

Update Information  
2012 Update Number 2-3

<i>DCM</i>	<i>Title</i>	<i>Action/Change</i>
TOC	Table of Contents	Revised to accommodate a change in title to DCM C8.
C8	Procedures Applicable to Materials Stored Off-Site	Revised to change reference in the title and internally from materials stored "at Ft. Meade" to materials stored "Off-Site." Stimulated by the introduction of storing current receipts of printed materials in Landover, Maryland.
Z1	Name and Series Authority Records	Contents Page - Revised to add new fields.
Z1	Name and Series Authority Records	046 – Special Coded Dates. Revised to add a hyphen to the yyyy-mm construction to match ISO 8601 when only a year and month is known and to add an example.
Z1	Name and Series Authority Records	368 - Other Corporate Body Attributes. New.
Z1	Name and Series Authority Records	370 - Associated Place. Revised to clarify that place names when used in 370 should not include the indication of the type of jurisdiction.
Z1	Name and Series Authority Records	373 – Associated Group. Revised to reflect the change in 9.13.1.2 to accept information from any source and to remove example.
Z1	Name and Series Authority Records	378 - Fuller Form of Personal Name. New.

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<i>DCM</i>	<i>Title</i>	<i>Action/Change</i>
Z1	Name and Series Authority Records	1XX - Headings - General Information. Revised to instruct RDA catalogers that searching LAC is no longer necessary.
Z1	Name and Series Authority Records	Appendix for LC Catalogers. Revised to remove instructions for searching and importing LAC name authority records.
Supplement to the MARC 21 Format for Authority Data	368 - Other Corporate Name Attributes	New.
Supplement to the MARC 21 Format for Authority Data	373 – Associated Group	Revised to allow the use of \$2.
Supplement to the MARC 21 Format for Authority Data	378 - Fuller Form of Personal Name	New.

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C8.1 BACKGROUND

Abbreviations used:

BR = bibliographic record  
HR = holdings record  
IR = item record

Materials are stored off-site in various facilities. The two that most directly impact cataloging are the one at Ft. Meade and the one in Landover, Maryland. They are identified in field 852 of the HR as follows:

Ft. Meade:

852 subfield \$b (Location) contains the code "s-FM/ ..."; the "name counterpart of the code begins "s-FtMeade ..."; subfield \$m contains "FT MEADE"

Landover:

852 subfield \$b (Location) contains the code "s-LCA/ ..."; the "name counterpart of the code begins "s-Landover ..."; subfield \$m contains "LANDOVR" (some records contain "LANDOVER").

Occasionally work related to cataloging newly received materials or work related to maintenance to existing records in the LCDB involves materials stored **off-site**. The purpose of this DCM is to provide guidance for specific situations with a view to minimizing the need either to obtain material from **off-site** or to formally withdraw material from it. The situations covered are as follows:

- 1) **an added copy to a single-part monograph:** a newly received copy is to be added; one or more copies are stored **off-site**; follow standard procedure and add the copy (do not attempt to assign to **the off-site location**);
- 2) **a monograph has now become a serial:** one or more items cataloged as a monograph are now being recataloged as a serial; one or more issues of the serial are stored **off-site**; by exception, these issues will remain **off-site** (in other circumstances duplicate issues would be withdrawn from the collections because the Library holds the requisite number of shelf copies (one set)); follow the procedures in C8.2 to make the needed adjustments to reflect this condition;
- 3) **an item, usually cataloged as MLC, is discovered to be a duplicate:** by exception, it will remain **off-site** (in other circumstances an MLC duplicate would be withdrawn from the collections because the Library holds the requisite number of shelf copies (one copy)); follow the procedures in C8.3 to make the needed adjustments to reflect this condition;
- 4) **a change in call number:** it is necessary to change a call number because it was incorrect when originally assigned; change the call number in the bibliographic record only; follow the procedures in C8.4 to make the needed adjustments to reflect this condition;

- 5) **multipart monographs:** a volume newly received is associated with a multipart monograph, some or all of whose volumes are stored **off-site**; follow the procedures in C8.5;
- 6) **a change in location/custody:** a reading room or division that services materials wants custody transferred from **off-site** to that division; the material needs to be formally withdrawn from **off-site** so that the holdings and items records can be adjusted as needed to reflect the change in location; follow the procedures in C8.6;
- 7) **other situations:** consult Policy and Standards Division (PSD).

Note that materials stored **off-site** may be ordered through the standard Automated Call Slip (ACS) procedure. If they are obtained for consultation, they are returned in the standard manner as for other materials.

#### C8.2 MONOGRAPH BECOMES A SERIAL

This is a condition that must be dealt with by staff who catalog serials or resolve serial treatment questions in LC. In this situation, leave any issues **off-site**. If the issue described by the monograph BR is also recorded on the HR for the serial BR, it is a duplicate, but, by exception to the general selection policy for serials of only keeping one set, it will be retained **off-site**. In such cases an issue will be recorded both on the HR for the serial BR and also on the monograph HR, which will be relinked to the Serial BR.

If a monograph in **an off-site location** becomes a serial, a staff member who catalogs serials ensures a BR exists for the serial or creates one. Staff then do the following:

- 1) relink the monograph HR for the **off-site** issue to the serial BR (this can be done without **off-site** security);
- 2) request a staff member with **off-site** security to do the following to the off-site HR:
  - a) retain all existing data in the HR;
  - b) add a subfield \$3 as the first subfield in the 852 field; record in subfield \$3 the enumeration and chronology of the issue;
  - c) add to the 852 field a subfield \$x containing "Do not add any holdings to this record in an 866 field; book still marked with monograph call number. [date] [code]";
- 3) request a staff member with **off-site** security to do the following to the off-site IR:
  - a) change the "Item Type" to "Serial/Newspaper";
  - b) based on information in the monograph BR, add the number for the serial in the "Enum:" area and/or the date for the serial in the "Chron:" area of the IR; if the serial only has a year for the date, record it in the "Enum:" area of the IR (this makes the ACS display intelligible).

