

D8.1. CIP Workflow (Pre-Publication Stage)

D8.1.1. CIP Division

The CIP Division does the following:

- a. Receives a title page and usually other front matter, along with the appropriate completed cataloging data sheet in triplicate, directly from the publisher. The publisher retains one copy.
- b. Prepares material for cataloging by dating the cataloging data sheet in upper right margin and adding the division code (initial letter plus zero) of the division to which the material is being forwarded. Ignore blue "IIs"; they merely indicate that no text accompanied the front matter that was received. The material may also be designated as "Rush" or "Hand Carry." Completes the pack of materials with a slip indicating CIP priority one. May also add "Selected for Annotated Card" slip (form 68-25) if appropriate (see DCM D6).
- c. Prepares a CIP in-process record in the IBC file that includes the title proper and imprint data and ISBNs taken from the CIP data sheet; includes a 955 discharge to the *specific* cataloging division to which the material is being forwarded ("to J0 [date]"); the notation indicating the cataloging division consists of the letter of the division code plus zero.
- d. Removes the pink carbon copy of the data sheet for statistical purposes.
- e. Forwards the material to the appropriate division for cataloging.

D8.1.2. Descriptive cataloging stage

The descriptive cataloger does the following:

- a. Charges the CIP materials on the day of receipt. Verifies that the materials include a usable title page and that the projected publication is in scope for the CIP program (see DCM D8.7 (Appendix 1)); if not, returns the materials to the CIP Division with a "CIP Problem Routing Slip" (form 6-122; see Example 1). Discharges and forwards materials as follows:
 - 1) all books on music to the music teams, SMCD.;
 - 2) all micropublications (initial publication is via microform) and all printed guides meant to accompany microfilm collections to the Computer Files/Microforms Team, SMCD;
 - 3) all atlases to be classed in G1000-G3122 to Geography & Map Division.

After searching, returns duplicates or issues (see LCRI 1.0) under cover of a CIP Problem Routing Slip indicating the LCCN of the existing record.

- b. Since the CIP Division does no searching, the cataloger searches the LCDB to determine whether the CIP in-process record for the title being cataloged is unique. If the cataloger discovers
 - 1) a Pre-Assigned Card Number (PCN) in-process record (see DCM B5.8 (Appendix 3) for a description of the PCN in-process record) or
 - 2) another CIP record or
 - 3) any other record for the title or
 - 4) a record for another issue (see LCRI 1.0)

the cataloger returns duplicates or issues and all materials to the CIP Division under cover of a CIP Problem Routing Slip indicating the LCCN of the existing record. The CIP Division resolves the problem and determines which record should be used for the title.

Otherwise, the cataloger, using the CIP in-process record, completes the descriptive cataloging. The cataloger does not review the imprint data from the cataloging perspective, i.e., to determine whether the data reflect AACR2 conventions. The cataloger does, however, review the imprint data from the perspective of accuracy, i.e.,

- 1) minimally, to ensure that the place and publisher recorded in the CIP in-process record are the same as those given on the CIP data sheet; optionally, the cataloger may make any adjustments judged appropriate to reflect more nearly the imprint data provided in the galley;
- 2) to address any adjustments needed in response to running the Record Validator program.

The cataloger limits the review of the ISBNs supplied by the CIP Division to ensuring that the ISBNs given on the data sheet are also included accurately in the CIP in-process record.

For added volumes, see DCM C12.4. When cataloging analyzed multipart items, which consist of a collected set record as well as analytics, adds a reminder to the CIP verifier in a 952 field in the record for each analytic also to update the collected set record as well as the analytics. Also adds a 952 field (cf. DCM B9) giving information on the number of parts which will complete the set, if available.

Sometimes when a galley for juvenile material is submitted for CIP cataloging, the publisher has not yet determined who the illustrator will be. In some cases the title page simply omits any mention of an illustrator. In other cases it might say something like "illustrator T/K" or "TK" or "tk," meaning "to come." In such cases the cataloger returns all materials to the CIP Division under cover of a CIP Problem Routing Slip. The

cataloger checks the "Other" box and indicates the "tk" condition, e.g., "t.k. on t.p." The CIP Division will determine whether an illustrator is available. If not, the CIP Division will also determine whether to complete the cataloging without mentioning an illustrator.

- c. Determines whether the item undergoing CIP cataloging should be rejected for LC's collections according to the guidelines stated in DCM D8.8 (Appendix 2).
- d. Transfers the materials for subject cataloging according to team practice.

D8.1.3. Subject cataloging stage

The subject cataloger does the following:

- a. Charges the materials and adds the information appropriate to the subject aspect (variable fields; fixed fields) to the CIP in-process record and notes the class number on the STARS slip according to team practice.
- b. Discharges and transfers the materials for shelflisting according to team practice.

D8.1.4. Shelflisting stage

The shelflister does the following:

- a. Produces a PRNT printout; adds the call number to a temporary shelflist card that is filed in the shelflist; records the complete call number on the printout.
- b. Charges the materials and adds the information appropriate to the shelflisting aspect, including the complete call number, to the CIP in-process record.
- c. Forwards the entire package to Dewey.

D8.1.5. Decimal classification

- a. The decimal classifier adds the decimal number to the printout that accompanies the CIP materials according to division practice.
- b. The input technician adds the decimal number (082 field) to the CIP in-process record according to division practice and does all other end-stage processing, including migrating the record.
- c. The complete package of CIP materials is returned to the CIP Division according to division practice.

D8.1.6. CIP technician

The CIP technician does the following:

- a. Discards the front matter.
- b. Prepares CIP data to be sent to the publisher. In the majority of cases these data are generated from the completed CIP record after it is migrated by staff in Dewey. An example follows:

Library of Congress Cataloging-in-Publication Data

Cooper, James Fenimore, 1789-1851.
The Red Rover : a tale / James Fenimore Cooper ; edited, with an
historical introduction, by Thomas and Marianne Philbrick.
p. cm. -- (The Writings of James Fenimore Cooper)
Bibliography: p.
ISBN 0-7914-0188-X. -- ISBN 0-7914-0189-8 (pbk.)
I. Philbrick, Thomas. II. Philbrick, Marianne. III. Title. IV.
Series: Cooper, James Fenimore, 1789-1851. Works. 1980.
PS1417.R3 1990
813'.2--dc19
89-31289
CIP

D8.2. Changes to Verified CIP Records (Pre-Publication Stage)

D8.2.1. General

Changes to CIP records may be requested after a CIP record has been created and the CIP data sent to the publisher. Some changes are requested by publishers during the course of preparing a book for publication while others are initiated by Library of Congress staff.

D8.2.2. Changes initiated by publishers

Publishers notify their CIP Division Publisher Liaison of pre-publication changes to the book that may affect the CIP data. CIP Technical Assistants review the requests and forward any changes which cannot be made in the CIP Division to the appropriate cataloging team under cover of the "Referral From CIP" form (Example 2). Staff in the team make changes to the CIP record according to team practice but do not apply the provisions for revision data in the 001 field (do *not* add a \$c subfield).

a. Changes by more than one unit

The change request may need to be routed through several processing units. If so, each person making a change releases the record with "go", lines through on the referral form the unit that has just made the change, and forwards the referral package to the next unit indicated on the referral form. The last designated unit re-verifies the record and returns the referral package to

the CIP Division.

b. Only one unit involved

If only one unit is involved, the unit making the change re-verifies the record and returns the referral package to the CIP Division.

D8.2.3. Changes initiated by LC staff

a. Verified CIP record

Notify the CIP Division of changes made to the following variable fields: 1XX, 240, 245, 250, 4XX, 5XX, 020, 7XX, 8XX. First check to be sure that the record is a **verified** CIP record. If so,

- 1) use the PRNT command to make a printout before doing the change;
- 2) do the change;
- 3) make another printout using the PRNT command, indicate the changes made, and sign the printout with your staff code;
- 4) forward the change package under cover of a "CIP Problem Routing Slip" to the CIP Division.

NOTE: When a change is requested by the National Library of Medicine, indicate this fact on the routing slip. If several CIP records are involved, group them by publisher under separate routing slips for each publisher represented on the records. The CIP Division sends the revised data to each publisher.

b. Unverified CIP record

If the record is unverified, check the 263 field to see if it contains "1111." If so, the book has been received and forwarded for the CIP verification/upgrade procedure (completing the cataloging and upgrading the record to a full one that reflects the book). If the book is now charged ("bk rec'd. [code] [date]"), either consult the person holding the book or follow "hold file" procedures (monitor the record until it is verified) according to team practice.

D8.3. National Library of Medicine (NLM) CIP Data

As a rule, staff doing descriptive cataloging are not involved with the CIP cataloging of biomedical titles that are in scope for NLM.

D8.4. CIP Added Volumes at the Pre-Publication Stage

These materials are cataloged in a manual mode, i.e., they are not done online. See DCM C12.5.4.1 for detailed instructions.

When the CIP added volume package reaches the CIP Division, a CIP technician uses the information supplied to type CIP data to send to the publisher for printing in the published book (Example 3).

D8.5. CIP Verification/Upgrade (General)

D8.5.1. Definition/terminology

The process of checking an item against its counterpart CIP record and completing the cataloging is called "CIP verification"; the process of adjusting the record to reflect the item in all aspects and changing the encoding level is called "upgrading the CIP record to a full one." As a convenience, the term used in these guidelines to mean both aspects is "CIP upgrade" or "upgrade."

D8.5.2. Workflow

The CIP Division slips items with a priority slip and a "CIP Verification" slip (form 607-1a; Example 4). If there is a CIP worksheet or printout in the CIP Division, that also accompanies the item. Workflow internal to a team is at the discretion of the team; contrary to previous practice, items undergoing CIP verification/upgrade now also are charged to the team upon receipt ("bk. rec'd. [code] [date]") according to team practice. The CIP Verification slip has places to convey information relating to the subject and shelflisting aspects and the selection decision. Use of the slip for these purposes is at the discretion of the team. In general, verify the record at the descriptive cataloging stage, subject to team practice regarding matters relating to the subject and shelflisting aspects and the selection decision. In general, the upgraded full record must be in a verified state when the item is forwarded out of a team.

D8.5.3. Pre-upgrade assessment

Prior to the upgrade, assess the item in hand and do the following as necessary:

- 1) forward all music scores, libretti, and books on music to the music teams, Spec Mat.;
- 2) forward all micropublications (initial publication is via microform) and all printed guides meant to accompany microfilm collections to the Microforms Team, Spec Mat.;
- 3) forward all atlases (classes G1000-G3122; the 050 field contains the custodial designation "<G&M>" in a \$u subfield) to Geography & Map Division;

- 4) if the publication appears to be a serial, complete a Materials Routing slip (form 6-127; see DCM M4.4) and route according to team/division practice;
- 5) if an item appears to be out of scope for LC's collections, return it to the appropriate selection official according to team practice for a decision;
- 6) sometimes a "Do Not Add to Collections" slip (form 11-57) accompanies an item but the CIP record does not have a 920 field (Selection decision) that contains the statement "Do not acquire"; if so, add a 920 "Do not acquire" field and change the value in the first indicator position of the 050 field to 1 (05010) to indicate "not in LC"; if there is uncertainty, refer the item to the appropriate selection official according to team practice;
- 7) if the work is a multipart item, do the first volume received according to CIP upgrade procedures; do any volumes subsequently added according to the added volume procedures stated in DCM C12.

D8.5.4. Basic policy for the upgrade

Call up the record and complete the cataloging, following normal cataloging and content designation conventions. Use the conventions for previously verified records (PVRs) exclusive of 001 revision data. Charge the item to indicate explicitly CIP verification/upgrade ("CIP ver. [code] [date]").

Correct or change bibliographic and authority records (names/series) as needed to agree with AACR 2, including the options and alternative rules as applied by the Library, and the LCRIs and other directives issued by the Policy and Standards Division. This includes adding references to name/series authority records for variant forms found on the item in hand.

D8.5.5. Items out of team scope

If an item is recognized as out of scope for the team after the upgrade begins, complete the aspect of the work that is being done (usually the descriptive aspect), discharge to the appropriate team/division, and release the record with "go" leaving it unverified. Fill out a Materials Routing slip, insert it in the item, and forward it to the appropriate team/division. Log the item out of STARS according to team practice.

D8.5.6. Special conditions

Note the following types of changes that need to be considered. How these are handled is at the discretion of the team

a. Conditions relating to the subject/shelflisting aspects and selection

The CIP Verification slip may be used to indicate various changes as follows:

- 1) if the class number is not printed in the item or if the number printed there in the CIP data does not agree with the class number in the CIP record, write the number in the record following the word "CLASS" on the slip;
- 2) in those rare cases when the imprint date in the published item differs more than three years from the date in the CIP record, check the "Change in date" box;
- 3) if the record contains a "Red II" in a 963/952 field indicating a request to see the item for the subject aspect, check the "Red II" box and follow team practice for handling "Red IIs" (including whether the record is verified at this point or not);
- 4) if the selection decision has changed, indicate this fact by checking the "Change in selection decision" box.

b. Substantial changes in published item

If a published item varies substantially from the CIP record so that perhaps the subject aspect might be affected, treat the record as though it were a "Red II" and follow team practice in this regard.

D8.5.7. Marking the item

For items to be acquired by LC, dot the entry word in the item according to the conventions stated in DCM B5.5.8. Do **not** do this for items **not** to be acquired by LC.

D8.5.8. Forwarding the item

Forward the item according to team/division practice. If the record contains a "Red II" signal in a 963/952 field indicating a Dewey request to see the item, forward it to Dewey according to the procedures in DCM C12.5.4.1.1.1.

D8.6. CIP Verification/Upgrade (Specific Data Element Reminders)

D8.6.1. General

Use the following reminders as a guide to areas that must be completed by the person doing the upgrade or that often require changes after comparing the item with the CIP record. This is by no means a complete list, so it is essential that a careful comparison be made. In general, the data elements are listed in the order in which they occur in the record except when it is convenient to combine them to prevent repetition as, for example, 1XX/7XX.

D8.6.2. Variable/fixed fields

001 - Do *not* apply the standard conventions for revision data for PVRs at the upgrade stage.

955 - Indicate the fact of CIP upgrade by adding the following charge: CIP ver. [code] [date] If the record is an older one with charging in a 952 field, add a 955 field to signal CIP upgrade and delete the out-of-date 952 field.

920 - If the selection decision has changed, ensure that the decision in the record reflects the decision on the accompanying selection decision slip (DO NOT ADD TO COLLECTIONS (form 11-57); ACQUIRE (form LC 6-2d)). Alert the shelflister according to team practice. See also 050.

050 - Ensure that the first indicator reflects the selection decision (0 = in LC; 1 = not in LC; used when the decision is "Do not acquire"). Check the call number in the record against the one printed in the CIP data in the item. If there is a discrepancy, handle according to team practice. If the date in the 260 \$c subfield changes, adjust the date in the 050 field as described below under 245; 250; 260.

1XX/7XX - Do the following as necessary:

- 1) if information in the publication indicates a different choice of main entry heading, change it;
- 2) if the publication gives information about a related work and that information apparently was not previously available, follow appropriate procedures for noting this;
- 3) add, change, or delete added entries as necessary;
- 4) follow appropriate procedures for making or changing name or series authority records.

240 - Add or delete as appropriate.

245; 250; 260 - Make any changes, additions, or deletions necessary to ensure proper transcription of data contained in the item. When the call number contains a date of publication and there is a change in the date in the 260 \$c subfield, **change** the date in the 050 to match the actual date. Alert the shelflister to update the shelflist; do this according to team practice.

In the special cases listed below, when there may be no one-to-one correlation between the imprint date and the date used in the 050, handle the change according to team practice (usually a shelflister needs to make the change). Citations to the *Shelflisting Manual* are provided for reference purposes, but in case of doubt, handle according to team practice.

