

C2. Participant Authentication

C2.1. General procedures

CONSER members have been authenticating their own records since 1984. Participant authentication begins with the review of the contents of a record. All essential elements must be present in the record (as determined by the level of cataloging expressed in the encoding level). These elements must be technically correct, adhering to the appropriate rules, interpretations, and coding guidelines. The record as a whole must also conform to the agreed-upon practices outlined in this manual.

CONSER authenticates serial records and, from July 2007, together with BIBCO libraries, also creates and maintains records for integrating resources (see CEG B7).

All CONSER members must also verify the authoritativeness of all name and series authorized access points used in the record. While authoritative headings are not mandatory for minimal level records, all headings must be searched against the LC/NACO Authority File on OCLC and must be used in RDA form.

Once the review of the record is complete, certain data elements which are required to identify the record as a CONSER record for purposes of record selection and distribution are added and/or changed. The identifying elements are an LC control number (field 010) and a CONSER authentication code (field 042) of "pcc" ("lcd" if authenticated before May 2009), or "msc". Once a record has been authenticated by a CONSER member with an authentication code of "pcc," it is not further authenticated by another CONSER member but may be modified/updated as necessary. For online modifications that may be made to LC-authenticated records, see C3 or for LAC-authenticated records, see C12.

CONSER members do not have to authenticate every record they create. They may exclude certain records from CONSER, or they may request additional assistance in order that the record be properly authenticated (e.g., the necessary language expertise not resident within the institution). In such cases, surrogates are sent to LC or another CONSER member, as appropriate.

Surrogates are also sent to LC to substantiate requests for revision or corrections that cannot be made by CONSER members (see C3). For instructions on submitting surrogates, see C11.

C2.2. CONSER ID elements

C2.2.1. Encoding level

When authenticating records, CONSER members use *MARC 21* encoding levels of # (for CONSER standard level) or 7 (minimal level) rather than the OCLC-defined codes (I and K). This applies to original input and authentication of existing records.

C2.2.2. Record control number

All full and associate CONSER members add an LC control number in subfield \$a of field 010 if an LCCN is not already present and the record is not previously authenticated. Cancelled, invalid, or unverified LCCNs are carried in 010 \$z. The content of the 010 \$a is especially important because it becomes the record control number (field 001) upon processing by LC. The OCLC control number is moved to the 035 field when the record is converted to *MARC 21*. For an incoming record to replace an existing *MARC 21* record in LC's local database, the records must match on both the LCCN and the OCLC Control Number. For an incoming record to replace an existing non-LC CONSER record in the CDS serials file, the records must match the LCCN and Date Entered on File (fixed field 008/00-05).

If an incorrectly input LCCN is detected in a CONSER-authenticated record, the CONSER member can consult with LC to determine how to correct field 010 so that the correct LCCN is recorded in both the OCLC, LC and/or CONSER databases. CONSER members may need to delete the incorrect record from the CONSER database prior to correcting the 010 in OCLC. Or, in the case of duplicate LCCN assignments, find out from LC which OCLC control number is paired with the LCCN in the CONSER database before the record is corrected.

Once it is clear that a new LCCN needs to be assigned to a CONSER record and that the control numbers match in OCLC and LC/CONSER, then the following steps are performed to delete the incorrect record from the LC/CONSER database and to add the record with the correct number.

- 1) DO NOT remove field 010 (the 010 \$a will be needed to issue the “delete” record)
- 2) Delete field 042
- 3) Add field 012 \$z d
- 4) Add field 936 with note indicating that a new LCCN is being assigned (e.g., “Record to be re-authenticated with new LCCN”)
- 5) REPLACE the record
- 6) DO NOT immediately correct or assign a new LCCN on the same day; **wait until the next business day (i.e., Monday-Friday) to make changes to field 010.** (For example: If the 042 is removed on a Friday, the corrected or new LCCN may not be added to the record until the following Monday.) It is very important to observe this step especially for transactions that span a weekend.
- 7) Change or add new LCCN **on the next business day (i.e., Monday-Friday)**
- 8) Add field 042
- 9) Remove fields 012 (\$z d) and 936
- 10) REPLACE the record

Once the correct LCCN has been assigned to the CONSER record in OCLC, a cataloger can then make additional changes, as needed.

CONSER members may also receive an emailed error report from an LC staff member, that indicates an LCCN was input in field 010 in OCLC that is already assigned to a different OCLC control number in LC/CONSER. This situation does not generally require the deletion of a record, but may be resolved by inputting a new LCCN in field 010 subfield \$a of the record in error.

CONSER members should consult with the CONSER Coordinator at conser@loc.gov if there are any questions about assigning LCCN to CONSER records, or any other problems with the distribution or conversion of the record.

C2.2.3. Authentication code

Two authentication codes are defined for use by CONSER members:

Code "pcc" is used in records in which all headings are established, i.e., backed by RDA-coded records in the LC/NACO Authority File, and in records for which no controlled name/series headings are appropriate.

Code "msc" is used in records for which one or more name headings are not established; all headings in the records, nonetheless, must be constructed in accordance with *RDA* provisions.