- 4) after the off-site HR/IR are relinked to the serial BR, cancel the monograph BR and track the LCCN in 010 \$z of the serial BR; if the monograph BR has a purchase order associated with it, follow the procedures in DCM C7.3 (Bibliographic Record Retained for Audit Trail) applicable to the monograph BR. Once those steps have been followed, forward a printout of the monograph BR to the appropriate Acquisitions division as a notice that the monograph BR has been "canceled" in favor of a serial BR.

If staff who do not catalog serials in LC encounter a possible situation in which a monograph in an off-site location may be a serial, they alert staff who resolve serial treatment questions for their division or unit. If those staff judge the monograph has become a serial, they follow the procedures described above.

#### C8.3 DUPLICATE CATALOGING--AT LEAST ONE ITEM IN AN OFF-SITE LOCATION

There are duplicate bibliographic records for the same title, and at least one of the copies is in an off-site location (sometimes the off-site copy is MLC). Do the following:

- 1) determine which bibliographic record to retain; if one contains a regular call number and another an MLC shelf number, retain the former;
- 2) leave all copies in an off-site location under the existing call/shelf numbers;
- 3) relink an HR as needed to ensure all HRs are linked to the retained BR; if one or both copies are MLC, by exception, retain any that are in an off-site location (the regular retention policy for MLC items is one shelf copy);
- 4) cancel the BR not to be retained; if that BR has a purchase order associated with it, follow the procedures in DCM C7.3 (Bibliographic Record Retained for Audit Trail) applicable to the BR;
- 5) send an e-mail to the PSD account (policy@loc.gov) with the subject: "Off-site--Still marked"; provide in the message the LCCN of the retained BR.

#### C8.4 CHANGE IN CALL NUMBER

It is necessary to change a call number because the call number was incorrect when originally assigned. One or more copies is in an off-site location. Do the following:

- 1) change the call number in the BR;
- 2) if the item has **NOT** been obtained from an off-site location, send an e-mail to the PSD account (policy@loc.gov) with the subject: "Off-site--Still marked"; provide in the message the LCCN of the BR;
- 3) if the item **HAS** been obtained from an off-site location, forward to PSD the item itself and the green Call Slip Request that is in the item when it is delivered from an off-site location.

#### C8.5 MULTIPART MONOGRAPHS

The procedures applicable to multipart monographs vary, depending upon the character of the multipart.

### **C8.5.1 Multipart Monograph Title Recorded In 4XX Field**

This is the kind of multipart whose title is (or will be) recorded in a 4XX field.

#### *C8.5.1.1 Existing multipart monograph*

Process newly received volumes and added copies of volumes according to normal procedures.

#### *C8.5.1.2 Single part monograph becomes multipart monograph*

If the title of the now multipart will be recorded in a 4XX field, leave any volume in **an off-site location** under the call/shelf number assigned to the volume. Adjust the BR of the volume in **the off-site location** to add a bracketed 4XX (and possible counterpart 8XX) to show that the volume is now part of a multipart monograph. Catalog any newly received volumes according to normal procedures.

### **C8.5.2 Multipart Monograph Title Recorded In 245 Field**

This is the kind of multipart whose title is (or will be) recorded in a 245 field.

Refer to PSD all instances of such multipart monographs for which some or all of the volumes are in **an off-site location**. These include:

- 1) a single part monograph that has now become a multipart monograph (a volume, usually the one that is to become volume 1, is stored at **an off-site location**);
- 2) added volumes, some or all of which are in **an off-site location**;
- 3) added copies of added volumes, some or all of which are in **an off-site location**.

Do the referral by inserting a printout of the BR in the volume in hand, annotate it "**off-site** multipart," and send it to PSD. PSD will act on a case-by-case basis, always preferring to leave in **an off-site location** any volume(s) already stored there.

#### *C8.5.2.1 Overseas offices*

For conditions covered by points 1)-2) under C8.5.2 above, overseas offices are asked to:

- 1) add the temporary 955 field tracking the forwarding of an added volume;
- 2) annotate the printout inserted in the volume "**off-site** multipart"; if the BR is updated in the overseas office, also highlight the changes on the printout (usually fields 260, 300, 505) to alert Washington staff of the changes made;
- 3) send the volume to the Washington cataloging unit that receives other books from the overseas office;
- 4) that Washington unit deletes the temporary 955 field and incorporates the volume(s) added into the permanent 955 field; sends the volume(s) and printout to PSD for processing as described in C8.5.2 (after updating the BR to reflect the added volume if it has not already been done so by the overseas office).

C.8.6 WITHDRAWAL FROM AN OFF-SITE LOCATION

CALM limits withdrawals from an off-site location to requests from reading rooms or divisions that service materials who now wish to take custody of an item. In such cases PSD works with CALM to complete the withdrawal procedure. If a cataloging section receives such a request, consult PSD.

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Appendix for LC Staff (LC distribution only)

**046 Special Coded Dates**General

When supplying dates in field 046, use ISO 8601 and supply dates using the pattern yyyy, yyyy-mm, or yyyyymmdd. For complex dates, such as probable or approximate dates, use the Extended Date Time Format (EDTF) schema. See date table in LCPS 9.3.1.3.

## Examples:

```
046 ## $f 18900101 $g 19850308
100 1# $a Ramdohr, Paul,$d 1890-1985
670 ## $a Wichtige neue Beobachtungen an Magnetit, Hämatit,
      Ilmennit und Rutil, 1939: $b t.p. (Paul Ramdohr)
      preface (b. Jan. 1, 1890; d. Mar. 8, 1985)

046 ## $s -0199~ $2edtf
100 0# $a Hellenicus $c (Grammarian),$d active
      approximately 200 B.C.
670 ## $a Brill's new Pauly online, Aug. 2, 2011 $b
      (Hellenicus; Alexandrian grammarian; ca. 200 BC)

046 ## $f 1946-06
100 0# $a Vickers, Roy Henry, $d 1946-
670 ## $a Solstice, c1988: $b t.p. (Roy Henry Vickers) jkt.
      (native Indian artist; b. June, 1946, Greenville,
      British Columbia)
```

NACO institutions must notify LC's Cooperative Projects Section ([naco@loc.gov](mailto:naco@loc.gov)) before beginning to add 046s in NARs and SARs, and read the guidelines in the document: *MARC 21 encoding to accommodate new RDA elements 046 and 3XX in NARs and SARs* at: [http://www.loc.gov/aba/pcc/rda/PCC%20RDA%20guidelines/RDA%20in%20NARs-SARs\\_PCC.pdf](http://www.loc.gov/aba/pcc/rda/PCC%20RDA%20guidelines/RDA%20in%20NARs-SARs_PCC.pdf) for more information.