Congress or conference publications (G 230);

Commentaries on a specific conference (G 230);

Multiple editions of a work, with the same imprint date (G 140) (descriptive catalogers should not normally do special searching to ascertain this);

Classification subarranged by specific date (G 140);

Commentaries on a specific corporate body's work (G 220);

Class N, special artists; reproductions, exhibitions, etc. (G 330);

Supplementary works cataloged separately (G 155).

263; 963 - Delete these fields; if the 963 field contains a "Red II" signal, handle according to team practice. If it contains "CONGRESSIONAL LOAN" in a \$c subfield, complete the upgrade at the highest priority and hand carry to binding/labelling according to team/division practice.

300 - Add a complete collation in all instances.

4XX - Check to see that the series statement as given in the CIP record corresponds exactly to the form that appears in the item. If there is a difference, follow the appropriate procedures in DCM C11 and DCM Z1 (1992 revision). **Note however** that if the series appears in the item only in the CIP data, do the following: Delete the series area from the bibliographic record **unless** the item is in a collected set; if the latter, retain the series area without brackets. If a series authority record was made for a series that is being deleted and that series does not appear in any other non-CIP bibliographic record, cancel it. If the series appears only on the jacket, see LCRI 1.6 (4).

If the item is an analytic of a series classified as a collection, and the number of the analytic was not supplied by the publisher at the pre-publication stage, add the number to the series. Add the number to the 050 and shelflist according to team practice.

5XX - Complete any notes left open for adding paging; change the form of a bibliography note (504 field) if appropriate (e.g., "Bibliography:" becomes "Includes bibliographical references."; cf. LCRI 2.7B18).

If a bibliography note is added, also add value "b" to 008/24. If such a note is deleted, also delete value "b" from 008/24; also check the 6XX fields for use of the subject subdivisions "**Bibliography**" or "**Bio-bibliography**." If one of these has **not** been used, complete the record as usual. If one **has** been used, handle according to team practice.

Add, change, or delete other notes as necessary. Add a note for intended audience if a statement can be quoted from the publication.

020 - Add, change, or delete any ISBN as necessary and according to the guidelines in LCRI

1.8.

6XX - If a descriptive heading used in a 6XX field is changed, make the change to the 6XX field if the descriptive heading is the entry element of the subject field. If it is used as an internal subdivision, handle according to team practice.

952 - In older records, if a 952 field contains a "Red II" signal, handle according to team practice. If there is a "Red II" signal that Dewey needs to see the item, forward the item to Dewey after all end-stage processing is completed in the team (see DCM D8.5.8).

Leader and 008 - Delete value "8" from Leader/17; adjust other fixed fields as necessary to reflect any relevant changes made in variable fields. Ensure that FFD 33 contains "7".

D8.6.3. Final cataloging stages

After completing the upgrade, verify the record unless any of the following conditions requiring special handling applies:

- a) there is a condition related to the 050 (e.g., discrepancy between call number in record and CIP data in item; a possible change in date);
- b) the shelflister needs to specially review the 050;
- c) there has been a change in the selection decision;
- d) there is a "Red II" condition.

If any of the above conditions occurs, handle them according to team practice in completing the final stages of cataloging. Discard any original CIP worksheet or printout unless the item is a "Red II". Note that any changes made after the record is verified are done as PVRs.

D8.7. Appendix 1: Scope of the CIP Program

D8.7.1. INCLUSIONS

D8.7.1.1. General

All monographic trade publications published in the United States and monographic federal government publications are within scope of CIP. This includes multipart items, new or revised editions, and new impressions of titles formerly published without CIP, as well as translations into Spanish, and compilations of serial articles brought together in one or several volumes as a collection (but generally not whole volumes of a serial). Also included are original editions in microform.

D8.7.1.2. Copies/issues

For material to be handled as copies or issues (e.g., new impressions), return the materials to

the CIP Division under cover of a CIP Problem Routing Slip indicating the LCCN of the existing record. Note that changes in place of publication, major changes in the form of the publisher's name, or a change in date of publication constitute a new edition. (See LCRI 1.0 for further guidance.)

D8.7.2. EXCLUSIONS

Reject for cataloging and return to the CIP Division the following categories of CIP materials, whether copyrighted or not.

D8.7.2.1. Mass market paperback originals and reprints

These materials are those intended for wide sale on newsstands, in drugstores, supermarkets, etc., as well as in bookstores. Typical examples of mass market publishers are: Avon, Dell, Fawcett/Crest, Penguin, Pocket Books, NAL/Signet, Warner Books. Do not confuse these with trade paperbacks, which are issued by trade publishers and are usually sold in bookstores at a considerably higher price. Typical examples of trade paperback publishers: Little, Brown; Doubleday, Macmillan, Random House, Ten Speed Press. Note that some publishers (e.g., Avon, Bantam) publish both mass market and trade books. The price or estimated price is then often the only clue for decision.

D8.7.2.2. Expendable educational materials

These are such materials as laboratory, teachers' and students' manuals, workbooks, answer books and programmed instruction test sheets. This category applies to all physically separate works, whether or not they are received simultaneously with the work which they are intended to accompany, and to publications which are entirely independent of another publication. NOTE: This exclusion does **not** apply to teachers' editions. In case of doubt whether a publication is a teacher's manual or edition, return the material to the CIP Division for clarification.

D8.7.2.3. Transitory/consumable nature

This category relates to specialized publications of a transitory and/or consumable nature such as calendars, coloring, comic, and cutout books; trade catalogs, telephone books, etc.

D8.7.2.4. Translations

This category consists of translations from English, except into Spanish, and translations from one foreign language into another foreign language other than Spanish.

D8.7.2.5. Privately printed and vanity press publications

Books from private presses are within the scope of CIP. A privately *printed* work, for the purpose of this list, is one that is printed for the author at his/her expense by a printing establishment other than a private press, or is printed or otherwise duplicated by the author himself/herself; the work is generally not available through the book trade. (Note that although the Library acquires many genealogical publications, the majority are excluded from the CIP program because of the above considerations. This means that although a publication is excluded from the CIP program, it may nonetheless be acquired by the Library.)

A vanity press is one that *publishes* at the author's expense; the author bears any financial risks involved. Typical examples of vanity publishers: Atlantis Press, Exposition Press, Dorrance, Vantage Press.

D8.7.2.6. Religious instructional materials

This category consists of religious instructional materials keyed to a specific creed at all levels, including those for Bible schools, Sunday school-type materials, etc.

D8.7.2.7. Textbooks below secondary level

This category consists of textbooks below the secondary school level **except** those for American history.

D8.7.2.8. Publications with a foreign imprint only

Exclude publications with a foreign imprint only. Include, however, publications with dual (foreign and U.S.) imprints which originate or seem to originate from overseas. In case of doubt, consult the CIP Division.

Foreign imprints which are only distributed in the U.S. are out of scope for CIP. There must be evidence that a single publisher has a U.S. place of publication. In the case of dual imprints, one publisher must list a U.S. place of publication, not just a statement of distribution.

D8.7.2.9. Music scores

This category consists of music scores.

D8.7.2.10. Nonbook materials

This category consists of nonbook materials **except**

- a) original editions in microform;
- b) software in the CIP software program.

D8.7.2.11. Reprints/offprints

This category consists of reprints or offprints of single articles from periodicals and other serials.

D8.7.2.12. Serials (including reprints of serials)

This category consists of serials or reprints of serials (periodicals, annuals, and other publications regularly issued under a constant title) in which only the dates or volume numbers change or intend to change. If an entry for a serial already exists, also disregard the possible variations in authorship, issuing body, or imprint. (See also below.)

D8.7.2.13. More Extensive Physical Configurations of Textbooks When a Lesser One Exists

This category consists of textbooks published in multiple physical configurations, one of which is less extensive than the others. An example would be the same text published in a single volume and also in one or more multiple volume configurations. In such cases always prefer the least extensive configuration, i.e., 1 volume over 2, 2 over 3, etc.

D8.7.3. APPLICATION OF CRITERIA

In case of doubt about the *application* of these criteria, refer the publication to the CIP Division. Use the following guidelines for monographs and serials.

D8.7.3.1. Monograph

If the publication is a monograph but the information supplied by the publisher is such to make the application of these criteria inconclusive and doubt remains whether or not to accept the item for cataloging, do not contact the publisher for additional information; instead return the material to the CIP Division for clarification.

D8.7.3.2. Serial

It is the responsibility of the person doing the descriptive aspect to determine whether a publication is a serial. If the data are for a serial or a suspected serial, proceed as follows:

- 1) if a record for the publication already exists, furnish a printout of it, attach it to a CIP Problem Routing Slip, and return material to CIP Division;
- 2) if no record exists but evidence in the data supplied clearly indicates that the work is a serial, cite on the CIP Problem Routing Slip the sources for your decision, and return the material to the CIP Division; if the information is buried in the text, make a pencil checkmark, for the benefit of CIP personnel;

- 3) if the publication is a suspected serial, contact the publisher for additional information; if doubt remains, refer the material, with pertinent information attached, to PSD instead of returning it to the CIP Division.

D8.8. Appendix 2: Selection Decision ("Do Not Acquire")

D8.8.1. GENERAL

The Library of Congress generally does not add to its collections certain categories of publications even though it provides CIP cataloging for them. This selection decision is made by the person doing the descriptive aspect of the CIP cataloging based on the guidelines listed below.

D8.8.2. GUIDELINES FOR INDICATING "DO NOT ACQUIRE" (PRE-PUBLICATION STAGE)

In the course of preparing CIP cataloging for the following categories of materials, include a 925 field with a "do not acquire" selection decision::

- 1) reprints of American imprints originally published within the **last ten years**, when the original edition or an earlier reprint is already in the collections.
- 2) paperback editions of hardback books, when the hardback is already in the collections:
 - a) if, however, the paperback should be retained because the hardback original was published **more than ten years ago** (cf. 1 above), do not apply this exclusion;
 - b) NOTE: university press paperbacks often contain corrections and revisions made by the author after the appearance of the hardback original; the paperback is therefore a revised edition rather than just a reissue of the hardback and should be considered for retention;
- 3) large-type editions of works whether or not the regular-type edition is already in the collections;
- 4) textbooks at the secondary school level, with the *exception* of those for American history.
- 5) translations from English into any other language, unless LC does not have the original English edition.

The 925 field should contain the following data (see DCM C16.14):

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925 0# $a Do not acquire $x policy default
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When resources corresponding to CIP pre-publication records with "do not acquire" decisions are received in a team, complete CIP verification. Afterward, with the exception of large-print books and books translated from English into Spanish or other languages for the U.S. market, using a "Report of Searcher, Not in LC Adapt" (365 1991/12 or 6-133d rev 12/91), forward the material for selection review according to team/division practice.

D8. Example 1. CIP Problem Routing Slip

UNITED STATES GOVERNMENT

Memorandum

LIBRARY OF CONGRESS

TO : Cataloging in Publication Division
VIA : Section Head

DATE:

FROM : (Name) _____
(Division/Section) _____

SUBJECT : CIP PROBLEM ROUTING SLIP

NOTE: Originator of this message to CIP should identify the problem area(s) by checking the appropriate box below. Please use "Comments" to elaborate specific details to assist CIP staff in solving the problem(s). Deposit the CIP materials (galley or book, data sheet, and manuscript sheet) together with this routing slip at the CIP pick-up point designated for your division.

Delay in cataloging (Info. below) Make changes on CIP records as shown

Duplicate Unprocessed material

Book/sheet don't match Publication date?

Serial More subject information?
(Cite specific need below)

Out of scope
(City specific reason below) Precis of book?

Lacks title page

Table of contents?

Series title or number?

LC catalog card number?

Invalid ISBN

Other

Series appears only on CIP Data Sheet;
Series new to LC

COMMENTS (Be specific)

BUY U.S. SAVINGS BONDS THROUGH THE PAYROLL PLAN

6-122 (REV 3-88)

D8. Example 2. Referral from CIP

REFERRAL FROM CIP

DATE:

ROUTE TO THE FOLLOWING: (Cross out when completed)

[DO NOT forward in messenger envelope]

_____ Descriptive cataloger:

_____ Subject cataloger:

_____ Shelflister:

_____ Decimal Classification Specialist:

_____ CIP:

_____ THE PUBLISHER HAS BROUGHT THE FOLLOWING TO OUR ATTENTION:

_____ THE CIP DIVISION NOTES THE FOLLOWING:

D8. Example 3. Library of Congress Cataloging-in-Publication Data

Library of Congress Cataloging-in-Publication Data
(Revised for Bd. 3/2)

Fontes historiae Iuris gentium = Quellen zur
Geschichte des Völkerrechts.

Includes bibliographical references.

Contents: -- Bd. 2. 1493-1815 -- Bd. 3. 1815-1945
(v.)

1. International law--Sources. I. Grewe, Wilhelm
Georg, 1911- . II. Freie Universität Berlin.
Institut für Internationales Recht. III. Quellen zur
Geschichte des Völkerrechts. IV. Sources relating to
the history of the law of nations.

JX64.F58 1988 341'.1 88-25615

ISBN 0-89925-378-4 (Bd. 2 : U.S.)

D8. Example 4. CIP Verification

**CIP
VERIFICATION
1111 INPUT
FOR THIS COPY**

LCCN _____

CLASS _____

- RED II**
- RECLASS AS:**
- CHANGE IN SELECTION DECISION**
- CHANGE IN DATE**

D8.9. Appendix 3: Guidelines for Including Tables of Contents in Bibliographic Records

D8.9.1. BACKGROUND

The increasing availability of information in electronic form at the CIP stage makes it possible to include tables of contents (TOC) in 505 fields in bibliographic records that were heretofore excluded because of constraints related to length, re-keying effort, accuracy, and time. With information now available in electronic form, tables of contents can be quickly and easily added to bibliographic records with just seconds of processing and manipulation in contrast to the minutes it would have taken to re-key the same information. For one-volume works, contents notes are no longer restricted to collections when the information is available electronically (cf. LCRI 2.7B18).

D8.9.2. GUIDELINES FOR ADDING TOC TO BIBLIOGRAPHIC RECORDS

Add TOC to bibliographic records in the following two workflows: 1) the Electronic CIP (ECIP) program and 2) the Bibliographic Enrichment Advisory Team (BEAT) initiative to add TOC for selected titles of interest to the business community. Use the following guidelines in helping to determine when it is appropriate to add a TOC note and when it would be better to leave it out. Note that contents notes in ONIX-derived records require no formatting; they may contain data problems such as formatting characters that need addressing.

D8.9.2.1. General

Both the ECIP program and the BEAT initiative encounter TOC data in approximately the same form--an electronic representation that may or may not include appearance formatting using spaces, tabs, or blank lines in the data. In either case it is necessary to edit manually these data in a similar manner (to prepare for final machine manipulation). The difference in the two efforts becomes apparent when trying to get the resulting 505 field into the MARC record. With the ECIP record, the 505 field is inserted into the record as the cataloger builds the record. With the BEAT initiative, the 505 field is being added to an already existing record in the LC Database.

D8.9.2.2. Specific Guidelines

There are four general guidelines that are helpful when deciding whether or not to include a TOC in a record.

D8.9.2.2.1. Key word searching

Does adding the chapter titles to the record provide improved natural language key

word searching?

D8.9.2.2.2. Understanding of the contents

Does adding the chapter titles to the record provide a greater understanding of the contents of the item than what is conveyed in the title and statement of responsibility area?

D8.9.2.2.3. Degree of editing

Will the TOC data require extensive manual editing to prepare it for machine manipulation? Determine the amount of manual editing required to get the data into a useable form for the Text Capture and Electronic Conversion (TCEC) program. Depending on the source of the electronic data, there may be next to no manual editing necessary or the amount of manual editing may be considerable. If the latter, determine how valuable the TOC note would be in relation to the time required to edit it. If the benefit is marginal and the manual editing is extensive, leave out the TOC note.

