC-PCC Policy Statements, update the description to reflect current Original RDA instructions.

Example 1: Example of the original authorized access point with the qualifier, Central Connecticut State College.

MARC Record

```
130 0# International relations (Central Connecticut State College)
```

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.

Example 2: This example shows the change that will be made to the original authorized access point (given in Example 1) as a result of the change of name from Central Connecticut State College to Central Connecticut State University.

MARC Record

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

```
<1987- > by: Central Connecticut State University.
```

#### B.4.3.4. Revising the description of AACR2 and Original RDA records based on the issue in hand

When an AACR2 CONSER or Original RDA CONSER record is based on a later issue and a CONSER member has the first issue in hand, change the record to reflect the first issue, update the "description based on" note and add 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 CEG Section C3.) In general, do not change records solely to record an earlier issue in the "Description based on" note. (See also CCM 21.10. For first time authentication, see CEG Section B3.)

If a CONSER AACR2 or Original 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.

#### 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.

The instructions for assigning LC subject headings are found in the *Subject Headings Manual* (SHM). Catalogers may choose to use LC Genre/Form terms instead of or in addition to the LCSH form subdivision \$v. Instructions for assigning LCGFT are found in the *Library of Congress Genre/Form Terms Manual*.

If a CONSER member decides to assign new subject headings to a record, this may trigger a change in the classification. Instructions for assigning class numbers are found in the *Classification & Shelving Manual* (CSM). Consult the CONSER cataloging community when changing classification numbers on a record as this will impact libraries' shelf list.

#### 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.

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, 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.

Making changes to fixed fields may be necessary. 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. Current MARC21 Leader coding for integrating resources is bibliographic level "i."

## B5. Retrospective Conversion

Retrospective conversion is the cataloging of serials (generally without piece in hand) for which a CONSER record in OCLC does not exist. All newly input records must meet the minimum requirements for a minimal level record.

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 come from the LC Name Authority File (NAF) or created according to Original RDA standards and the NACO Participants Manual.
3. Subject headings must come from the Subject Authority File and changed or created according to the *SHM*.

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

1. Description is modified as necessary.
2. Name/series headings must come from the LC Name Authority File (NAF) or created according to Original RDA standards and the NACO Participants Manual.

## B5.3. CONSER (authenticated) record found

The 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 Original RDA “Core,” “Core if,” and “PCC Core,” and “PCC Recommended” elements applicable to textual serials in various formats. CSR also includes guidance for describing rare serials.

Catalogers should also consult Provider-Neutral E-Resource MARC Record Guide: P-N/RDA Combined Version and appropriate Modules in the CONSER Cataloging Manual (CCM).

Minimal Level 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 should be limited to serials that don't warrant higher level analysis.

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

Name/series headings must come from the NAF. If a name authority record (NAR) is not found, create one according to Original RDA Standards. If a series authority record (SAR) is not found, the series is coded as 490 0 (series not traced). Field 042 is coded as “pcc” or “msc”, as appropriate.

Subject headings are not required in minimal level records. Classification is also 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.

## B7. 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.

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

The guidelines for identifying and coding records integrating resources are given in the CEG for the convenience of catalogers responsible for cataloging all types of continuing resources. Information about integrating entry and coding of integrating resources is found CEG Section C10 and CEG Appendix N.