Subfield \$2 - Source of date scheme

When using the EDTF schema, add subfield \$2 edtf.

Note that the 046 field must be repeated when subfield \$2 does not apply to all dates.

Subfield \$u - Uniform Resource Identifier and Subfield \$v - Source of the Information

It is not necessary to add subfield \$u or subfield \$v to give information that is also found in a 670 field in the NAR. When giving information from a source that is not cited in a 670 field in the NAR, subfield \$u or subfield \$v is required, as follows:

Use subfield \$u if giving a URI for the source.

Use subfield \$v if not giving a URI for the source; give only the information that would be given in a 670 subfield \$a.

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## 1XX Headings

### General

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

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

### NARs

#### Canadian Headings: RDA

As of August 2012 LC and PCC catalogers creating RDA name authority records are not required to search Library and Archives Canada (LAC) to determine the form of the authorized access point for either personal or corporate names.

#### Canadian Headings: AACR2

Through a cooperative agreement between the Library of Congress (LC) and Library and Archives Canada (LAC), efforts will be made to keep the LAC and LC/NACO Authority File in synch as much as possible. When creating an AACR2 authority record for the LC/NAF for a name found on Canadian imprints, both personal and corporate names may be accepted from information found in Canadian CIP data or access points on current LAC bibliographic records without further searching. LC and LAC strive to harmonize usage of personal name headings, but all headings for Canadian corporate bodies used in current cataloging must be in the LAC authorized form except in the cases noted below. Uniform titles and series are not covered by the agreement. LCRI 23.2 contains more information for formulating Canadian geographic names.

When the LAC heading is found in Canadian CIP data or access points on current LAC bibliographic records, use the LAC heading to create an NAR unless modifications are called for by NACO procedures as stated below. Add/keep all references found in the LAC authority record even if the LAC 670 does not provide any justification. When the name to be established is not found in these sources, search the LAC name authority file in the VIAF <http://viaf.org> and proceed according to the guidelines below. Note that catalogers may choose to search LAC names by using the Canadiana database at: <http://collectionscanada.gc.ca/canadiana-authorities/index/index?lang=eng>

#### Personal Names: AACR2

Search the LAC name authority file in VIAF to find the LAC authorized form. When an authorized LAC heading is found, use the LAC form to create an NAR unless modifications are called for by NACO procedures as stated below. Add a 670 citation “LAC in VIAF” with the

usual conventions for 670 citations of source information found in databases.

LC catalogers will create an LAC authority record based on the resource being cataloged and verify the name in VIAF, according to the guidelines in the DCM Z1 *Appendix for LC Staff*.

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

In the event that a Canadian personal name conflicts with an established name in the LC/NAF make the appropriate modifications to assure uniqueness and record the LAC form in a 670 citation. When an authorized form of the name is not found in VIAF, establish the name based on the information found in the resource being cataloged according to normal NACO procedures. Cite the VIAF search in a 675 field.

Corporate Names: [AACR2](#)

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

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

Note:

- LAC treats the Religious Society of Friends as a corporate body and establishes "meetings," etc. subordinate to "Society of Friends." LC/PCC practice is to establish "Society of Friends" as a subject heading and establishes "meetings," etc., directly under their own name. It is not necessary to contact LAC for verification of these entities; establish these meeting names according to NACO procedures.
- As of May 2011 LAC will apply LCRI 24.1. *Forests, Parks, Preserves, etc.* to Canadian parks and forests when LC/PCC catalogers need these as descriptive access points. Continue to search for the LAC authorized form. If a heading is found adjust the heading to comply with LCRI 24.1. Notify LAC that the heading has been adjusted in the same manner as notifying LAC when a new heading is created by using the form at:

<http://www.loc.gov/catdir/pcc/naco/LAC-nacohdgform.html>

- Canadian First Nation names are considered corporate names (110); accept the LAC coding and do not establish as jurisdictions (151s).

When an authorized form for a Canadian corporate heading is not found in VIAF, both LC and PCC catalogers should create and contribute an NAR based on the information found in the resource being cataloged and then contact LAC for verification of the Canadian corporate name by using the Web form found at: <http://www.loc.gov/catdir/pcc/naco/LAC-nacohdgform.html>

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

### SARs

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

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

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

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

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

### Choosing a monographic series title proper:

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

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

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

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

Establishing an SAR heading:

- (1) Determine choice of entry based on chapter 21 of AACR2.
- (2) Exclude from the heading the following information included in the series statement in the analytic bibliographic record:
  - (a) initial article in subfields \$a, \$t, \$n, and \$p;
  - (b) other title information;
  - (c) statement of responsibility;
  - (d) parallel title(s);
  - (e) ISSN;
  - (f) numeric/chronological designations.
- (3) Add a parenthetical qualifier(s) if appropriate according to the guidelines in LCRI 25.5B.
- (4) If you found a CONSER record,
  - (a) do not use a heading from a record in the following categories:
    - 010 prefix is "cf"
    - 010 prefix is "cn" and 040 \$b is "fre"
  - (b) use the choice and form of entry on records with 042 code of **lc**, **lcd**, or **pcc** as the heading unless there is a clear-cut error. An error in form of qualifier may be corrected; choice of qualifier is accepted as found. If you are not a CONSER participant, notify the CONSER Coordinator ([lhaw@loc.gov](mailto:lhaw@loc.gov)) if an error is discovered; use the correct heading on the SAR.