D8.9.2.2.4. Long TOC with many entries

If the TOC is long and contains many entries, does this dilute the value of the information once it is put into a 505 field? If a TOC is fairly long, re-evaluate it in the light of DCM D8.9.2.2.1 and D8.9.2.2.2 above. If the decision is to include the TOC in a 505 field, next determine which elements of the TOC to include. Exclude elements such as "Preface," "Acknowledgments," "Index," and "Bibliography." The idea is to provide more information to enhance key word searching or to provide more information about the true contents or subject of the book, not to give a verbatim transcript of the TOC.

D8.9.2.3. Examples

Following are some examples of TOCs and possible decisions about including them or not. The TOC data themselves are given in a different typeface to show what might happen when actually manipulating the data.

D8.9.2.3.1. Example 1

Arizona : A History / Thomas E. Sheridan

Part I

Incorporation

- 1 The Native Americans
- 2 The Arrival of the Europeans
- 3 Mexican Arizona and the Anglo Frontier
- 4 Early Anglo Settlement and the Beginning of the Indian Wars
- 5 The Military Conquest of Indian Arizona

Part II

Extraction

- 6 The Freighters and the Railroads
- 7 Cattle
- 8 Silver and Gold
- 9 Copper
- 10 Oases in the Desert
- 11 Water and Cotton

Part III
Transformation

- 12 Climate
- 13 The Depression and the New Deal
- 14 World War II and the Postwar Boom
- 15 The Other Arizona
- 16 From the Southwest to the Sunbelt
- 17 The Political Ecology of a Desert State

The manual editing is minimal. Delete the part numbering and part titles as well as the extra blank lines in between the parts; then only the chapter numbers and titles remain. The TCEC programs would strip out the chapter numbering and extra spaces. The TOC gives a much greater idea of the contents of the item than the title, covering many areas of potential interest to the reader. Searching 'Arizona' with any of the terms in this TOC would retrieve this record and provide potentially useful information to the reader. Again, using a TCEC program for the manipulation of the TOC data makes this title a good candidate for including a 505 field in the record.

D8.9.2.3.2. Example 2

Amazonian Indians from Prehistory to the Present : Anthropological Perspectives

Edited by Anna Roosevelt

- 1 Amazonian Anthropology: Strategy for a New Synthesis
Anna C. Roosevelt

Part I
First Transformations

- 2 The Ancient Amerindian Polities of the Amazon, the Orinoco, and the Atlantic Coast: A Preliminary Analysis of Their Passage from Antiquity to Extinction
Neil Lancelot Whitehead
- 3 The Impact of Conquest on Contemporary Indigenous Peoples of the Guiana Shield: The System of Orinoco Regional Interdependence
Nelly Arvelo-Jiménez and Horacio Biord
- 4 Social Organization and Political Power in the Amazon Floodplain: The Ethnohistorical Sources

Antonio Porro
5 The Evidence for the Nature of the Process of Indigenous
Deculturation and Destabilization in the Brazilian Amazon Region
in the Last Three Hundred Years: Preliminary Data
Adélia Engrácia de Oliveira

Part II

Habitat and Human Biology in Perspective

6 Health and Demography of Native Amazonians: Historical
Perspective and Current Status

Warren M. Hern

7 Diet and Nutritional Status of Amazonian Peoples

Darna L. Dufour

8 Hunting and Fishing in Amazonia: Hold the Answers, What are the
Questions?

Stephen Beckerman

Part III

Society, Ecology, and Cosmology in Context

9 Homeostasis as a Cultural System: The Jivaro Case

Philippe Descola

10 Farming, Feuding, and Female Status: The Achuar Case

Pita Kelekna

11 Subsistence Strategy, Social Organization, and Warfare in
Central Brazil in the Context of European Penetration

Nancy M. Flowers

12 Environmental and Social Implications of Pre- and Postcontact
Situations on Brazilian Indians: The Kayapó and a New Amazonian
Synthesis

Darrell Addison Posey

13 Beyond Resistance: A Comparative Study of Utopian Renewal in
Amazonia

Michael F. Brown

Part IV

Strategies for Integrative Research

14 The Eastern Bororo from an Archaeological Perspective

Irmhild Wüst

15 Genetic Relatedness and Language Distributions in Amazonia

Harriet E. Manelis Klein

16 Language, Culture, and Environment: Tupí-Guaraní Plant Names
Over Time

William Balée and Denny Moore

Part V

Adaptation
Today
17 Becoming Indian: The Politics of Tukanoan Ethnicity
Jean E. Jackson

In this example there is too much editing required to manipulate the data. It would be necessary to delete the part numbering, part titles, and extra lines between parts as in the previous example but even so the TCEC programs cannot distinguish single line chapter titles from multi-line chapter titles. Each line of this TOC would be made into a chapter title element, including the authors' names. The authors' names would have the first letter of the first forename uppercased but the rest of the entire name(s) would be lowercased. For example, the manipulation of the third chapter information would result in the following:

... -- The impact of conquest on contemporary indigenous peoples of the -- Guiana shield: the system of orinoco regional interdependence -- Nelly arvelo-jiménez and horacio biord ...

It would be necessary to remove the intervening punctuation as well as add the punctuation before the authors' names. Also the authors' names would need to be adjusted along with any proper names in the chapter title elements.

D8.9.2.3.3. Example 3

Independence in Spanish America : Civil Wars, Revolutions, and Underdevelopment / Jay Kinsbruner

<ct>Contents</>

Illustrations

Preface to the Second Edition

Acknowledgments

Chronology

1. By Way of Introduction
2. The Causes of Independence
3. The Late Colonial Revolts and Protests
4. The First Phase of the Independence Movements
5. The Second Phase of the Independence Movements
6. The Independence Leaders as Liberals
7. The Problems of Independence
8. Conclusion

Notes

Selected Bibliography

Index

In this example there are eight chapter titles of greater importance than the other elements. No manual editing is needed. The eight chapter titles do provide a broader understanding of the contents than just by looking at the title. A reader who might be interested in independence leaders as liberals would find this information useful. In this example, therefore, all eight of the chapter titles could be included in the

record.

D8.9.2.3.4. Example 4

```
<title>The Tomato in America: Early History, Culture, and
Cookery
<author>Andrew F. Smith
<FCT>Conte
nts
Preface
Part I: The Historical Tomato
Chapter 1: Introducing the Introduction
Story Chapter 2: The Roots of the American
Tomato Chapter 3: The Arrival of the Tomato
in America Chapter 4: Early Tomato Culture
and Cultivation Chapter 5: Early American
Tomato Cookery Chapter 6: Tomato Medicine
Chapter 7: The Great Tomato Mania
Chapter 8: From the Civil War to the Space Age
Part II: Historical Recipes
<A1>1. Salad, Soups, Gazpacho, and Gumbo
<B>Salad
<B>Soup
<B>Gazpacho
<B>Gumbo, Okra and Tomatoes
<A1>2. Main Courses
<B>Baked, Scolloped, Fried, and Stewed Tomatoes
<B>Eggs
<B>Fish and Sea Food
<B>Poultry, Meat, and Sweetbreads
<B>Dumplings
<B>Stuffed and Forced Tomatoes
<A1>3. Sauces, Ketchups, and Other Condiments
<B>Tomato Hodge-Podge
<B>Ketchup
<B>Tomato Paste
<B>Tomato Sauce
<B>Tomato Soy
<A1>4. Preserving and Canning Tomatoes
<B>Bottling
<B>Canning
<B>Drying Tomatoes
<B>Tomato Pickles
```


<A1>5. Desserts and Sweets
Tomato Figs
Tomato Jelly
Tomato Marmalade
Tomato Pies and Tarts
<A1>6. Miscellaneous Recipes
Food for the Sick
Tomato Wine
Imitations
Part III: Bibliography and Other
Sources Bibliography and Other
Sources
<A>General Reference Works
<A>Culinary History
<A>Reprinted Cookery Books and Manuscripts
<A>Works on Tomato History
<A>Tomato Cookbooks and Pamphlets
<A>Tomato Culture
<A>Heirloom Seed Sources, Tomato Organizations, and Other
Resources
Index

In this example there is a lot of extraneous SGML coding that would need to be edited out if all elements were to be included in the 505 field. However, looking at many of these elements, they really do not provide quality information. The title indicates this item deals with, among other things, tomato cookery. Therefore all of the recipe titles might be too much information to include in the 505 field. The eight major chapter titles could be included but would that be misleading, since there would not be any indication of the inclusion of recipes? Which other elements that follow the eight chapter titles should be included? Since these are not chapter titles like the eight numbered titles, is it valid to include them as equals to chapter titles? Do the part titles provide useful information and should they be included? In this case, the time needed to look at these issues and decide on what to include might result in a decision to leave everything out.

D8.9.3. CIP VERIFICATION

At CIP verification assess whether the 505 field in the bibliographic record reflects the TOC in the publication. When this is not the case, determine whether to adjust the 505 field to reflect the publication based on the amount of time such an adjustment would take. If inordinate, delete the 505 field; otherwise, adjust it. Do not delete a 505 field solely on the grounds that it occurs in a record done as core level cataloging. Just as the ECIP TOC is

exempt from some of the restrictions stated under the section on “LC practice:” in LCRI 2.7B18, so is it also exempt from any limitations that might apply under core level.

D8.10. Appendix 4: CIP Program and Copyright Acquisitions Division (CAD)

D8.10.1. INTRODUCTION

BR = bibliographic record
HR = holdings record
IR = item record
SR = selection review

D8.10.1.1. CAD Use Of The ILS

The Copyright Acquisitions Division (CAD) receives internal requests for copyrighted material. CAD then secures copies through the Copyright demand procedure. CAD uses both the Acquisitions and Cataloging Modules in the LC ILS to manage its claiming/acquisitions process. It uses BRs, HRs, and IRs in the Cataloging Module to provide information about the state of its activities with respect to particular titles. If a BR already exists, usually a CIP record, CAD will use that record. If a record does not exist, CAD will import/create a record for IBC purposes.

Prior to January, 2002 the signal that a particular record is being used for CAD claiming/acquisitions purposes is the presence of “CAD ufix [date]” at the beginning of either a separate, temporary 955 field in an already existing BR or of a 955 field in a record that CAD creates. Beginning in January, 2002 CAD uses the same convention to signal its activities but no longer uses a separate 955 field. Instead, CAD staff track their activities in the regular 955 field of an existing BR; they continue to use a regular 955 field in BRs they create.

CAD manages claims that are still in process through the use of two temporary locations in field 852 subfield \$b of the HR especially designated for this purpose: m-CopyLib1 (m-Copyright 1); m-CopyLib2 (m-Copyright 2). When a claim is initiated, an HR for each copy claimed is created using these temporary locations. Once a copy is received, CAD judges whether it is appropriate to retain the copy in fulfillment of the required number of shelf copies to be held by the Library. If the copy is not retained, the location in field 852 subfield \$b is changed to “m-Surplus” (the location used when material is not retained but it IS necessary to retain the HR); use of this location automatically suppresses the HR from the

OPAC.

The amount of material received by the Library combined with complex distribution requirements often results in material intended to satisfy a CAD demand bypassing CAD. When CAD procedures for using the ILS as described above were first developed, it was thought necessary that CAD actually see any material stamped with a Copyright stamp that had bypassed CAD. This resulted in a substantial amount of material flowing back and forth between CIP and CAD and, to a lesser extent, between cataloging teams and CAD. CAD initiated a proposal to simplify procedures.

D8.10.1.2. Change In Procedure

Beginning in January, 2002, Cataloging Directorate staff no longer need to return to CAD items stamped for Copyright that had bypassed CAD. This means that when a CAD demand exists as indicated by HRs containing subfield \$b locations of "m-CopyLib1" and "m-CopyLib2" in 852 fields, these HRs are no longer "off limits" to any but CAD staff. Under the new arrangement, they may be used by any staff person who receives a first or additional copy regardless of the source from which it is received and regardless of the location for which it is intended.

CAD will also begin to use the regular 955 field in an existing BR to signal that a CAD demand has been placed. Whoever first receives an actual item, regardless of source, will delete any separate CAD 955 that may exist as the result of previous practice and will revert to the regular 955 field to indicate disposition of the item. This will usually entail forwarding to a cataloging team, in the case of CIP staff, or forwarding to CIP or to a cataloging team via CIP, in the case of CAD staff. Exceptionally, when it is judged the Library holds the appropriate number of shelf copies, the item is forwarded for disposition through exchange. CAD will continue to provide an audit trail for such items through use of the 852 \$b location "m-Surplus" according to the conventions developed for this procedure.

D8.10.1.3. Guide To The Contents Of DCM D8.10

DCM D8.10 constitutes a description of CAD activities under the ILS and states procedures applicable to the various units, including CAD itself, that interact with these procedures, summarized as follows:

- D8.10.2. Relates to CAD 955 tracking and CAD HRs and describes procedures applicable to CAD staff.

- D8.10.3. Relates to materials in the CIP flow and describes procedures applicable to CAD and CIP staff.

- D8.10.4. Relates to materials not in the CIP flow and describes procedures applicable to CAD staff.
- D8.10.5. Relates to copies and describes procedures applicable to CAD staff.
- D8.10.6. Provides information on determining whether the Library has the required number of shelf copies and is primarily directed to staff at the beginning of the processing continuum.
- D8.10.7. Provides guidelines on LCCNs and is primarily directed to staff at the beginning of the processing continuum (CAD; CIP).
- D8.10.8. Provides procedures applicable to cataloging teams that encounter CAD claims.

D8.10.2. SPECIFIC GUIDELINES FOR CAD 955 TRACKING AND CAD HRs

D8.10.2.1. Claim Stage

Prior to January 2002, CAD staff used a separate 955 field to signal a CAD claim. Staff code/date units in field 955 were separated by a semicolon until June, 2001, when a system of functional subfields was incorporated into field 955. CAD staff used only subfield \$a to indicate separate CAD actions, and the subfield served to separate multiple actions in lieu of the semicolon. Beginning in January, 2002, CAD staff no longer use a separate 955 field to signal demand activity. Instead, they use a “regular” 955 field and continue to signal CAD activity in an \$a subfield, placed at the end of the field in an existing record or at the beginning of the field in a newly created record with the syntax: **CAD ufixx [yyyy-mm-dd]**. CAD staff create and link HRs for all BRs used or created in CAD's acquisition process. HRs reflect the temporary locations m-CopyLib1 (m-Copyright 1); m-CopyLib2 (m-Copyright 2) in an HR 852 \$b subfield as appropriate. Use of these locations automatically suppresses the HR from the OPAC.

Note that the presence of “CAD” in a 955 field indicates that a CAD claim has been made. A subsequent **ufixx** tracking usually indicates the claim has been completed, but, unlike the previous practice, indication of the original claim remains in field 955.

D8.10.2.2. Receipt Stage

D8.10.2.2.1. CAD locations in CAD HRs

Upon receipt of material, CAD staff change the temporary CAD location(s) in its HR(s) to

reflect either the actual intended location (in such a case CAD staff also manually “unsuppress” the HR from the OPAC);

- 1) or “m-Surplus” for the appropriate copy if the Library already has received sufficient shelf copies; copies identified as “m-Surplus” receive an item barcode and an IR containing that barcode is created for them; they are not forwarded to CIP or cataloging teams but are instead placed in tubs that are then forwarded for exchange; this disposition is not tracked in the 955 field.

The action CAD staff take depends upon the situation at hand with respect to the number of shelf copies to be acquired and the actual number of shelf copies already present in the Library, if any (*cf.* DCM D8.10.6). After CAD staff have updated HRs and created IRs as necessary, they track the disposition of the material according to the following guidelines.