CONSER members may add or change the 042 code in the following records:

- 1) Records originally input.
- 2) Existing unauthenticated records.
- 3) Existing records authenticated with only a code of "nsdp" and prepublication records with only a code of "msc." (See C6. "Prepublication Records and ISSN for U.S. Imprints".)
- 4) Existing records authenticated as "msc" when the institution is establishing the headings and changing the code to "pcc".
- 5) Records with an 042 code of "xlc". In some cases, especially with conference publications, a CONSER member may wish to authenticate such a serial record and add "pcc" before the "xlc".
- 6) Records with code "xnlc" may be authenticated by CONSER members by adding "pcc" or "msc" before the "xnlc" code.
- 7) Records with code "dlr" which identify records created according to the Registry of Digital Masters Record Creation Guidelines

CONSER members may not add an 042 code to the following records:

- 1) All records authenticated with an 042 code of "pcc" or "nlc". (These records are already authenticated at the highest level; "pcc" records may, however, be modified per C3.)

C2.2.4. Holding institution code

When authenticating records, CONSER members may also report whether they hold the publication by recording their institution symbol in field 850. The reporting symbols are given

in the form of the *MARC 21* codes found in *MARC Code List for Organizations*, maintained by the Library of Congress. Prior to 2000, these holding institutions were also listed in New Serial Titles. Since the publication *New Serial Titles* ceased with the 1999 subscription year, CONSER members are no longer required to add 850 codes. (LC continues adding "DLC" in field 850 for titles in its collection).

For more information, see fields 850 and 012 \$i.

C2.3. Name authority procedures relative to participant authentication

CONSER libraries submitting name authority records should code the bibliographic record "pcc" even though there will be a slight lag before their submissions appear in the LC/NACO Authority File. If the suggested form of name is not accepted, the CONSER Participant will be so informed and must make corrections to the respective bibliographic records. For further instructions, see C4.

C2.4. Summary guidelines

C2.4.1. CONSER standard level cataloging is being performed

1. Assumptions:
 - a. Records will contain all necessary fields required for a CONSER standard level record as stated in the *CEG*.
 - b. Records will contain all necessary name headings
 - c. Name and series headings are or will be established in the LC/NACO Authority File (042 = pcc), or no headings required (042 = pcc).
 - d. Subject headings will appear in the record when appropriate and have been verified as to validity and construction
2. When creating original records:
 - a. Encoding level = #
 - b. 010 = LC control number
 - c. 042 = "pcc"
3. When adapting existing unauthenticated records:
 - a. Encoding level: change I, K, L, or M to #
 - b. 010 = LC control number. If an unverified 010 field is present in the record, move the number to subfield \$z.
 - c. 042 = "pcc"
4. When further authenticating already authenticated records (permissible only for "nsdp" records, minimal level records, or "lccopycat" records)
 - a. Encoding level:
 - 1 - Upgrade to # if modifying cataloging based on piece in hand
 - 7 - Upgrade to #
 - 8 - See C6.1. If update is permissible, upgrade to #. If update is not permissible, do

- not change record in any way; notify ISSN Section the agency at LC responsible for assigning prepublication ISSN.
- b. 010: A control number should already appear in the 010 field; do not change or add another number.
 - c. 042: Code "pcc" or "msc" should be present in ISSN Section records; change "msc" and "lccopycat" to "pcc" in ISSN Section, minimal level records, and "lccopycat" records.
 - d. 050: If present in the record, do not change or remove

5. If record already authenticated with "pcc" is found:

These records are not further authenticated by CONSER members. However, changes can be made to the record to reflect changes in the publication itself (cf. C3). No changes are made to fields 010, 042, 050, or the encoding level in an LC authenticated record. See these fields for additional instructions.

C2.4.2. Minimal level cataloging is being performed

- 1) Assumptions
 - a. Records will contain all necessary fields required for a minimal level record as stated in the CEG.
 - b. Record may or may not contain name headings.
 - c. Name/series headings used may be established in LC/NACO Authority File (042 = pcc) or not established but in RDA form (042 = msc); or no headings (042 = pcc).
 - d. Subject headings may or may not appear in the record; for records created after 1994, subject headings have been verified as to validity and construction.
- 2) When creating original records:
 - a. Encoding level = 7
 - b. 010 = LC control number
 - c. 042 = "pcc" or "msc" (as appropriate)
- 3) When adapting existing unauthenticated records:
 - a. Encoding level: K, L, M - Change to 7; I - Change to # and consider adapting at CONSER standard record level.
 - b. 010 = LC control number. If an unverified 010 field is present in the record, move the number to subfield \$z and assign a new LCCN to subfield a.
 - c. 042: Use "pcc" or "msc" (as appropriate)
 - d. 050: If present in the record, do not change or remove
- 4) When further authenticating an already authenticated record (permissible only for "nsdp" records, minimal level records, or "lccopycat"):
 - a. Encoding level: change as follows:

- 1 - Upgrade to # if modifying cataloging, based on piece in hand
 - 7 - Leave as is
 - 8 - See C6.1. If update is permissible, upgrade to #. If update is not permissible, do not change record in any way; notify ISSN Section.
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- b. 010: An LC control number should already be in the record; do not change or add another number
 - c. 042: A code of "pcc" or "msc" should be present in ISSN Section records; if minimal level work is being done, no change should be necessary
 - d. 050: Do not change or remove

Related fields and documentation

A4, B7, C1, C3, C4, C6, C11, C12, Leader/17, 010, 042, 050.