### 336 Content Type

#### General

Field 336 may only be used in NARs and SARs for expressions. 336 is always accompanied by a subfield \$2.

NACO institutions must notify LC's Cooperative Projects Section ([naco@loc.gov](mailto:naco@loc.gov)) before beginning to add 336 in NARs and SARs, and follow the guidelines in the document: *MARC 21 encoding to accommodate new RDA elements 046 and 3XX in NARs and SARs* at: [http://www.loc.gov/aba/pcc/rda/PCC%20RDA%20guidelines/RDA%20in%20NARs-SARs\\_PCC.pdf](http://www.loc.gov/aba/pcc/rda/PCC%20RDA%20guidelines/RDA%20in%20NARs-SARs_PCC.pdf)

#### Subfield \$2 – Source of term

In subfield \$2 give “rdacontent.”

#### Subfield \$a – Content Type

Use terms from RDA 6.9. The list of terms is also available in the *Term and Code List for RDA Content Types* at: <http://www.loc.gov/standards/valuelist/rdacontent.html>

LC practice: Do not repeat subfield \$a; instead add new 336 fields as needed.

#### Subfield \$b – Content Type code

If giving subfield \$b instead of/or in addition to subfield \$a, use the code from the MARC format *Term and Code List for RDA Content Types* at: <http://www.loc.gov/standards/valuelist/rdacontent.html>

LC practice: Do not use \$b in NARs and SARs.

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**368 Other Corporate Body Attributes***General*

NACO institutions must notify LC's Cooperative Projects Section ([naco@loc.gov](mailto:naco@loc.gov)) before beginning to add field 368 in NARs and SARs, and follow the guidelines in the document: *MARC 21 encoding to accommodate new RDA elements 046 and 3XX in NARs and SARs* at:  
[http://www.loc.gov/aba/pcc/rda/PCC%20RDA%20guidelines/RDA%20in%20NARs-SARs\\_PCC.pdf](http://www.loc.gov/aba/pcc/rda/PCC%20RDA%20guidelines/RDA%20in%20NARs-SARs_PCC.pdf)

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**370 Associated Place**General

Use the established form of the geographic place name as found in the LC/NAF, with the same adjustments as when using the place name as a parenthetical qualifier to names:

- a) Omit the type of jurisdiction (see LCPS 11.3.1.30).
- b) Do not enclose a larger jurisdiction in parentheses; **but** instead separate it from the place name **by comma-space**.

## Example:

```
Geographic name in LC/NAF:
    151 ## $a Shiner (Tex.)
Form of name in 370:
    370 ## $a Shiner, Tex.
```

If the **place** name is not found in the LC/NAF, formulate it according to the current cataloging guidelines being used. It is not necessary to create a NAR for the name used in the 370.

NACO institutions must notify LC's Cooperative Projects Section ([naco@loc.gov](mailto:naco@loc.gov)) before beginning to add field 370 in NARs and SARs, and follow the guidelines in the document: *MARC 21 encoding to accommodate new RDA elements 046 and 3XX in NARs and SARs* at: [http://www.loc.gov/aba/pcc/rda/PCC%20RDA%20guidelines/RDA%20in%20NARs-SARs\\_PCC.pdf](http://www.loc.gov/aba/pcc/rda/PCC%20RDA%20guidelines/RDA%20in%20NARs-SARs_PCC.pdf)

Subfield \$2 – Source of term

If the place is not a jurisdiction, indicate the source of the form of place in subfield \$2.

When using subfield \$2, repeat the 370 if subfield \$2 does not apply to all place names.

Subfield \$u - Uniform Resource Identifier and Subfield \$v - Source of the Information

It is not necessary to add subfield \$u or subfield \$v to give information that is also found in a 670 field in the NAR. When giving information from a source that is not cited in a 670 field in the NAR, subfield \$u or subfield \$v is required, as follows:

Use subfield \$u if giving a URI for the source.

Use subfield \$v if not giving a URI for the source; give only the information that would be given in a 670 subfield \$a.

SARs

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

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**371 Address**General

When supplying information in field 371, use only information that is readily and publicly available.

NACO institutions must notify LC's Cooperative Projects Section ([naco@loc.gov](mailto:naco@loc.gov)) before beginning to add field 371 in NARs, and follow the guidelines in the document: *MARC 21 encoding to accommodate new RDA elements 046 and 3XX in NARs and SARs* at:

[http://www.loc.gov/aba/pcc/rda/PCC%20RDA%20guidelines/RDA%20in%20NARs-SARs\\_PCC.pdf](http://www.loc.gov/aba/pcc/rda/PCC%20RDA%20guidelines/RDA%20in%20NARs-SARs_PCC.pdf)

Subfield \$u - Uniform Resource Identifier and Subfield \$v - Source of the Information

It is not necessary to add subfield \$u or subfield \$v to give information that is also found in a 670 field in the NAR. When giving information from a source that is not cited in a 670 field in the NAR, subfield \$u or subfield \$v is required, as follows:

Use subfield \$u if giving a URI for the source.

Use subfield \$v if not giving a URI for the source; give only the information that would be given in a 670 subfield \$a.

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**372 Field of Activity**General

When supplying information in field 372, capitalize the first letter of the term used. Use a term for the discipline. The term for Occupation goes in field 374.

Example: 372 ## \$a Poetry \$a Education

Occupation used in 374: 374##\$a Poet \$a Educator

NACO institutions must notify LC's Cooperative Projects Section ([naco@loc.gov](mailto:naco@loc.gov)) before beginning to add field 372 in NARs, and follow the guidelines in the document: *MARC 21 encoding to accommodate new RDA elements 046 and 3XX in NARs and SARs* at:  
[http://www.loc.gov/aba/pcc/rda/PCC%20RDA%20guidelines/RDA%20in%20NARs-SARs\\_PCC.pdf](http://www.loc.gov/aba/pcc/rda/PCC%20RDA%20guidelines/RDA%20in%20NARs-SARs_PCC.pdf)

Subfield \$u - Uniform Resource Identifier and Subfield \$v - Source of the Information

It is not necessary to add subfield \$u or subfield \$v to give information that is also found in a 670 field in the NAR. When giving information from a source that is not cited in a 670 field in the NAR, subfield \$u or subfield \$v is required, as follows:

Use subfield \$u if giving a URI for the source.