D8.10.2.2.2. Receipts solely from CAD

If receipts are solely from CAD, CAD staff track the material forwarded either to CIP or to cataloging teams as follows:

1 copy received, but 2 are expected, the CAD segments of the 955 read:

```
955 ##      $a CAD ufxx [date]; ufxx [date] 1 copy to CIP [or cat. team]
```

2 copies received, 2 copies expected; the CAD segments of the 955 read:

```
955 ##      $a CAD ufxx [date]; ufxx [date] 2 copies to CIP [or  
cat. team]
```

2 copies received for copyright registration; the CAD segments of the 955 read:

```
955 ##      $a CAD ufxx [date]; ufxx [date] 1 copy to CIP, 1 copy to COP  
or  
955 ##      $a CAD ufxx [date]; ufxx [date] 1 copy to [cat.  
team], 1 copy to COP
```

D8.10.2.2.3. Receipts from non-CAD source

If at the time of receipt of material in CAD, the Library has also received material from a non-CAD source, CAD staff do the following.

D8.10.2.2.3.1. Library has 1 copy from non-CAD source, 1 additional copy needed

CAD staff do the following:

Edit CAD HRs as follows:

m-CopyLib 1 in 852 subfield \$b changed to reflect actual location
m-CopyLib 2 in 852 subfield \$b changed to “m-Surplus” (to indicate copy not physically retained)

Track in field 955 the disposition of the copy forwarded:

955 ## \$a CAD ufxx [date]; ufxx [date] 1 copy to [CIP or cat. team]

D8.10.2.2.3.2. Library has desired number of copies

CAD staff:

Edit CAD HRs as follows:

m-CopyLib 1 in 852 subfield \$b changed to “m-Surplus” (to indicate copy not physically retained)

m-CopyLib 2 in 852 subfield \$b changed to “m-Surplus” (to indicate copy not physically retained)

Forward copies for exchange; this disposition is not tracked.

D8.10.2.2.3.3. Material cannot be supplied

When material cannot be supplied, CAD staff update the CAD HR to add a note of explanation in field 852 subfield \$x such as “Not yet published.”; “Out of print.” The CAD HR remains suppressed from the OPAC.

D8.10.3. PROCEDURES (CAD; CIP) RELATING TO MATERIALS IN THE CIP FLOW (906 \$e= ocip; ecip)

Material in the CIP flow is identified by the codes “ocip” or “ecip” in subfield \$e of field 906. Records in a CIP state are identified by encoding level “8”. The following examples all assume a CAD demand has been made using an existing CIP record and are intended to illustrate the actions to be taken re 955 fields and HRs by staff first receiving a copy regardless of its source. The examples are organized into two groups: Pre-January, 2002 period and Post-December, 2001 period.

In June 2001 the conventions for recording/tracking data in field 955 were changed. Subfields related to the activity performed were introduced and the form of recording data was changed to the pattern “[staff code] [date in the form yyyy-mm-dd] [activity].” CAD and CIP staff use only subfield \$a in this field. The examples reflect a mixture of the old and new forms of recording

data in field 955.

D8.10.3.1. Pre-January, 2002 Period

The examples in this section illustrate new procedures that were implemented in January, 2002 but within the context of a separate CAD 955 field used prior to that time and illustrated as follows:

```
955 ##      $a to ASCD pc 19 09-08-00; jb14 09-11-00; jb04 09-12- 00;
             jb15 09-12-00 to Dewey; aa05 09-12-00
955 ##      $a CAD ufixx 01-15-01
```

D8.10.3.1.1. CIP receives first copy/copies to be processed

Data elements in record at time CIP receives item(s):

```
BR:  955 ##      $a to ASCD pc 19 09-08-00; jb14 09-11-00; jb04
             09-12-00; jb15 09-12-00 to Dewey; aa05 09-12-00
             955 ##      $a CAD ufixx 01-15-01

HR:  852 0#      $b m-CopyLib1
HR:  852 0#      $b m-CopyLib2
```

If CIP receives one copy, CIP staff delete the CAD 955, change the location in the first HR, unsuppress that HR from the OPAC, and indicate disposition in the regular 955; as of April 2001, an IR is also created at this point:

```
BR:  955 ##      $a to ASCD pc 19 09-08-00; jb14 09-11-00; jb04
             09-12-00; jb15 09-12-00 to Dewey; aa05 09-12-00 $a
             pc19 2002-01-02 bk. rec'd., to CIP ver.

HR:  852 0#      $b c-GenColl  IR: [appropriate to this
             stage]
HR:  852 0#      $b m-CopyLib2
```

After the BR is 1111'd and any other actions taken, the item is forwarded to the truck in the CIP mail room for SR of the newly 1111'd items, after which it is forwarded for CIP verification.

If CIP receives two copies, CIP staff delete the CAD 955, change the locations in HRs, unsuppress HRs from the OPAC, and indicate disposition in the regular 955; as of April 2001, IRs are also created at this point:

```
BR:  955 ##      $a to ASCD pc 19 09-08-00; jb14 09-11-00; jb0409-12-00;
             jb15 09-12-00 to Dewey; aa05 09-12-00 $a pc19 2002-01-02 2 copies
             rec'd., to CIP ver.
```

```
HR: 852 0#      $b c-GenColl  IR: [appropriate to this
stage]
HR: 852 0#      $b c-GenColl  IR: [appropriate to this
stage]
```

After the BR is 1111'd and any other actions taken, the item is forwarded to the truck in the CIP mail room for SR of the newly 1111'd items, after which they are forwarded for CIP verification.

D8.10.3.1.2. CAD receives first copy/copies to be processed

Data elements in record at time CAD receives item(s):

```
BR: 955 ##      $a to ASCD pc 19 09-08-00; jb14 09-11-00; jb04
09-12-00; jb15 09-12-00 to Dewey; aa05 09-12-00
955 ##      $a CAD ufixx 01-15-01

HR: 852 0#      $b m-CopyLib1
HR: 852 0#      $b m-CopyLib2
```

If CAD receives one copy, CAD staff delete the CAD 955, change the location in the first HR, unsuppress that HR from the OPAC, barcode the item, create an IR, and indicate disposition in the regular 955:

```
BR: 955 ##      $a to ASCD pc 19 09-08-00; jb14 09-11-00; jb04
09-12-00; jb15 09-12-00 to Dewey; aa05 09-12-00 $a
ufixx 2002-01-02 1 copy to CIP

HR: 852 0#      $b c-GenColl  IR: [appropriate to this
stage]
HR: 852 0#      $b m-CopyLib2
```

If CAD receives two copies, CAD staff delete the CAD 955, change the locations in HRs, unsuppress the HRs from the OPAC, barcode items, create IRs, and indicate disposition in the regular 955. If the copies are for registration (408), disposition is as follows:

```
BR: 955 ##      $a to ASCD pc 19 09-08-00; jb14 09-11-00; jb04
09-12-00; jb15 09-12-00 to Dewey; aa05 09-12-00 $a
ufixx 2002-01- 02 1 copy to CIP; 1 copy to COP

HR: 852 0#      $b c-GenColl  IR: [appropriate to this
stage]
HR: 852 0#      $b c-GenColl  IR: [appropriate to this
stage]
```

Another instance in which a copy may not go directly to the CIP Division is that of a Congressional Loan request, i.e., Loan Division has put a notice in field 955 of a BR to forward a copy needed for a Congressional Loan request.

If the copies are for deposit (407), disposition is as follows:

```
BR: 955 ##      $a to ASCD pc 19 09-08-00; jb14 09-11-00; jb04
                   09-12-00; jb15 09-12-00 to Dewey; aa05 09-12-00 $a
                   ufixx 2002-01-02 2 copies to CIP

HR: 852 0#      $b c-GenColl IR: [appropriate to this
stage]
HR: 852 0#      $b c-GenColl IR: [appropriate to this
stage]
```

D8.10.3.1.3. CIP items to be 1111'd

When CAD is the unit first to receive copies that are represented by BRs in a CIP state (906 \$e = ocip; ecip AND field 263 does NOT contain "1111"), CAD staff identify these items with the pink "From CAD" slip. These items are sent to the CAD shelf in the CIP mail room daily. CIP staff check the CAD shelf daily to ensure that CIPs to be 1111'd are handled expeditiously.

D8.10.3.2. Post-December, 2001 Period

The examples in this section illustrate new procedures that were implemented in January, 2002 that include CAD staff no longer using a separate CAD 955 field illustrated as follows:

```
955 ##      $a to ASCD pc 19 09-08-00; jb14 09-11-00; jb04 09-12- 00;
                   jb15 09-12-00 to Dewey; aa05 09-12-00 $a CAD ufixx 2002-01-02
```

D8.10.3.2.1. CIP receives first copy/copies to be processed

Data elements in record at time CIP receives item(s):

```
BR: 955 ##      $a to ASCD pc 19 09-08-00; jb14 09-11-00; jb04
                   09-12-00; jb15 09-12-00 to Dewey; aa05 09-12-00 $a CAD
                   ufixx 2002-01-02

HR: 852 0#      $b m-CopyLib1
HR: 852 0#      $b m-CopyLib2
```

If CIP receives one copy, CIP staff change the location in first HR, unsuppress that HR from the OPAC, and indicate disposition in the 955 field; as of April 2001, an IR is also created at this point:

```
BR: 852 ##      $a to ASCD pc 19 09-08-00; jb14 09-11-00; jb04
                   09-12-00; jb15 09-12-00 to Dewey; aa05 09-12-00 $a CAD
                   ufixx 2002-01-02 $a pc19 2002-02-03 bk. rec'd., to
```

CIP ver.

HR: 852 0# \$b c-GenColl IR: [appropriate to this stage]
HR: 852 0# \$b m-CopyLib2

After the BR is 1111'd and any other actions taken, the item is forwarded to the truck in the CIP mail room for SR of the newly 1111'd items, after which it is forwarded for CIP verification.

If CIP receives two copies, CIP staff change the locations in HRs, unsuppress HRs from the OPAC, and indicate disposition in the 955 field; as of April 2001, IRs are also created at this point:

BR: 852 \$a to ASCD pc 19 09-08-00; jb14 09-11-00; jb04
09-12-00; jb15 09-12-00 to Dewey; aa05 09-12-00 \$a CAD
ufxx 2002-01-02 \$a pc19 2002-02-03 2 copies rec'd., to
CIP ver.

HR: 852 0# \$b c-GenColl IR: [appropriate to this
stage]
HR: 852 0# \$b c-GenColl IR: [appropriate to this
stage]

After the BR is 1111'd and any other actions taken, the item is forwarded to the truck in the CIP mail room for SR of the newly 1111'd items, after which they are forwarded for CIP verification.

D8.10.3.2.2. CAD receives first copy/copies to be processed

Data elements in record at time CAD receives item(s):

BR: 955 ## \$a to ASCD pc 19 09-08-00; jb14 09-11-00; jb04
09-12-00; jb15 09-12-00 to Dewey; aa05 09-12-00 \$a CAD
ufxx 2002-01-02

HR: 852 0# \$b m-CopyLib1
HR: 852 0# \$b m-CopyLib2

If CAD receives one copy, CAD staff change the location in the first HR, unsuppress that HR from the OPAC, barcode the item, create an IR, and indicate disposition in the regular 955:

BR: 955 ## \$a to ASCD pc 19 09-08-00; jb14 09-11-00; jb04
09-12-00; jb15 09-12-00 to Dewey; aa05 09-12-00 \$a CAD
ufxx 2002-01-02 \$a ufxx 2002-02-15 1 copy to CIP

HR: 852 0# \$b c-GenColl IR: [appropriate to this
stage]
HR: 852 0# \$b m-CopyLib2

If CAD receives two copies, CAD staff change the locations in HRs, unsuppress the HRs from the OPAC, barcode items, create IRs, and indicate disposition in the regular 955. If the copies are for registration (408), disposition is as follows:

```
BR: 955 ##      $a to ASCD pc 19 09-08-00; jb14 09-11-00; jb04
                  09-12-00; jb15 09-12-00 to Dewey; aa05 09-12-00
                  $a CAD ufixx 2002-01-02 $a ufixx 2002-02-15 1 copy
                  to CIP; 1 copy to COP

HR: 852 0#      $b c-GenColl IR: [appropriate to this
stage]
HR: 852 0#      $b c-GenColl IR: [appropriate to this
stage]
```

If the copies are for deposit (407), disposition is as follows:

```
BR: 955 ##      $a to ASCD pc 19 09-08-00; jb14 09-11-00; jb04
                  09-12-00; jb15 09-12-00 to Dewey; aa05 09-12-00 $a CAD
                  ufixx 2002-01-02 $a ufixx 2002-02-15 2 copies to CIP

HR: 852 0#      $b c-GenColl IR: [appropriate to this
stage]
HR: 852 0#      $b c-GenColl IR: [appropriate to this
stage]
```

D8.10.3.2.3. CIP items to be 1111'd

When CAD is the unit first to receive copies that are represented by BRs in a CIP state (906 \$e = ocip; ecip AND field 263 does NOT contain "1111"), CAD staff identify these items with the pink "From CAD" slip. These items are sent to the CAD shelf in the CIP mail room daily. CIP staff check the CAD shelf daily to ensure that CIPs to be 1111'd are handled expeditiously.

D8.10.4. PROCEDURES RELATING TO MATERIALS NOT IN THE CIP FLOW

(906 \$e = opcn; epcn; ncip)

D8.10.4.1. General

The materials in this flow are all others not part of the CIP program *per se* and therefore not candidates for the 1111 procedure when a copy is first received. They can be identified by the codes "opcn" or "epcn" or "ncip" in subfield \$e of field 906. Their encoding level is value 5.

The Pre-Assigned Card Number (PCN) program, administered by the CIP Division, is one

in which persons or publishers request an LCCN (pre-assigned) to be printed in their forthcoming publication. There are two categories of these requests as follows:

- 1) conventional PCN - used for requests submitted through a paper form; recipients are expected to supply the Library with one copy of the published item;
- 2) electronic PCN (EPCN) - used for requests submitted electronically; recipients are expected to supply the Library with one copy of the published item.

The creation of IBC records for PCN requests has varied, i.e., some are represented by IBC records (906 \$e = “opcn” or “epcn”) and some are not. In the past IBC records were created for conventional PCN requests, but, because of limitations on resources, this practice was discontinued in early 2000. Thus, over time, fewer and fewer conventional PCN items will be represented by IBC records. In general, a subcategory called “complimentary PCN requests” were not represented by IBC records, but there may be some earlier ones still in the database. EPCN requests are represented by IBC records. A subcategory called “EPCN complimentary requests” were represented by IBC records at first but this is no longer the case.

D8.10.4.2. CAD Demand Stage

When CAD is asked to demand a title not in the CIP flow, CAD staff either make use of an existing IBC record or create one.

D8.10.4.2.1. IBC record exists

Prior to January, 2002, CAD staff added a separate CAD 955 field to signal CAD activity. They created one HR with the special CAD location for each copy demanded. After December, 2001, CAD staff signal CAD activity in the regular 955 field. They continue to create one HR with the special CAD location for each copy demanded.

D8.10.4.2.2. IBC record does not exist

CAD staff create an IBC record, using the Preprocessor program in certain cases to create needed data elements. They create one HR with the special CAD location for each copy demanded. At this point, however, they DO NOT actively assign an LCCN--that is done at the book-received stage (cf. DCM D8.10.7.2). If, however, an imported record contains an LCCN, retain it. At the book-received stage, confirm that the LCCN in the IBC record is the same as the one printed in the book. (In such cases the LCCN will have had to have been printed in the book, otherwise the original cataloging agency will not have had any other source for including the LCCN in the catalog record.)