Use subfield \$v if not giving a URI for the source; give only the information that would be given in a 670 subfield \$a.

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### 373 Associated Group

#### General

When supplying information in field 373, **take information on affiliation from any source.** Romanize non-Latin script as necessary.

NACO institutions must notify LC's Cooperative Projects Section ([naco@loc.gov](mailto:naco@loc.gov)) before beginning to add field 373 in NARs, and follow the guidelines in the document: *MARC 21 encoding to accommodate new RDA elements 046 and 3XX in NARs and SARs* at:

[http://www.loc.gov/aba/pcc/rda/PCC%20RDA%20guidelines/RDA%20in%20NARs-SARs\\_PCC.pdf](http://www.loc.gov/aba/pcc/rda/PCC%20RDA%20guidelines/RDA%20in%20NARs-SARs_PCC.pdf)

#### Subfield \$u - Uniform Resource Identifier and Subfield \$v - Source of the Information

It is not necessary to add subfield \$u or subfield \$v to give information that is also found in a 670 field in the NAR. When giving information from a source that is not cited in a 670 field in the NAR, subfield \$u or subfield \$v is required, as follows:

Use subfield \$u if giving a URI for the source.

Use subfield \$v if not giving a URI for the source; give only the information that would be given in a 670 subfield \$a.

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### 374 Occupation

#### General

When supplying the term for an occupation, capitalize the first letter of the term used. Generally use terms that represent a specific occupation such as Poet or Swimmer, as opposed to a general term such as Writer or Athlete.

NACO institutions must notify LC's Cooperative Projects Section ([naco@loc.gov](mailto:naco@loc.gov)) before beginning to add field 374 in NARs, and follow the guidelines in the document: *MARC 21 encoding to accommodate new RDA elements 046 and 3XX in NARs and SARs* at:  
[http://www.loc.gov/aba/pcc/rda/PCC%20RDA%20guidelines/RDA%20in%20NARs-SARs\\_PCC.pdf](http://www.loc.gov/aba/pcc/rda/PCC%20RDA%20guidelines/RDA%20in%20NARs-SARs_PCC.pdf)

#### Subfield \$u - Uniform Resource Identifier and Subfield \$v - Source of the Information

It is not necessary to add subfield \$u or subfield \$v to give information that is also found in a 670 field in the NAR. When giving information from a source that is not cited in a 670 field in the NAR, subfield \$u or subfield \$v is required, as follows:

Use subfield \$u if giving a URI for the source.

Use subfield \$v if not giving a URI for the source; give only the information that would be given in a 670 subfield \$a.

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**375 Gender***General*

NACO institutions must notify LC's Cooperative Projects Section ([naco@loc.gov](mailto:naco@loc.gov)) before beginning to add field 375 in NARs, and follow the guidelines in the document: *MARC 21 encoding to accommodate new RDA elements 046 and 3XX in NARs and SARs* at:  
[http://www.loc.gov/aba/pcc/rda/PCC%20RDA%20guidelines/RDA%20in%20NARs-SARs\\_PCC.pdf](http://www.loc.gov/aba/pcc/rda/PCC%20RDA%20guidelines/RDA%20in%20NARs-SARs_PCC.pdf) |

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## 376 Family Information

### General

Family names cannot be contributed to the LC/NAF using AACR2 (008/10 set to "c"); therefore, field 376 may only be used with NARs coded for RDA (008/10 set to "z" and 040 contains subfield \$e rda).

NACO institutions must notify LC's Cooperative Projects Section ([naco@loc.gov](mailto:naco@loc.gov)) before beginning to add field 376 in NARs, and follow the guidelines in the document: *MARC 21 encoding to accommodate new RDA elements 046 and 3XX in NARs and SARs* at:

[http://www.loc.gov/aba/pcc/rda/PCC%20RDA%20guidelines/RDA%20in%20NARs-SARs\\_PCC.pdf](http://www.loc.gov/aba/pcc/rda/PCC%20RDA%20guidelines/RDA%20in%20NARs-SARs_PCC.pdf)

### Subfield \$b – Name of Prominent Member

When giving the name of the prominent member of the family in 376 subfield \$b, give the form for the person as found in subfield \$g of the 100 field of the NAR for the family. Do not include any internal subfield coding in subfield \$b.

### Subfield \$u - Uniform Resource Identifier and Subfield \$v - Source of the Information

It is not necessary to add subfield \$u or subfield \$v to give information that is also found in a 670 field in the NAR. When giving information from a source that is not cited in a 670 field in the NAR, subfield \$u or subfield \$v is required, as follows:

Use subfield \$u if giving a URI for the source.

Use subfield \$v if not giving a URI for the source; give only the information that would be given in a 670 subfield \$a.

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### 377 Associated Language

#### General

Use the language codes from the *MARC Code List for Languages* available at: <http://www.loc.gov/marc/languages/langhome.html> as the source for language codes. Generally supply the language code based on the language(s) a person, family or corporate body uses for writing or communication; use also for the language in which a work is expressed. A 377 field is not needed for persons, families or corporate bodies that work in a non-verbal context.

NACO institutions must notify LC's Cooperative Projects Section ([naco@loc.gov](mailto:naco@loc.gov)) before beginning to add field 377 in NARs, and follow the guidelines in the document: *MARC 21 encoding to accommodate new RDA elements 046 and 3XX in NARs and SARs* at: [http://www.loc.gov/aba/pcc/rda/PCC%20RDA%20guidelines/RDA%20in%20NARs-SARs\\_PCC.pdf](http://www.loc.gov/aba/pcc/rda/PCC%20RDA%20guidelines/RDA%20in%20NARs-SARs_PCC.pdf)

#### Subfield \$2 – Source of the code

Subfield \$2 is not required when the *MARC Code List for Languages* is used as the language source code (second indicator value “#”). NACO institutions may supply an additional 377 field from another language code list by using second indicator value “7,” with subfield \$2 containing a code for a language source list taken from the list of MARC-registered language lists in *Language code and term source codes*: <http://www.loc.gov/standards/sourcelist/language.html>

For example:

377 ## \$a myn

377 #7 \$a acr \$2 iso639-3

(ISO 639-3 code for Achi (acr); assigned a collective code (myn) for Mayan languages in the MARC Code List for Languages)

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**378 Fuller Form of Personal Name**General

NACO institutions must notify LC's Cooperative Projects Section ([naco@loc.gov](mailto:naco@loc.gov)) before beginning to add field 378 in NARs and SARs, and follow the guidelines in the document: *MARC 21 encoding to accommodate new RDA elements 046 and 3XX in NARs and SARs* at: [http://www.loc.gov/aba/pcc/rda/PCC%20RDA%20guidelines/RDA%20in%20NARs-SARs\\_PCC.pdf](http://www.loc.gov/aba/pcc/rda/PCC%20RDA%20guidelines/RDA%20in%20NARs-SARs_PCC.pdf)

Subfield \$u - Uniform Resource Identifier and Subfield \$v - Source of the Information

It is not necessary to add subfield \$u or subfield \$v to give information that is also found in a 670 field in the NAR. When giving information from a source that is not cited in a 670 field in the NAR, subfield \$u or subfield \$v is required, as follows:

Use subfield \$u if giving a URI for the source.

Use subfield \$v if not giving a URI for the source; give only the information that would be given in a 670 subfield \$a.

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**380 Form of Work**General

Capitalize the first letter of the term used.

NACO institutions must notify LC's Cooperative Projects Section ([naco@loc.gov](mailto:naco@loc.gov)) before beginning to add field 380 in NARs and SARs, and follow the guidelines in the document: *MARC 21 encoding to accommodate new RDA elements 046 and 3XX in NARs and SARs* at:

[http://www.loc.gov/aba/pcc/rda/PCC%20RDA%20guidelines/RDA%20in%20NARs-SARs\\_PCC.pdf](http://www.loc.gov/aba/pcc/rda/PCC%20RDA%20guidelines/RDA%20in%20NARs-SARs_PCC.pdf)

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**381 Other Distinguishing Characteristics of Work or Expression**General

NACO institutions must notify LC's Cooperative Projects Section ([naco@loc.gov](mailto:naco@loc.gov)) before beginning to add field 381 in NARs and SARs, and follow the guidelines in the document: *MARC 21 encoding to accommodate new RDA elements 046 and 3XX in NARs and SARs* at: [http://www.loc.gov/aba/pcc/rda/PCC%20RDA%20guidelines/RDA%20in%20NARs-SARs\\_PCC.pdf](http://www.loc.gov/aba/pcc/rda/PCC%20RDA%20guidelines/RDA%20in%20NARs-SARs_PCC.pdf)

Subfield \$u - Uniform Resource Identifier and Subfield \$v - Source of the Information

It is not necessary to add subfield \$u or subfield \$v to give information that is also found in a 670 field in the NAR. When giving information from a source that is not cited in a 670 field in the NAR, subfield \$u or subfield \$v is required, as follows:

Use subfield \$u if giving a URI for the source.

Use subfield \$v if not giving a URI for the source; give only the information that would be given in a 670 subfield \$a.

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**382 Medium of Performance***General*

NACO institutions must notify LC's Cooperative Projects Section ([naco@loc.gov](mailto:naco@loc.gov)) before beginning to add field 382 in NARs and SARs, and follow the guidelines in the document: *MARC 21 encoding to accommodate new RDA elements 046 and 3XX in NARs and SARs* at:  
[http://www.loc.gov/aba/pcc/rda/PCC%20RDA%20guidelines/RDA%20in%20NARs-SARs\\_PCC.pdf](http://www.loc.gov/aba/pcc/rda/PCC%20RDA%20guidelines/RDA%20in%20NARs-SARs_PCC.pdf)

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**383 Numeric Designation of Musical Work***General*

NACO institutions must notify LC's Cooperative Projects Section ([naco@loc.gov](mailto:naco@loc.gov)) before beginning to add field 383 in NARs and SARs, and follow the guidelines in the document: *MARC 21 encoding to accommodate new RDA elements 046 and 3XX in NARs and SARs* at:  
[http://www.loc.gov/aba/pcc/rda/PCC%20RDA%20guidelines/RDA%20in%20NARs-SARs\\_PCC.pdf](http://www.loc.gov/aba/pcc/rda/PCC%20RDA%20guidelines/RDA%20in%20NARs-SARs_PCC.pdf)

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**384 Key**General

NACO institutions must notify LC's Cooperative Projects Section ([naco@loc.gov](mailto:naco@loc.gov)) before beginning to add field 384 in NARs and SARs, and follow the guidelines in the document: *MARC 21 encoding to accommodate new RDA elements 046 and 3XX in NARs and SARs* at:

[http://www.loc.gov/aba/pcc/rda/PCC%20RDA%20guidelines/RDA%20in%20NARs-SARs\\_PCC.pdf](http://www.loc.gov/aba/pcc/rda/PCC%20RDA%20guidelines/RDA%20in%20NARs-SARs_PCC.pdf)

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# **APPENDIX FOR LC STAFF**

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## APPENDIX FOR LC STAFF

This appendix to the Z1 section of the Descriptive Cataloging Manual is issued only to LC cataloging staff. This appendix deals with the local aspects of the topics listed below.