D8.10.4.3. Book Received Stage

D8.10.4.3.1. IBC record exists

Beginning in January, 2002, CAD staff will process non-CIP flow items in the same manner as CIP staff do. The configurations of the 955 fields for the pre-January, 2002 and post-December, 2001 periods are the same as those described in D.8.10.2 above, as are the configurations of the HR/IR complements described there. The actions on the part of staff processing first-received copies are the same and can be summarized as follows:

- 1) delete a separate CAD 955 when present;
- 2) assess use in field 010 of any LCCN preprinted in the book according to the guidelines in DCM D8.10.7.2;
- 3) change the location in any CAD-created HR used;
- 4) unsuppress from the OPAC any CAD-created HR used;
- 5) barcode the item;
- 6) create an appropriate IR if not already present and scan the barcode in the IR;
- 7) insert processing slips appropriate to the situation;
- 8) indicate disposition of the copy/copies processed in field 955.

When CAD is the unit first to receive copies that are represented by BRs in a non-CIP state (906 \$e = “epcn” or “opcn” or “ncip”; enc/1 = 5), CAD staff perform selection review (SR) and proceed accordingly, indicating the number of shelf copies to be acquired in field 925.

If there is no LCCN printed in the book, the staff member assigns one from the supply provided to the unit. Under this condition the appropriate code to use in 906 subfield \$e is “ncip” (not CIP). If, however, there is an LCCN printed in the book, the staff follows the guidelines in DCM D8.10.7. With fewer IBC records being made initially as described above, the number of cases of an LCCN printed in the book will increase. If an LCCN is printed in the book, it is also necessary to use the code “opcn” (original PCN) in subfield \$e of field 906, for example:

```
906 ##      $a 0 $b ibc $c orignew $d [priority] $e opcn $f 20
           $g y-gencatlg
```

Staff will insert the appropriate slips in the item as follows:

REPORT OF SEARCHER ADDED VOLUME (371) - as appropriate
REPORT OF SEARCHER EDITION OR TRANSLATION (6-133h) - as appropriate
*(Inserted by the person first searching an item in hand
that is another edition of a work in LC.)*

REPORT OF SEARCHER LEGAL LOOSELEAF MONOGRAPH (6-1331) - as appropriate

REPORT OF SEARCHER LOOSELEAF MONOGRAPH (372) - as appropriate
REPORT OF SEARCHER NEW WORK (6-133b) - as appropriate
*(Inserted by the person first searching an item in hand if
there is no other version of the work in LC.)*

Priority Slip; 1 (6-9); 2 (6-9a); 3 (6-9b) - 1 slip in all cases to indicate priority
copycat (906 \$c = copycat) (393) - as appropriate
origres (906 \$c = origres) (394) - as appropriate
pccadap (906 \$c = pccadap) (1345) - as appropriate

For a complete list of forms in use for bibliographic control, see the Forms Directory on the Cataloging Directorate staff page at the following address:
<http://www.loc.gov/staff/aba/forms/notebook.pdf>

As part of processing first-received copies to be retained, CAD staff will determine the cataloging division to which the item is to be forwarded and will slip the item accordingly. When two copies are forwarded together, it is only necessary to insert the appropriate slips in one of the copies. These items are delivered to the CAD shelf in the CIP mail room on as close to a daily basis as possible. CIP staff then transfer the items to the appropriate truck in the CIP division for the intended cataloging division.

D8.10.4.3.2. IBC record does not exist

In general for CAD demands, CAD staff will have used an existing IBC record or created one at the demand stage. Sometimes when fulfilling a demand request, publishers provide titles other than the ones demanded. Thus CAD may receive items not represented by an IBC record. In such cases CAD staff do SR. If the item is acquired, staff either import, do “origcop,” or create a record for IBC purposes with appropriate 906, 925, and 955 fields. They then follow the processing steps described above in D8.10.4.3.1. Items not acquired are forwarded for use in exchange.

D8.10.5. ANOTHER COPY (CAD)

D8.10.5.1. General

In order for CAD to make dispositions of the copies it receives, CAD needs to know the number of copies that have been received at any point in time. Under the ILS, this information is provided in HRs and IRs. The initial proposal from CAD was based on the condition that CIP be able to create HRs/IRs and barcode items at the time any copy is processed. Currently, HR/IR complements related to CIP flows are created as follows:

- 1) for CIP material (906 \$e = ocip; ecip) to be acquired, prior to April 2001 created at the CIP verification stage either in CIP or the cataloging divisions; beginning April 2001, created at the time the item is 1111'd;
- 2) for any CIP (906 \$e = ocip; ecip) copies received (separately) subsequent to the first, created in cataloging teams (these added copies are not tracked);
- 3) for CIP (906 \$e = ocip; ecip) added volumes that are part of multipart items, created by CIP support staff at the time of receipt;
- 4) for non-CIPs (906 \$e = "ncip"), created by CIP cataloging staff at the IBC stage.

After CIP records (enc lvl = 8) are 1111'd, they are forwarded daily to a special truck in the CIP mail room for SR. That review often changes the number of copies to be acquired. That decision is recorded in a slip placed in the book, but that decision is not recorded in field 925 in the BR until the item is in a destination for CIP verification (done partly in CIP Division and in cataloging teams). Even so, the point when teams record this decision varies, so that there is an uneven "lag" time with respect to knowing an actual, up-to-date selection decision.

D8.10.5.2. Required Number Of Shelf Copies

DCM D8.10.6 describes the guidelines used in determining whether the Library has the required number of shelf copies. When CIP receives additional copies of items and there is no basis upon which to determine confidently that LC has the required number of shelf copies, there is not much choice but to slip such additional copies as duplicates and forward them for further consideration via SR. There is no visible evidence that these copies have been forwarded--thus another source of ambiguity in determining what the Library has actually received.

By the same token, CAD staff follow a similar approach when there is not confident evidence that LC has the required number of shelf copies, i.e., if in doubt, CAD staff assume the Library does not have the required number of shelf copies. The difference is, however, that CAD staff are also selecting officials and therefore perform the SR step when processing another copy. If the decision is to forward the item, CAD staff insert a duplicate slip and forward the item to the appropriate cataloging division via the CIP Division. This seems necessary given the fact that the selection decision in 925 is not always up-to-date and that, in some instances, additional copies do not appear to be tracked any place.

D8.10.5.3. CAD Disposition Of Another Copy

CAD staff determine the disposition of another copy by making the selection decision and then acting upon it based on their assessment of whether the Library has the required number of shelf copies (cf. DCM D8.10.6).

D8.10.5.3.1. Library has required number of shelf copies

CAD staff change the location in subfield \$b of field 852 in the HR to “m-Surplus,” which automatically suppresses the HR from the OPAC. They create an IR, barcode the item, and scan the barcode into the IR. Any CAD 955 is deleted from the BR and the item is forwarded for disposition through exchange (not tracked in the 955).

D8.10.5.3.2. Library does not have required number of shelf copies

Data elements in record at time CAD receives

item: Pre-January, 2002 period:

```
BR: 955 ##      $a to ASCD pc 19 09-08-00; jb14 09-11-00; jb04  
                09-12-00; jb15 09-12-00 to Dewey; aa05 09-12-00  
    955 ##      $a CAD ufixx 01-15-01  
  
HR: 852 0#     $b c-GenColl  IR: [may or may not be an  
IR]  
HR: 852 0#     $b m-CopyLib2
```

CAD staff change location in second HR, unsuppress that HR from the OPAC, barcode item, create IR, delete CAD 955, and indicate disposition in regular 955:

```
BR: 955 ##      $a to ASCD pc 19 09-08-00; jb14 09-11-00; jb04  
                09-12-00; jb15 09-12-00 to Dewey; aa05 09-12-00 $a  
                ufixx 2002-01- 02 another copy to [cat. div.]  
  
HR: 852 0#     $b c-GenColl  [may or may not be an IR]  
HR: 852 0#     $b c-GenColl  IR: [appropriate to this stage]
```

Post-December, 2001 period:

```
BR: 955 ##      $a to ASCD pc 19 09-08-00; jb14 09-11-00; jb04  
                09-12-00; jb15 09-12-00 to Dewey; aa05 09-12-00 $a CAD  
                ufixx 2002-01-02  
  
HR: 852 0#     $b c-GenColl  IR: [may or may not be an  
IR]  
HR: 852 0#     $b m-CopyLib2
```

CAD staff change location in second HR, unsuppress that HR from the OPAC, barcode item, create IR, and indicate disposition in regular 955:

```
BR: 955 ##      $a to ASCD pc 19 09-08-00; jb14 09-11-00; jb04  
                09-12-00; jb15 09-12-00 to Dewey; aa05 09-12-00 $a CAD  
                ufixx 2002- 01-02 $a ufixx 2002-03-01 another copy  
                to [cataloging div.]
```


HR: 852 0# \$b c-GenColl [may or may not be an IR]
HR: 852 0# \$b c-GenColl IR: [appropriate to this stage]

D8.10.6. DETERMINING WHETHER THE LIBRARY HAS THE REQUIRED NUMBER OF SHELF COPIES

When determining whether the Library “has the required number of shelf copies” at the “up front” searching stage, base that judgment on a combination of

- 1) determining the number of shelf copies wanted as stated in subfield \$b of field 925 of the BR plus any special requirements stated in subfields \$y or \$z, e.g., a reference assignment request, a Loan Division request, stated in subfield \$z and
- 2) determining the actual number of shelf copies held based on the number of HR/IR complements beginning with “c-“ in subfield \$b of field 852 in the HR or other evidence of receipt of copies as described below.

In making these determinations it is first necessary to determine whether the BR was created prior to the ILS (create date in BR History tab is 7/26/99; Voyager ID number is earlier than 11781000) or under the ILS (create date is 8/16/99 or later; Voyager ID number is 11781001 or later), because that will affect the data elements to be assessed to determine shelf copies.

BRs created prior to the ILS may contain field 920 with a statement indicating that LC has the required number of shelf copies. If not, fields 952 or 955 may contain information about another copy needed. The code “gsl” in field 984 \$a indicates shelflist compare has been done and that the HRs/IRs in the Associated Record Display (ARD) can be relied on. Note that this simply means that the information from the card shelflist has been transferred to the appropriate HRs/IRs--it does not make a statement about a selection decision *per se*. In the absence of an explicit selection decision, it may be prudent to slip an additional copy as a duplicate and forward it for SR, particularly in those cases in which the publication is a type for which the Library normally acquires two copies. For BRs created under the ILS, HRs/IRs are the means of recording holdings information.

Taking into account the locations in HRs is important because that is the factor that indicates the number of SHELF copies held (Loan Division assignments, reference assignments, or office copies are not shelf copies). The ARD also indicates copies that are damaged, lost, or missing, again not to be treated as shelf copies. The presence of an IR is important because that is the explicit evidence that a copy has actually been added to the collections. In general, IRs for material newly cataloged since the implementation of the ILS should also contain item barcodes. In the absence of this firm evidence of the number of shelf copies held, it may be necessary to take into account information recorded elsewhere about other copies that are in-process, e.g., information in the 955 tracking field or the presence of “1111” in field 263. In the absence of firm

evidence of the number of shelf copies held, it is usually prudent to slip another copy as a duplicate and forward it for SR because of the vagaries of recording up-to-date selection decisions and an accurate, up-to-date tracking of the number of copies that are still in-process.

Note that determining whether actually to add another copy to the Library’s collections in relation to determining whether LC holds the required number of shelf copies is based on a complex set of factors taken into account at the time of shelflisting. The above guidelines are a distillation of those factors.

D8.10.7. GUIDELINES (CAD; CIP) FOR LCCNS

D8.10.7.1. Background

Where easily done, it is always preferable to use in a bibliographic record any LCCN printed in the book. Fewer PCN records are being created for conventional PCNs. This adds a new dimension in that books can now contain LCCNs printed in them but there may be no IBC record. A further complication is that an IBC record needs to exist before a CAD demand can be initiated. Therefore, CAD staff need guidelines with respect to LCCNs both at the IBC stage and the Book-Received stage. CIP staff only need guidelines for the Book-Received stage.

D8.10.7.2. LCCN Guidelines For CAD Staff

Follow the guidelines provided for the applicable conditions at both the IBC and Book-Received stages. Refer problems to PSD as indicated.

Condition 1	Condition 2	IBC Stage	Book-Received Stage
IBC record exists	No LCCN in IBC record	Use IBC record; do not assign LCCN	No LCCN in book; assign LCCN from CAD allotment, ensure 906 \$e = ncip
			LCCN in book; search to “clear” LCCN ¹ ; if no problem, i.e., there are no hits, use LCCN in book, ensure 906 \$e = opcn; if a problem, ² refer to PSD

¹ “Search to ‘clear’ the LCCN” in this context means staff should search the LCCN under the “LC Control No (010az) (LCCN)” index. This will search numbers in both the 010 \$a and \$z subfields.

² A “problem” in this context means that the LCCN search resulted in a hit. The LCCN searched has been used for a different title, the LCCN search results in duplicate records, or there may be some other condition that requires referral to PSD.

	LCCN in IBC record	Retain LCCN	No LCCN in book; use LCCN in IBC record
			LCCN in book; ensure it is the same as the one in the IBC record; if not, refer to PSD
IBC record does not exist	Imported record	No LCCN; do not assign	No LCCN in book; assign LCCN from CAD allotment, ensure 906 \$e = ncip
			LCCN in book; search to “clear” LCCN ³ ; if no problem, i.e., there are no hits, use LCCN in book, ensure 906 \$e = opcn; if a problem ⁴ , refer to PSD
	Contains LCCN; retain	In the unlikely event the imported record contains an LCCN; that LCCN should be printed in the book. Ensure it is the same as the one in the IBC record; if not, refer to PSD	
	“origcop” record	Do not assign LCCN	No LCCN in book; assign LCCN from CAD allotment, ensure 906 \$e = ncip
			LCCN in book; search to “clear” LCCN ⁵ ; if no problem, i.e., there are no hits, use LCCN in book, ensure 906 \$e = opcn; if a problem ⁶ , refer to PSD
Newly created		No LCCN in book; assign LCCN from CAD allotment, ensure 906 \$e = ncip	

³ “Search to ‘clear’ the LCCN” in this context means staff should search the LCCN under the “LC Control No (010az) (LCCN)” index. This will search numbers in both the 010 \$a and \$z subfields.

⁴ A “problem” in this context means that the LCCN search resulted in a hit. The LCCN searched has been used for a different title, the LCCN search results in duplicate records, or there may be some other condition that requires referral to PSD.

⁵ “Search to ‘clear’ the LCCN” in this context means staff should search the LCCN under the “LC Control No (010az) (LCCN)” index. This will search numbers in both the 010 \$a and \$z subfields.

⁶ A “problem” in this context means that the LCCN search resulted in a hit. The LCCN searched has been used for a different title, the LCCN search results in duplicate records, or there may be some other condition that requires referral to PSD.

	IBC record	Do not assign LCCN	LCCN in book; search to “clear” LCCN ⁷ ; if no problem, i.e., there are no hits, use LCCN in book, ensure 906 \$e = opcn; if a problem ⁸ , refer to PSD
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D8.10.7.3. LCCN Guidelines For CIP Staff

Follow the guidelines provided for the applicable conditions at the Book-Received stages. Refer problems to PSD as indicated.

Condition 1	Condition 2	Book-Received Stage
IBC record exists	No LCCN in IBC record	No LCCN in book; assign LCCN from CIP preliminary cataloging allotment, ensure 906 \$e = ncip
		LCCN in book; search to “clear” LCCN ⁹ ; if no problem, i.e., there are no hits, use LCCN in book, ensure 906 \$e = opcn; if a problem, ¹⁰ follow the guidelines in footnote 3. ¹¹
	LCCN in IBC record	No LCCN in book; use LCCN in IBC record
		LCCN in book; ensure it is the same as the one in the IBC record; if not, search to “clear” LCCN printed in book; follow the guidelines in footnote 4. ¹²

⁷ “Search to ‘clear’ the LCCN” in this context means staff should search the LCCN under the “LC Control No (010az) (LCCN)” index. This will search numbers in both the 010 \$a and \$z subfields.

⁸ A “problem” in this context means that the LCCN search resulted in a hit. The LCCN searched has been used for a different title, the LCCN search results in duplicate records, or there may be some other condition that requires referral to PSD.

⁹ “Search to ‘clear’ the LCCN” in this context means staff should search the LCCN under the “LC Control No (010az) (LCCN)” index. This will search numbers in both the 010 \$a and \$z subfields.

¹⁰ A “problem” in this context means that the LCCN search resulted in a hit. The LCCN searched has been used for a different title, the LCCN search results in duplicate records, or there may be some other condition that requires referral to PSD.

¹¹ If the number printed in the book has been used for another title, assign another LCCN to the record for the title in hand. Add a 952 cataloger’s note: “LCCN [actual number] printed in book used for a different title. [code] [date]”; do not attempt to retrieve the other title or otherwise investigate the duplicate question. Refer any other “problem” condition to PSD.

¹² If there is no problem, i.e., there are no hits, the LCCN printed in the book is “clear”; track it in 010\$z of the IBC record; add a 952 cataloger’s note: “LCCN [actual number] printed in book but not used for IBC record. [code] [date]”; this is easier because in this situation changing the LCCN is a complicated procedure. If the number printed in the book has been used for another title, add a 952 cataloger’s note: “LCCN [actual number] printed in book used for another title. [code] [date]”; do not track the number printed in the book in 010 \$z. Refer any complication not addressed here to PSD.

Condition 1	Condition 2	Book-Received Stage
	No LCCN in IBC	No LCCN in book; assign LCCN from CIP preliminary cataloging allotment, ensure 906 \$e = ncip
IBC record does not exist	Imported record	No LCCN in book; assign LCCN from CIP preliminary cataloging allotment, ensure 906 \$e = ncip
		LCCN in book; search to “clear” LCCN. ¹³ ; if no problem, i.e., there are no hits, use LCCN in book, ensure 906 \$e = open; if a problem ¹⁴ , follow the guidelines in footnote 3. ¹⁵ .
		In the unlikely event the imported record contains an LCCN; that LCCN should be printed in the book. Ensure it is the same as the one in the IBC record; if not, refer to PSD
	“origcop” record	No LCCN in book; assign LCCN from CIP preliminary cataloging allotment, ensure 906 \$e = ncip
		LCCN in book; search to “clear” LCCN. ¹⁶ ; if no problem, i.e., there are no hits, use LCCN in book, ensure 906 \$e = open; if a problem ¹⁷ , follow the guidelines in footnote 3. ¹⁸ .
	Newly created IBC	No LCCN in book; assign LCCN from CIP preliminary cataloging allotment, ensure 906 \$e = ncip

¹³ “Search to ‘clear’ the LCCN” in this context means staff should search the LCCN under the “LC Control No (010az) (LCCN)” index. This will search numbers in both the 010 \$a and \$z subfields.

¹⁴ A “problem” in this context means that the LCCN search resulted in a hit. The LCCN searched has been used for a different title, the LCCN search results in duplicate records, or there may be some other condition that requires referral to PSD.

¹⁵ If the number printed in the book has been used for another title, assign another LCCN to the record for the title in hand. Add a 952 cataloger’s note: “LCCN [actual number] printed in book used for a different title. [code] [date]”; do not attempt to retrieve the other title or otherwise investigate the duplicate question. Refer any other “problem” condition to PSD.

¹⁶ “Search to ‘clear’ the LCCN” in this context means staff should search the LCCN under the “LC Control No (010az) (LCCN)” index. This will search numbers in both the 010 \$a and \$z subfields.

¹⁷ A “problem” in this context means that the LCCN search resulted in a hit. The LCCN searched has been used for a different title, the LCCN search results in duplicate records, or there may be some other condition that requires referral to PSD.

¹⁸ If the number printed in the book has been used for another title, assign another LCCN to the record for the title in hand. Add a 952 cataloger’s note: “LCCN [actual number] printed in book used for a different title. [code] [date]”; do not attempt to retrieve the other title or otherwise investigate the duplicate question. Refer any other “problem” condition to PSD.

Condition 1	Condition 2	Book-Received Stage
	No LCCN in IBC record	No LCCN in book; assign LCCN from CIP preliminary cataloging allotment, ensure 906 \$e = ncip
		LCCN in book; search to “clear” LCCN. ¹⁹ ; if no problem, i.e., there are no hits, use LCCN in book, ensure 906 \$e = opcn; if a problem ²⁰ , follow the guidelines in footnote 3. ²¹ .

D8.10.8. CATALOGING TEAMS AND CAD CLAIMS

D8.10.1.2 describes changes made in January, 2002, the impact of which on cataloging teams is as follows:

- 1) cataloging teams, for the most part, no longer need to refer items to CAD;
- 2) other units, including cataloging teams, can use any HR created in support of a CAD claim according to the guidelines stated in D8.10.8.1.1;
- 3) CAD will discontinue using a special CAD 955 and will instead use a regular 955 field.

These changes, along with two other changes, the decision in April, 2001 for CIP staff to resume making HR/IR complements for items received in CIP and the change in June, 2001 in the formulation of the data in field 955, make it difficult to predict all the various combinations of factors a cataloging team is likely immediately to encounter. As a generalization, when a cataloging team receives an item to catalog or another copy to be added to the collections AND there is an HR created in support of an outstanding CAD claim (the 852 \$b location is “m-CopyLib1” or “m-CopyLib2”), the cataloging team first determines if the item in hand is to be added. If so, staff in the cataloging team then follow the guidelines in DCM D8.10.8.1.1. Otherwise, they follow the guidelines in DCM D8.10.8.2.

D8.10.8.1. CAD Location Possibly Available For Use In Lieu Of Creating Separate HR/IR

¹⁹ “Search to ‘clear’ the LCCN” in this context means staff should search the LCCN under the “LC Control No (010az) (LCCN)” index. This will search numbers in both the 010 \$a and \$z subfields.

²⁰ A “problem” in this context means that the LCCN search resulted in a hit. The LCCN searched has been used for a different title, the LCCN search results in duplicate records, or there may be some other condition that requires referral to PSD.

²¹ If the number printed in the book has been used for another title, assign another LCCN to the record for the title in hand. Add a 952 cataloger’s note: “LCCN [actual number] printed in book used for a different title. [code] [date]”; do not attempt to retrieve the other title or otherwise investigate the duplicate question. Refer any other “problem” condition to PSD.

All CAD demands are made through the Acquisitions Module and therefore have a Purchase Order (P.O.) attached to the HR. (In general, the “P.O. attached” condition can be determined from the Associated Record Display (ARD). Any time data are present in the “Order Status” column (e.g., “1 Copy Received as of 11/21/2001”) that is the signal that a P.O. is attached to the HR.) The guidelines take this condition into account, i.e., follow the guidelines and procedures in DCM D8.10.8.1.1 provided for the applicable conditions even when there is evidence of a P.O. attached.

The examples in this section illustrate new procedures that were implemented in January, 2002 but within the context of a separate CAD 955 field used prior to that time and illustrated as follows:

```
955 ##      $a to ASCD pc 19 09-08-00; jb14 09-11-00; jb04 09-12- 00;
            jb15 09-12-00 to Dewey; aa05 09-12-00
955 ##      $a CAD ufixx 01-15-01
```

D8.10.8.1.1. Guidelines for using CAD-created HRs/IRs

The decision has been made to add a copy in hand.

Condition 1	Condition 2	Action (regardless of source of item)
“CopyLib1” and/or “CopyLib2” in HR 852 subfield \$b	No IR exists	Use the CAD-created HR; complete cataloging/shelflisting; delete a separate CAD 955 when present; change the location in HR 852 \$b; unsupress HR from the OPAC; create an IR according to standard procedure, add item barcode
	IR exists, does not contain an item barcode	Use the CAD-created HR; complete cataloging/shelflisting; delete a separate CAD 955 when present; change the location in HR 852 \$b; unsupress HR from the OPAC; update IR according to standard procedure, add item barcode, and change the location in the IR “Perm. Loc.”
	IR exists, contains an item barcode	If item barcode on the copy in hand is the same as that in the IR, use the CAD-created HR; complete cataloging/shelflisting; delete a separate CAD 955 when present; change the location in HR 852 \$b; unsupress HR from the OPAC; change the location in the IR “Perm. Loc.”

		If item barcode on the copy in hand does not match barcode in IR, do not use that CAD-created HR; if another CAD-created HR exists and it meets the specifications of this table, use it; otherwise, create a new HR/IR complement, using the item barcode on the copy in hand
--	--	--

D8.10.8.1.2. CAD location used for first CIP copy received

This illustrates the situation in which the first CAD location is used for the first CIP copy received. Data elements in the record at the time the cataloging staff receives the item for CIP verification are as follows:

```
BR: 955 ##      $a to ASCD pc 19 09-08-00; jb14 09-11-00; jb04
                09-12-00; jb15 09-12-00 to Dewey; aa05 09-12-00 $a
                pc19 2002-01-02 bk. rec'd., to CIP ver.

HR: 852 0#      $b c-GenColl $h [class] $i [book number] $t Copy 1
                IR: [appropriate to this stage]

HR: 852 0#      $b m-CopyLib2
```

The staff does CIP verification, including end-stage processing. For a while CIP staff suspended barcoding items but resumed doing so in April, 2001. Therefore, it is likely that items processed under the changed CAD procedures will already have been barcoded and the barcode scanned into the IR by the time the team receives the item.

D8.10.8.1.3. CAD location available for use for an added copy

This illustrates the situation in which a cataloging team proceeds to add another copy and there is an existing HR created by CAD for an outstanding CAD demand. The team determines, according to DCM D8.10.8.1.1, whether to use the CAD-created HR. Data elements in record at the time the cataloging team receives another copy:

```
BR: 955 ##      $a to ASCD pc 19 09-08-00; jb14 09-11-00; jb04
                09-12-00; jb15 09-12-00 to Dewey; aa05 09-12-00 $a
                pc19 2002-01-02 bk. rec'd., to CIP ver. $f vk 07
                2002-02-05 $g vk05 2002-02-08 to BCCD
                955 ##      $a pn38 2002-03-01 ADDED COPIES: another copy to SMCD

HR: 852 0#      $b c-Music $h [class] $i [book number] $t Copy 1 IR:
                [regular IR]

HR: 852 0#      $b m-CopyLib2
```

Instead of creating another, separate, HR, the team determines to use the one created by

CAD. The team changes the location and unsupresses the HR from the OPAC. In addition the team does what is needed to ensure the item is barcoded and is represented by a standard IR. Data elements in records after the team completes its work:

```
BR: 955          $a to ASCD pc 19 09-08-00; jb14 09-11-00; jb04
                  09-12-00; jb15 09-12-00 to Dewey; aa05 09-12-00 $a
                  pc19 2002-01-02 bk. rec'd., to CIP ver. $f vk 07 2002
                  02-05 $g vk05 2002-02-08 to BCCD $e vk05 2002-05-04
                  Copy 2 added; to BCCD

HR: 852 0#       $b c-Music $h [class] $i [book number] $t Copy 1 IR:
                  [regular IR]
HR: 852 0#       $b c-Music $h [class] $i [book number] $t Copy 2 IR:
                  [regular IR]
```

D8.10.8.2. CAD Location Exists, Copy Not Added

As described in DCM D8.10.2.2.1 2) CAD keeps an audit trail for all the copies it demands. Therefore, cataloging teams are asked to assist CAD in this procedure. Use the following guidelines for the applicable conditions when the decision is made not to add the copy in hand.

Condition 1	Condition 2	Condition 3	Action
No HR with CAD location			Dispose of copy not added according to standard procedure (forward to ANAD/MAILR&R for use in exchange)
"CopyLib1" or "CopyLib2" in HR 852 subfield \$b	No Copy-right stamp in copy not to be added		Dispose of copy not added according to standard procedure (forward to ANAD/MAILR&R for use in exchange)
	Copyright stamp in copy not to be added	No IR exists	Change the location in the CAD-created HR to "m-Surplus"; create an IR, add the item barcode from the copy not to be added (barcode it if no barcode present), set the "Perm. Loc." to "m-Surplus (do not retain)"; forward copy not added to ANAD/MAILR&R for use in exchange
		IR exists, does not contain an item barcode	Change the location in the CAD-created HR to "m-Surplus"; create an IR, add the item barcode from the copy not to be added (barcode it if no barcode present), set the "Perm. Loc." to "m-Surplus (do not retain)"; forward copy not added to ANAD/MAILR&R for use in exchange

		IR exists, contains an item barcode	<p>If barcode on copy not to be added matches barcode in IR, change the location in the CAD-created HR to “m-Surplus”; set the “Perm. Loc.” to “m-Surplus (do not retain)”; forward copy not added to ANAD/MAILR&R for use in exchange</p> <p>If barcode on copy not to be added does not match barcode in IR, do not use that CAD-created HR; if another CAD-created HR exists and it meets the specifications of this table, use it; otherwise, send copy to: “Head, Technical Processing Section, CAD” with note “Surplus copy; Copyright stamp in book; no IR containing barcode on item.”</p>
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D8.11. Appendix 5: CIP Verification Checklist

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D8.11.1. General

D8.11.1.1. Introduction

The purpose of Cataloging-in-Publication (CIP) verification is to add information to the bibliographic record (BR) that was not available at the pre-publication stage and to ensure that CIP cataloging accurately reflects the published book. Because there is no guarantee that the published book incorporates the pre-publication data submitted by the publisher, CIP verification requires a detailed character-by-character check of the data elements in the bibliographic record against the data elements present in the actual, published book.

Use this document as a procedural checklist when performing CIP verification. It covers all the areas of the bibliographic record as well as holdings and item records. The main part of the checklist is organized in the order of the MARC field tags as they appear in the bibliographic record. This document assumes prior training and knowledge of Voyager, the MARC format, descriptive cataloging rules (AACR2 and RDA), shelflisting, and end-stage processing.

D8.11.1.2. Cataloging Guidelines

This document was originally oriented to *Anglo-American Cataloging Rules, Second Edition* (AACR2). *Resource Description & Access* (RDA) has been followed in various aspects for several years prior to formal implementation March 31, 2013. During the transition from AACR2 to RDA, at the time of CIP verification, LC policy is to follow the cataloging standard of the original CIP cataloging (AACR2 or RDA). Thus this document incorporates guidelines related to RDA in addition to those related to AACR2.

D8.11.1.2.1. BIBCO Standard Record (BSR)/LC BIBCO Standard Record (LC BSR)

As part of the Program for Cooperative Cataloging, a basic standard guideline called the BIBCO Standard Record (BSR) was developed. For information on the BSR see:

<http://www.loc.gov/aba/pcc/bibco/bsr-maps.html>

LC has identified elements in addition to the BSR for LC AACR2 cataloging (LC BSR). For information on the LC BSR see:

<http://www.loc.gov/catdir/cpsolcbsrmap.pdf>

D8.11.1.2.2. RDA core/LC core

RDA introduces the concept of "core" elements. These elements must be recorded if data are available. Some elements are always core (if applicable and the information is available); some are "core if" (only in certain situations). LC has identified elements (LC core) in addition to RDA core for LC cataloging. For information on LC Core see:
http://www.loc.gov/aba/rda/pdf/core_elements.pdf

RDA core and LC core data elements have been explicitly noted when judged appropriate as a reminder.