- Subfield \$z when classifying “as a collection”
- “acq” records for collected sets
- Analytic record needed for multi-part item
- Number and relationship of bibliographic, holdings, and item records for multipart items and monographic series
- Technical report monographic series
- Multiple 050 fields in bibliographic records
- Catalog for cataloging purposes
- New headings matching entries with “[from old catalog]”
- Saving bibliographic records in LC ILS
- Authority generation/templates

---

### Subfield \$z When Classifying “As a Collection”

When creating the collected set record for a new analyzed multipart item or a new analyzed monographic series, add a subfield \$z note to the holdings record for the collected set record. When cataloging an analytic in a multipart item/monographic series classified as a collection, ensure that the appropriate note is present in subfield \$z. The note supplies information to people searching in the OPAC.

- If the analysis decision is “analyzed in full” (644 \$a = f), add the note given below in the 852 \$z. Use macro “Alt+Shift+F2;” position the cursor at the end of the 852 field before invoking the macro.

“See separate records for volumes in this publication to identify LC’s holdings and to request individual volumes.”

• If the analysis decision is other than “analyzed in full” or if the analysis decision has changed, add the note given below in the 852 \$z. Use macro “Alt+Shift+F3” to add the note; position the cursor at the end of the 852 field before invoking the macro.

“Also see separate records for volumes in this publication to identify LC’s complete holdings and to request individual volumes represented by those separate records.”

Sections will decide if section members other than shelflisters will add these notes to the holdings records. The ILS supplement to the SCM: SL instructs shelflisters to add the notes if they do not exist at the time of shelflisting.

---

### “acq” Records for Collected Sets

Acquisitions staff will acquire some monographic series/multipart items, both numbered and unnumbered, as a whole via purchase/exchange/gift. They will create collected set bibliographic records for these monographic series/multipart items as a whole so they can communicate with suppliers at the level of the monographic series or multipart item title.

These collected set bibliographic records will have a minimal set of data elements if existing records are not found/used. The 906 \$b value will be “acq” because the records are created for acquisitions purposes. These bibliographic records will be suppressed from the OPAC. These bibliographic records will have holdings records and may or may not have item records. These “acq” records are not part of the “catalog for cataloging purposes.” Because the 906 \$g value will be “z-acqworks,” these records are not maintained by cataloging staff.

The presence of an “acq” collected set record does not affect the cataloging decision on classification of the monographic series or multipart item. Classify separately unless the resource is covered by one of the exception categories in LCRI 13.3. However, if the cataloging decision is to classify as a collection, use that “acq” record for the collected set record instead of creating another record.

- (1) Add/modify fields in the record.
- (2) Change “acq” in 906 \$b to “ibc.”
- (3) Change “acqwork” in 906 \$c to the appropriate value.
- (4) Change “z-acqworks” in 906 \$g to “y-gencatlg” or other appropriate value.
- (5) “Unsuppress” the record so that it is searchable in the OPAC.

Also, if the monographic series is selected for “technical report” treatment, use an existing “acq” record for the series for the local serial record for the series (see the technical report section below).

---

### Analytic Record Needed for Multipart Item

If parts of a new multipart monograph were sent for cataloging without analytic

bibliographic records for the parts, and the person doing the cataloging decides the parts should be analyzed, follow section practice for creating the needed "ibc" analytic bibliographic records.

-----

## Number and Relationship of Bibliographic, Holdings, and Item Records For Multipart Items and Monographic Series

The LC policy on series, implemented on June 1, 2006, is to analyze in full, classify separately, and not provide a controlled series access point. There are some exceptions to the analysis and classification decisions; those exceptions are listed in LCRI 13.3. The information in this section on non-analysis and classifying as a collection applies to the exceptions to the series policy.

### ***Holdings records (HR):***

There should be holdings records for all bibliographic records (analytic records and collected set records) regardless of analysis decision.

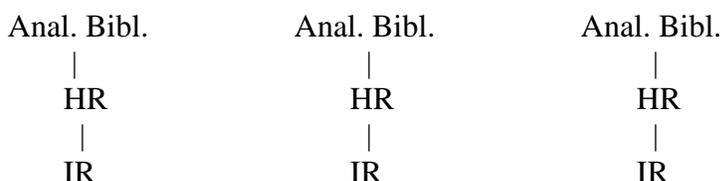
### ***Item records (IR):***

There should be an item record for every part of a multipart item and for every monograph volume of a monographic series, regardless of analysis decision or classification decision.

At time of shelflisting, there should be an item record for every volume of a serial published annually or less often in a monographic series. At time of shelflisting, there will probably not be an item record for any volume of a serial published more often than annually in a monographic series.

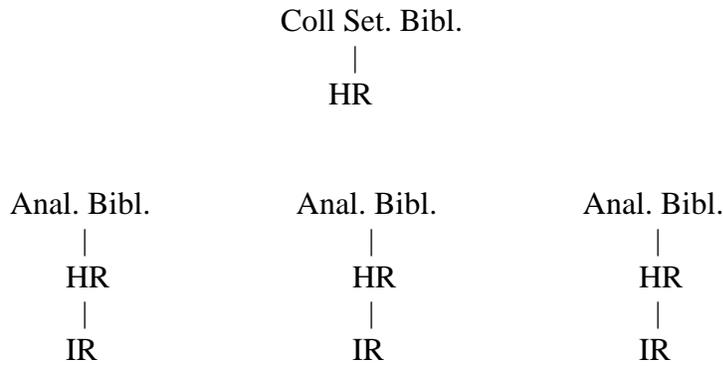
### *Classification decision = classified separately*

Each item record will be linked to the holdings record which is attached to the specific analytic bibliographic record.