D8.11.1.3. Documentation

CIP verification documentation is in:

DCM D8: Cataloging in Publication Procedures

LC AACR2 BSR: <http://www.loc.gov/catdir/cpsolcbsrmap.pdf>

LC RDA Core: http://www.loc.gov/aba/rda/pdf/core_elements.pdf

D8.11.1.4. Abbreviations

Abbreviations used in this checklist:

PCN = preassigned control number

BR = bibliographic record

HR = holdings record

IR = item record

\$ = delimiter

= blank

D8.11.1.5. CIP Partners

CIP partners are other libraries that cooperate with LC in creating CIP records. Their records can be recognized as follows:

008/39 (Cataloging Source) contains value "c" (Cooperative cataloging program)

The partnership is expressed in 040 subfield \$a by the MARC Organization Code of the partners in the form "[code for partner]/DLC"; examples: DNLM/DLC; DNAL/DLC; NIC/DLC

Field 042 contains the code "pcc"; this code indicates that the partner library is also a participant in the Program for Cooperative Cataloging (PCC)

It is important to recognize CIP partner records, because some CIP partners continue to

provide **series added entries**, whereas LC does not (cf. 490 Field below).

D8.11.1.6. Voyager Preferences

Under the General tab ensure the following preferences are set:

Holdings/Item default location:	c-General Collections/CMD
Call Number Hierarchies:	LCclass-050a&b
Bibliographic Import/Replace Profile:	LCCNadd
Authority Import/Replace Profile:	ARLCCNadd

Under the Validation tab ensure "Display all the headings" is checked.

D8.11.1.7. Searching

Search by title and under ISBN. Searching two ways is the only way to find duplicate records (publishers sometimes submit data both for CIP and PCN, thus creating duplicate records). If two or more records are found for the same title **and** ISBN, follow section practice in resolving the duplication.

Be mindful of bibliographic records for e-books which are now being created through the CIP E-Book Initiative. These records have many of the same data elements that records for the print manifestation contain. Note the following characteristics that readily identify CIP e-book records:

- presence of control fields 006 and 007 (all)
- 906 \$c = origcop (all)
- 925 = \$a undetermined \$e ecip book \$x policy default (all)
- 245 \$h = [electronic resource] (AACR2 record)
- 300 \$a = 1 online resource (all)
- 336 \$a = text (all)
- 337 \$a = computer (mostly RDA; a few AACR2)
- 338 \$a = online resource (all)
- 588 \$a begins "Description based on print version record ..." (all)

Be aware that the book's title may have changed since the CIP cataloging was completed without the publisher submitting a CIP change request. In this instance, the title in the 245 field of the BR will not match the title in the printed book. If a BR is found with the same ISBN of the book but a different title, verify that the LCCN (010 field) of the BR matches the LCCN

printed in the book.

If the BR for your item is a **completed record** (906 \$a 7 \$b cbc, no 263 field, and a completed 300 field), look at the 925 field and the record hierarchy to determine if adding another copy is appropriate:

If another copy is needed and cataloging for the first copy is complete, add the second copy according to standard procedure.

If the record hierarchy shows the number of copies to be acquired as indicated in field 925 have already been added, discard the copy in hand according to standard procedure.

If the BR for your item **requires CIP verification** (906 \$e ecip or 906 \$e ocip, 263 field present, 300 field incomplete) follow the procedures outlined in this checklist.

D8.11.2. Bibliographic Record—Individual Data Elements

The following guidelines to be used in CIP verification are given in the order of MARC fixed and variable field order.

D8.11.2.1. Leader

Change the encoding level from "8" to "#" (blank; LC BSR). Ensure that field 042 contains the code "pcc". For RDA records, ensure that Ldr/18 (Descriptive cataloging form) contains "i" (Includes ISBD punctuation).

D8.11.2.2. 008 Control Field

Assess the characteristics of the book and supply appropriate values in fixed field positions: note especially values for the date(s) of publication (see below), place of publication, illustrations (as reflected in 300 subfield \$b), bibliography, and index. For resources intended for children, ensure that the appropriate value is set in the position for target audience (008/22).

D8.11.2.2.1. Date of Publication

The date(s) of publication requires careful attention because it must be consistent with that in the BR 050 \$b subfield and 260 or 264 \$c subfield, and that in the HR 852 \$i subfield. If the date of publication is changed during CIP verification because of information found in the book, it must be changed in all the above places.

Special note 1: if the BR contains a 110 or 111 field for a conference with a date, the date used in the 050 field and HR 852 field is that of the date of the conference but the date used in 008, 260/264

subfield \$c is the date of publication (cf. 260 or 264 field below).

- Special note 2:** if the BR is an RDA record that contains a date of publication in a field 264 and a copyright date in a repeated 264 subfield \$c (ensure that the subfield is \$c, **not** \$a), ensure that the 008/06 (Type of date) is "t" (Publication date and copyright date) and that 008/07-10 (Date 1) and 008/11-14 (Date 2) contain publication date and copyright date respectively.

D8.11.2.3. 906 Field (Local Processing Data)

- In subfield \$a change "0" to "7".
- Ensure \$b is set to "cbc".

Macro: Ctrl+Shift+F7 updates 906 for completed record (\$a 7 and \$b cbc).

D8.11.2.4. 925 Field (Local Selection Decision)

- Subfield \$a indicates whether to acquire or not; subfield \$b indicates the number of shelf copies to be acquired. After performing CIP verification, assess the copy in hand in relation to the number to be acquired. The first copy is Copy 1.
- If a copy subsequent to Copy 1 is within the number of copies to be acquired, follow the procedures for adding copies.
- If a copy is subsequent to Copy 1 and the requisite number of copies has been acquired, follow the procedure for discarding the copy in hand.
- If subfield \$a indicates "do not acquire" or if there is a "do not add to collections" slip in the book, follow the procedures described in the section "Do Not Acquire"(D8.11.3.3).
- If the book in hand contains an "acquire 1 copy" slip, follow the procedures on the slip to adjust the 925 field so that subfield \$b reads "1 shelf copy" (or "1 shelf copies").

D8.11.2.5. 955 Field (Local Tracking Information)

- Add in subfield \$f "[staff code and date] CIP ver. to CALM" (or "BCCD" as appropriate) to indicate that the task done was CIP verification; if 2 copies are processed together, indicate "[staff code and date] CIP ver. 2 copies to CALM"; if the copies are paperback, indicate the disposition of each, usually 1

copy to BCCD to be bound and 1 copy to CALM. Detailed information about routing books that have completed cataloging may be found at: http://www.loc.gov/staff/aba/psd/route_items.pdf (Since law and music resources are processed by the staff designated to handle those resources, they are tracked and forwarded as appropriate.)

- If you are not the verifier identified in subfield \$f, add in subfield \$e "[staff code and date]" to indicate that the task done was end-stage processing for the copy in hand.

D8.11.2.6. 010 Field (Library of Congress Control Number (LCCN))

- Verify that the LCCN used in the BR is printed in the book; if not printed, write in book (if a multipart monograph, earliest volume of volumes being processed together). If the LCCN printed in the book is not the LCCN in the BR, reconcile according to section practice.

D8.11.2.7. 020 Field (International Standard Book Number (ISBN))

- Verify that the ISBN in the BR is the same as the one in the book. If there are multiple ISBNs, ensure that the one for the manifestation in hand is the one given first.
- For multiple ISBNs, each manifestation (e.g., hardbound; paperback; set ISBN) gets its own ISBN in a separate 020 field. If an ISBN clearly represents a different manifestation from the resource being cataloged and would require a separate record (e.g., e-book; large print), ensure that that ISBN is recorded in 020 subfield \$z (Canceled/invalid). See LC-PCC PS 2.15.1.7 for details.
- Add qualifiers as appropriate, e.g. "(pbk. : v. 1)".
- Although the formal switch from ISBN-10 to ISBN-13 occurred on January 1, 2007, many publishers are continuing to provide an ISBN-13 and an ISBN-10; when provided, continue to include such ISBN pairs in the BR (ISBN-13 preceding ISBN-10).

D8.11.2.8. 040 Field (Cataloging Source)

- Add "\$d DLC" (Ctrl+Shift+F9) if not already present. For RDA records, ensure the presence of subfield \$b containing "eng" and subfield \$e containing "rda".

D8.11.2.9. 041 Field (Language Code)

- Assess the language content of the resource, and make necessary changes/additions.

D8.11.2.10. 042 Field (Authentication Code)

- Prior to June 1, 2006 code "pcc" was used in LC CIP records to indicate core level cataloging (along with encoding level value "4"); it was not used in LC CIP records between June 2, 2006 and October 17, 2010, although it continued to be used in CIP partner records.
- Beginning October 18, 2010, use of code "pcc" was resumed in LC CIP records (along with encoding level value # (blank)) to indicate an LC BSR record. Code "pcc" continues to be used in CIP partner records (cf. Introduction).

D8.11.2.11. 043 Field (Geographic Area Code)

- Do nothing.

D8.11.2.12. 050 Field (Library of Congress Call Number)

- If the book has a "do not add to collections" slip in it, change the 1st indicator from "0" to "1".
- When the date of publication is used in 050, in general, ensure that it matches the date of publication in 264 \$c (260 \$c in AACR2 records). However, be aware that there are certain instances in which the date in 050 is not that of the date of publication, e.g. congress or conference publications, classification subarranged by specific date, facsimiles, special artists, etc.
- When the call number contains a date of publication and there is a change in the date in the 264 \$c subfield (260 \$c in AACR2 record), change the date in the 050 to match the actual date. If HRs and IRs are already present, ensure the change is also reflected in the HR.

In the special cases listed below, when there may be no one-to-one correlation between the imprint date and the date used in the 050, handle the change according to section practice. Citations to the *Classification and Shelflisting Manual* (CSM) are provided for reference purposes, but in case of doubt, handle according to section practice.

Congress or conference publications (G 140; G 230);
Commentaries on a specific conference (G 230);

- Multiple editions of a work, with the same imprint date (G 140);
 - Classification subarranged by specific date (G 140);
 - Commentaries on a specific corporate body's work (G 340);
 - Multiple publications of a corporate body in the same year; (G 140, G 220);
 - Supplementary works cataloged separately (G 155).
- Check the 050 against the call number printed in the CIP data on the verso of the title page; if they are not identical, line through the number on the verso of the t.p. in pencil.

D8.11.2.13. 051 Field (Library of Congress Copy, Issue, Offprint Statement)

This field is used to record the existence of another copy under a different call number from that in field 050. In CIP verification, this field will most often likely be encountered in records for LC publications. A special section has been established in the Z classification schedule to make it possible for the Library to class copies of its own publications together and maintain them in a separate archival collection in the Rare Book and Special Collections Division. In the case of LC publications, the classification appropriate to the subject of the resource is provided in field 050. The classification assigned from the special section of Z for LC publications is provided in field 051. Note that because this is a call number different from that in the 050, this copy of the resource is treated as a resource in and of itself, i.e., for inventory purposes (HR/IR), it is not treated as a "copy" of the resource represented by the call number in field 050. For more information on the treatment of LC publications, see CSM F 620.

- If field 051 is absent in a record for an LC publication, consult according to section practice.
- When the field is present in a record for an LC publication, ensure that the date in 051 is the same as that in 050.

D8.11.2.14. 082 Field (Dewey Decimal Classification Number)

- Do nothing.

D8.11.2.15. 084 Field (Other Classification Number)

This field may contain Book Industry Subject and Content (BISAC) codes and/or American Mathematical Society (AMS) codes. The BISAC codes are taken from Online Information Exchange (ONIX) data, which is an XML schema for representing book industry product information. The AMS codes are supplied by the American Mathematical Society in its applications for CIP data for its publications. The source of each code (or codes, since more than one code may be given) is identified in subfield \$2.

Examples:

BISAC code: 084 ## \$a SCI041000 \$2 bisacsh

AMS code: 084 ## \$a 14H52 \$a 11G05 \$a 11F03 \$a 11G40 \$2 msc

- Do nothing.

D8.11.2.16. 1XX Field (Main Entry Fields)

Note about terminology:

Under RDA guidelines, the concepts of "Main Entry" and "Added Entry" have been replaced by the concept of relationships represented by "Authorized Access Points." The entities recorded in access points are known as "Creators" and "Contributors", and other relationships (these entities can be persons, families, or corporate bodies).

As under AACR2, MARC coding is used to distinguish between those entities recorded in 1XX fields and those recorded in 7XX fields, and there is no absolute correspondence between the MARC fields and the terms "creator" and "contributor". Generally:

- the principal or first-named creator is recorded in the 1XX field, except for compilations by different creators;
- other creators may be recorded in a 7XX field, or not recorded in an access point; contributors may be recorded in a 7XX field, or not recorded in an access point;
- contributors MAY NOT be recorded in the 1XX field;
- an access point can be provided for any entity, even an entity not recorded in a statement of responsibility or elsewhere in the description.; there is no principle of "justification."
- Because there is no guarantee that the book that is actually published reflects the data that may have been submitted at the CIP stage, first and foremost, **assess the data on the title page against the data in the BR**, and make any needed adjustments to reflect the book. For example, at the pre-publication stage a work may be presented as written by a person but the published book indicates it was edited by that person. If it is necessary to change the authorized access points (e.g., deleting a 100 field and making the record a title entry), the Cutter number in 050 may need to be changed; consult according to section practice.
- In the case of a creator, ensure the person, etc. named in the book is the same

person, etc. given in the 1XX authorized access point; assure that the name is represented by a name authority record; if there is no authority record or if there is one with a 667 field stating "THIS 1XX FIELD CANNOT BE USED UNDER RDA UNTIL THIS RECORD HAS BEEN REVIEWED AND/OR UPDATED", consult according to section practice.

Note that in RDA records, a 1XX field (usually a 100 field) may contain multiple relationship designators, each in a separate subfield \$e.

D8.11.2.17. 240 Field (Uniform Title)

- For RDA records, note that "Polyglot" is not used in subfield \$l and that multiple languages (e.g., French & English) are not used. Instead, the guideline calls for providing specific information about the language of each expression in a separate 7XX 12 field.
- If the resource is a translation, ensure the presence of the preferred title of the original and that only one language name appears in subfield \$l. If the resource is a compilation of works by one creator, ensure the presence of the correct form of the conventional collective title if appropriate (for example, note that "Selections" by itself is not an appropriate title).

D8.11.2.18. 245 Field (Title Statement)

- Compare the title page of the book in hand carefully with the title area of the BR; make changes and add other title information, etc. as needed and according to the transcription conventions of the cataloging guidelines reflected in the record.
- For RDA records, apply "Transcribe what you see" to the data constituting the 245 field. This means generally recording titles such as "Dr." as well as affiliations (such as universities) when not too burdensome. Capitalize according to the guidelines in RDA Appendix A or LC-PCC PS 1.7.1, first alternative. If the subject or language is unfamiliar, transcribe the forms found in the resource. Do not correct errors or typos for monographs. Do not record [sic] or [i.e.]. The source for parallel title has been expanded to include any source within the resource. Generally do not abridge statements of responsibility. Generally record all persons or bodies in the first statement of responsibility; if it is necessary to omit names because it would be burdensome to record all of them, indicate the omission using RDA's technique ([and [Arabic numeral, e.g., 6] others]), instead of AACR2's technique ([et al.]).

- Make any changes to 245 \$a, \$b, \$c, \$n, and \$p needed to make the BR reflect ("represent") the title page of the published book. If you think these changes may result in changes to the overall cataloging reflected in the bibliographic record, consult according to section practice. For example, at the pre-publication stage, the resource was presented as being written by an author. Now the published book is presented as being written by several people. Often the "author" at the pre-publication stage is now the editor.

D8.11.2.19. 250 Field (Edition Statement)

- Look for an edition statement standing alone (not embedded in text); do not take an edition statement from the CIP data in the book.
- Ensure that the BR is the appropriate record for the edition in hand; if there is any question in this regard, consult according to section practice.
- For RDA records, ensure the transcription of an edition statement as it appears on the source of information. Do not abbreviate, do not convert words to numbers, or numbers to words.

D8.11.2.20. 260 Field (Publication, Distribution, etc. (Imprint) (AACR2))

- If a foreign place of a multinational publisher occurs first, record it according to AACR2 1.4C5; make any necessary adjustment to field 008.
- If there is a distributor, record it according to AACR2 1.4D and LCRI 1.4E.
- Check the date of publication very carefully because any errors discovered subsequent to CIP verification are very expensive and time consuming to correct (among other things, copies have to be requested and spine labels on them changed). Correct the date of publication if necessary, updating the date in field 008 and in the HR if present; if the date of publication is used in the 050, also change that and line out with pencil the call number as printed in the book.

D8.11.2.21. 263 Field (Projected Publication Date)

- Delete.

D8.11.2.22. 264 Field (Production, Publication, Distribution, Manufacture, and Copyright Notice) (RDA)

For RDA records, publication, distribution, and manufacture statements are recorded in field 264. The second indicator is used to denote the function of the recorded entity. If an RDA

record contains field 260 (used before field 264 was defined), change it to field 264 and assign a second indicator value as appropriate.

LC practice for core element for place: If the first place of publication is not in the U.S., and all places of publication are not being recorded for CIP records, also record the first U.S. place of publication. Apply this requirement at both the CIP galley and CIP verification stages. Only the first-named publisher is core. Date of publication is a core element. Distribution elements are core **only** when publication data cannot be identified. Manufacture elements are core **only** when neither publication nor distribution data can be identified. However, distribution and/or manufacture elements may be added optionally by the cataloger in addition to publication element.

Transcribe places of publication in the form in which they appear on the resource. Transcribe the larger jurisdiction if it appears on the resource; if it does not appear, it may be added if judged helpful to the user. Transcribe the publisher's name as it appears on the resource; do not omit words, initials, statements of function, or levels of hierarchy; do not abbreviate terms (e.g., "Publishing"). Generally, transcribe the date as it appears on the resource; this may mean transcribing roman numerals.

LC staff are strongly encouraged to supply a place and date of publication if not found on the resource. This is preferable to the RDA instruction to record "[Place of publication not identified]" or "[date of publication not identified]".

Copyright date is a core element only if neither date of publication nor date of distribution is identified. Adding a copyright date in a separate 264 \$c subfield is an option at the discretion of a staff member. When making such an addition, adjust field 008 accordingly. Often the copyright date is a valid means of inferring a date to be supplied (in brackets) as a publication date.

- If a copyright date occurs alone in field 264 with second indicator of 4, ensure that subfield \$c has been used preceding the date and that the 008/06 "Type of date" element has been set to "t" (Publication date and copyright date) and that "Date 1" and "Date 2" have been populated.

D8.11.2.23. 300 Field (Physical Description)

- Accurately record the pagination (crucial for identifying a manifestation).
- Record any illustration statement (update the 008 field as appropriate). LC core for resources intended for children.
- Record the size; in RDA records, no period after "cm" unless a series statement is present.

- If the book contains any accompanying material (DVD, CD-ROM, pamphlet, etc.), indicate this in subfield \$e, examples: "+ \$e 1 CD-ROM (4 3/4 in.);" "+ \$e 1 DVD + 1 pair 3-D glasses;" "+ \$e 1 answer book + 2 dolls." Note that accompanying material may also be described in a separate 300 field or in a note (cf. LCRI 1.5E1 or LC-PCC PS 3.1.4).
- For RDA records, do not use abbreviations for terms of extent (e.g., "pages" or "volumes", not "p." or "v."). Record "1 volume (various pagings)" for complicated or irregular paging. For incomplete multipart monographs, record only "volumes" in \$a; ensure that the volume being processed is represented by an item record. Ensure that subfield \$b records the presence of illustrations if the resource is intended for children. Do not use abbreviations (e.g., record "illustrations" or "color", not "ill." or "col.").

D8.11.2.24. 33X Fields (Content Type; Media Type; Carrier Type)

In RDA records, three fields replace the General Material Designator as follows:

CONTENT TYPE

336 Field - RDA 6.9 - Example for a book: 336 ## \$a text \$2 rdacontent

MEDIA TYPE

337 Field - RDA 3.2 - Example for a book: 337 ## \$a unmediated \$2 rdamedia

CARRIER TYPE

338 Field - RDA 3.3 - Example for a book: 338 ## \$a volume \$2 rdacarrier

- Ensure the terms in the three fields accurately reflect the book. For additional terms, consult the RDA guideline cited above.

D8.11.2.25. 490 Field (Series Statement)

- Ensure the series title is transcribed in the series area (490) exactly as it appears in the book. If the series title varies, take the series statement in this order from 1) the series title page, 2) the book title page, 3) anywhere in the resource. In cases requiring clarification on how to treat series information, consult according to section practice.
- In AACR2 records if "volume" is not abbreviated in the source, abbreviate it

as "v." in subfield \$v. In RDA records, transcribe the numbering designation as found.

- In AACR2 and RDA records, if "volume" is abbreviated as "vol." in the source, transcribe it in 490 0# that way; if a 490 1#/8XX combination is appropriate, record "vol." in \$v of 490 1# and as "v." in \$v of 8XX.
- In AACR2 records, substitute Arabic numerals for roman numerals in the series numbering. In RDA records, record roman or Arabic numbers in the series numbering as found on the resource.
- As of June 1, 2006 LC policy is not to provide series added entries. Transcribe the series title in a 490 0# field. An exception is made for records created by LC CIP partners: if they choose to provide a series added entry (490 1#/8XX combination), LC accepts that treatment but does not search the series or confirm authority work.

D8.11.2.26. 500 Field(s) (General Note)

- Verify that the notes accurately reflect the printed book. Add or delete notes as needed.
- Indicate the presence of an index ("Includes index."); adjust 008/31 when added; see under 504 field when to combine with field 504.

D8.11.2.27. 504 Field (Bibliography, etc. Note)

- Indicate the presence of bibliographical references per LCRI 2.7.B18 or RDA 7.16; if both an index and bibliographical references are present, combine the information:

AACR2: 504 ## \$a Includes bibliographical references (p. 245-246)
 and index.

RDA: 504 ## \$a Includes bibliographical references (pages
 245-246) and index.

Note that in RDA records, abbreviation is not used; neither are square brackets used in citing pagination.

- The 504 field may contain parentheses indicating pagination to be recorded for the bibliographical references. Update or delete this as appropriate. Example:

AACR2: 504 ## \$a Includes bibliographical references (p.).

RDA: 504 ## \$a Includes bibliographical references (page [or pages]).

- Only give page numbers if the references are organized in a section with consecutive pagination. For example, if bibliographical citations are recorded only at the end of each chapter or in footnotes throughout the text, do not give page numbers. If they are included either throughout the text and in a separate section or only in a separate section, give the pagination of the separate section. This section may be described in the book as "Bibliography," "Notes," "Works Cited," "For Further Reading," or otherwise.
- Adjust 008 accordingly when adding field 504, whether a single or combined statement.

D8.11.2.28. 505 Field (Formatted Contents Note)

- The BR may include a 505 field indicating the book's table of contents (cf. DCM D8.9). The origin of the table of contents may be from the "ecip" or may be from another source (in such a case the display constant "Machine generated contents note:" is used).
- For a contents note without the display constant, assess whether the 505 field in the bibliographic record reflects the TOC in the publication. When this is not the case, determine whether to adjust the 505 field to reflect the publication based on the amount of time such an adjustment would take. If the time needed to adjust is burdensome, delete the 505 field; otherwise, adjust it. Compare the table of contents of the book in hand to the 505 data; make changes as needed.
- For a contents note with the display constant "Machine generated contents note:", determine if the contents note actually fits the book. If not, delete it. If the contents note does fit the book, do not do a detailed comparison to see if the machine generated contents note reflects the table of contents in the book.

D8.11.2.29. 520 Field (Summary, etc.)

- Ensure that a summary note is present if the resource is fiction intended for children.
- Publishers often provide summaries at the pre-publication stage. When this is the case, ensure that Indicator 1 is set to blank (display constant "Summary"), the summary is enclosed within quotation marks, and the attribution is given in subfield \$c:

... – \$c Provided by publisher.

D8.11.2.30. 6XX Fields (Subject Access Fields)

These fields contain Library of Congress Subject Headings (LCSH).

- In general, do not make changes except for obvious errors (e.g., typo; incorrect subfield code).
- When saving a record, note any cosmetic differences or the lack of any counterpart authority record for a heading (or main portion of a heading when subject subdivisions are used).

Records may also contain BISAC and AMS subject headings in 650 fields. They are textual equivalents of the codes described in DCM D8.11.2.15. The second indicator of such a field is set to value "7" (Source specified in subfield \$2) and either "bisacsh" or "msc" in subfield \$2. Note that these fields do not validate.

Examples:

BISAC subject heading: 650 #7 \$a SCIENCE /Mechanics /General. \$2 bisacsh

AMS subject heading: 650 #7 \$a Algebraic geometry - Curves - Elliptic curves \$2 msc

- Do nothing.

D8.11.2.31. 7XX Fields (Added Entry Fields)

See under DCM D8.11.2.16 (1XX Field (Main Entry Fields)) for general information about 1XX, 7XX fields under RDA.

- When saving a record, note any cosmetic differences or the lack of any counterpart authority record for a heading (or main portion of a heading when subject subdivisions are used).
- If there are questions about authorities, consult according to section practice; if authority work is needed, follow section practice.
- Ensure that an access point has been provided for the illustrator of a resource intended for children and that the relationship designator "illustrator" has been included in subfield \$e; this is an LC core element.
Note that in RDA records, a 7XX field (usually a 700 field) may contain multiple relationship designators, each in a separate subfield \$e.

D8.11.2.32. 856 Field (Electronic Location and Access)

- Do nothing.

D8.11.2.33. 952 Field (Local Cataloger's Permanent Note)

- Note this field in passing; take action only if there is an instruction to the verifier; catalogers often leave notes to the verifier to follow up on important questions of description that could not be answered at the time the CIP record was created.

D8.11.2.34. 963 Field (Local Related CIP or PCN Data)

- Delete.

D8.11.3. End-Stage Processing

D8.11.3.1. Holdings and Item Records

- With the BR open, use the record hierarchy button at the top right hand corner of the screen to locate and open the IR that corresponds to the LC item barcode on the back cover of your book.
- From there, move up to the HR that the IR is attached to and transfer the completed call number from the BR 050; do this by clicking on the "Record" tab; from the menu, select the "Get call number from bib record (Ctrl +N)" feature to populate subfields \$h and \$i of the HR 852 field.
- Since you are adding the first completed copy, your HR \$t subfield should be "Copy 1".
- Run Validator after saving the HR; if corrections are needed, make them and run Validator again.
- Complete end-stage processing; change the Copy area in the IR to "1"; the "Pieces" area is usually "1" except in cases of inserted or accompanying material, in which case it reflects the actual number of pieces; in cases of multipart items, each copy has its own HR as for single-part items, but each volume of each copy has an IR. In the IR under "Self Check," ensure that "Sensitize" is checked. As a last step, run ABA Check.

NOTE: When processing an item in hand, if there is no item record that contains an item barcode that corresponds to the barcode on the item in hand, create a new HR/IR complement and scan the item barcode into the newly created item record. Complete the HR/IR complement according to the guidelines provided above. In this situation the copy number used for the copy being added is in relation to other copies with the same call number that have been formally added, probably most frequently, Copy 1. Do not replace an item barcode in an existing IR with that of the copy in hand; instead, create a new HR/IR for the item in hand.

D8.11.3.2. Physical Processing

- After completing the procedure appropriate to the book in hand (CIP verification; added copy, etc.), arrange, according to section practice, for the book to be labeled (spine label). Detailed information about routing books that have completed cataloging may be found at:
http://www.loc.gov/staff/aba/psd/route_items.pdf

D8.11.3.3. Do Not Acquire

- Suppress the BR from the OPAC by clicking on the "System" tab in the upper left; check the "Suppress from OPAC" box.
- Ensure field 925 \$a subfield contains "do not acquire".
- Change indicator 1 of 050 to "1" (Not in LC).
- In field 955 do not add "to BCCD".
- Change the location in HR 852 \$b to "m-Surplus".
- Do not mark the book in any way.
- Insert a "do not add to collections" slip if not already present.
- Follow section practice for forwarding/disposing of discards.

D8.11.4. CIP NLM Processing (Clinical Medical Resources)

Apply these guidelines to records in the LCDB for clinical medical resources that contain no 050 field or a partial 050 field (subfield \$a only). Apply the guidelines in D8.11.4.1.1 if the external record contains an 050; apply the guidelines in Section D8.11.4.1.2 if there is no external record or if there is one but it does not contain an 050 field.

D8.11.4.1. Resources Selected for LC Collections (Cataloging Staff Tasks)

Use the "regular" Z-Processor to search WorldCat for an external record for the print

manifestation reflecting completed cataloging, preferably a record containing an 050 #4 or 050 14. Use the copy and paste method (see D8.11.4.1.1) to populate the now-being-completed CIP record in the LCDB with data elements reflecting completed cataloging. As in standard CIP verification, compare the book to the record to assure the record accurately reflects the book. Make any needed adjustments.

D8.11.4.1.1. Copy and paste from record imported from WorldCat

Steps to follow using copy and paste to update the record in LCDB:

- a) Use Z-Processor to search for a record.
- b) Click on the response to display candidate record on Z-Processor screen.
- c) Change encoding level in the LCDB record from 8 to blank.
- d) Adjust 008 as needed (usually add illustration code(s)).
- e) Add \$f [code, date] to 955, possibly by macro.
- f) If not already present, add \$d DLC to 040 using existing macro.
- g) If the retrieved WorldCat record contains an 050, create an 050 00 field in the LCDB record and copy and paste the data from the \$a and \$b subfields from the Z-Processor screen; adjust Cutter number as needed. Using F9, change the delimiter from a dollar sign to a double dagger in subfield code ‡b. If 050 00 subfield \$a is present in the LCDB record, assign an appropriate Cutter number at end stage processing as directed in D8.11.4. 1.3.
- h) Make any other adjustments, e.g., add a second place, by copy and paste.
- i) Delete field 263.
- j) Add data to field 300 by copy and paste. Using F9, change the delimiter from a dollar sign to a double dagger in subfield codes other than ‡a.
- k) Do not add any 6XX fields with second indicator "0".
- l) Retain/delete field 952 as appropriate.
- m) Delete field 963.
- n) Retain field 985.
- o) Run Validator.

D8.11.4.1.2. No record in WorldCat/one present but no 050.

Steps to follow if there is no external record in WorldCat or if there is one but it does not contain an 050 field:

- a) Perform standard manual CIP verification. Assure that 906 field "\$a 0 \$b ibc" remains unchanged; run Validator.

- b) Forward the resource to USASH/Science, Medicine and Agriculture Section (SMA); the staff member fills out a "Materials Routing" slip (orange slip; #6-127) with the standard referral information and writes "NLM 050" at the top of the slip.
- c) An SMA librarian assigns an 050 00 based on the NLM subject headings and searching Class Web and accounts for this activity by recording [code] [date] in subfield \$d of field 955.

D8.11.4.1.3. End-stage processing

When the steps in D8.11.4.1.1 or D8.11.4.1.2 have been completed, it is necessary to do end stage processing, which includes assuring an appropriate Cutter number, creating holdings and item records, and labeling (spine label).

D8.11.4.2. Resources Not Selected for LC Collections (Selection Officers' Tasks)

Steps Selection Officers follow to surplus resources not to be retained:

- a) Suppress the record from the OPAC.
- b) Change field 925 to reflect the "do not acquire" decision.
- c) Change 050 indicator 1 to value "1" (Not in LC).
Note: Early titles processed under the NLM guidelines do not contain an 050 field; skip this step if the field is absent.
- d) Do not do any additional updates.
- e) Assure there is no holdings/item record combination; delete if present.
- f) Forward the resource to be surplus.