### *Classification decision = classified as a collection and analysis decision = analyzed in full*

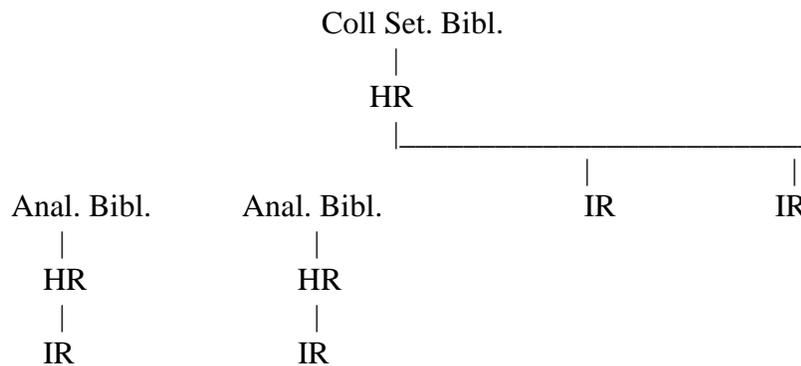
The holdings record for the collected set bibliographic record for the multipart item/monographic series will have no item records linked to it. Each item record will be linked to the holdings record which is attached to the specific analytic bibliographic record.



Classification decision = classified as a collection and analysis decision = analyzed in part

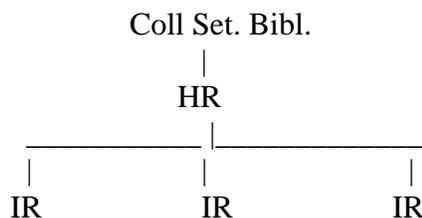
The holdings record for the collected set bibliographic record for the multipart item/monographic series will have linked to it the item records for the parts/volumes that are not analyzed.

For the parts/volumes that are analyzed, each item record will be linked to the holdings record which is attached to the specific analytic bibliographic record.



Classification decision = classified as a collection and analysis decision = not analyzed

The holdings record for the collected set bibliographic record for the multipart item/monographic series will have linked to it the item records for all the parts/volumes because there will be no analytic records.





to items in Japanese also, even though the items will be in the custody of the Asian Division.)

The Germanic and Slavic Division (GS) will have internal procedures for handling known and possible technical report issues.

### ***Local serial bibliographic record***

ST&B staff (and occasionally ASME catalogers) will process new technical report series by creating brief local serial records by using (a) acquisitions records if they are available, or (b) a technical report local serial record template.

The location code in the holdings record 852 \$b generates a display in the LC OPAC indicating that the publications are in the Asian Division or in the Science, Technology, and Business Division, as appropriate.

The local serial records will not be distributed. By exception, the local serial records will be maintained as part of regular maintenance in the LC Database (906 \$g = y-gencatlg).

### **Workflow for creation of a local serial bibliographic record**

Determine if there is an “acquisition-use” serial collected set bibliographic record (906 \$b = acq) for the technical report series in the LC Database (note: title of technical report series is 245 title in the serial bibliographic record.)

Search first for the corporate body because the title is often not distinctive; if that search isn't successful (a 710 may not be in the “acq” record), use a title search to look for the record.

A. “Acquisition-use” serial bibliographic record is in the LC Database (906 \$b = acq):

1. Because these “acq” records are not necessarily AACR2 records, delete/modify existing data elements if they represent egregious violations of AACR2 conventions. Do not, however, spend much time/energy on such modifications because these records will not be distributed.

a. Ensure that the Leader has the following values

- (1) Status = n
- (2) Type = a
- (3) Bib/l = s
- (4) Arch = blank
- (5) Enc/l = 3
- (6) Form = a

b. Accept 008 as coded.

c. Add a missing 130 field if series title needs a qualifier to break a conflict.

d. Add/adjust 260 \$ab; delete 260 \$c if it is present even if first issue is in hand.

e. Add 500 “Technical report” note via macro “Alt+Shift+F5.”

f. As the last note, add 500 “Description based on:” via macro

“Alt+Shift+F4.” Use information from the issue to complete the numbering in the 500 note.

- g. Add 710(s) for body(ies).
- h. Delete data in existing 906 field and replace it via macro

“Alt+Shift+F1” with the following information:

- (1) \$a = 0
- (2) \$b = bbc
- (3) \$c = serials
- (4) \$d = u
- (5) \$e = ncip
- (6) \$f = 19
- (7) \$g = y-gencatlg

i. Add/adjust 92X field to read:

- (1) \$a = acquire
- (2) \$b = 1 shelf copy
- (3) \$x = policy default

j. Add 955 field or modify existing 955 field to show “To Asian” or “To ST&B” with cataloger’s code and date.

k. Ensure that the bibliographic record is not suppressed from display in the OPAC.

2. Modify the holdings record for that bibliographic record.

a. If the location in 852 \$b is not the appropriate location (either “c-Asian” or “c-TRS/ST&B”), delete the inappropriate location. Input the correct location or select it by keying “Ctrl-I” (cursor must be in the data column) and then clicking on the appropriate line.

b. Add “UNCLASSSED” in 852 \$h; there will be no 852 \$i.

3. Do not create any item records; if item records linked to the collected set serial record holdings record already exist, do not modify them except to ensure that the “Perm. Loc.” location given in the item records matches the location in the holdings record.

4. If Acquisitions created individual volume “acq” bibliographic records for volumes in the series, ignore those bibliographic records except to ensure that the appropriate location is given in the holdings records’ 852 \$b and in the “Perm. Loc.” box in the item records for those bibliographic records.

5. Send publication(s) to custodial location.

B. Other LC serial bibliographic record (906 \$b = ibc, bbc, cbc, or par) already in the LC Database: send printouts of that bibliographic record with issue(s) to ABA Policy.

C. No serial bibliographic record in the LC Database:

1. Create serial bibliographic record by using bibliographic template “Techreport.tem.”

- a. Code following 008 information (ignore others):
  - (1) Place of publication

## (2) Language

- b. Give the series title in the 245 field. If a qualifier is needed to break a conflict, add a 130 field with the series title plus a qualifier.
- c. Input 260 \$ab; there will be no 260 \$c even if first issue is in hand.
- d. Supply height in 300 \$c. Do not supply number of volumes in \$a and do not supply \$b.

*Example:*

300 \$a v. \$c 28 cm.

- e. In 500 “Description based on” note, add information from the issue to give the numbering to complete the note.
- f. Add 710(s) for body(ies).
- g. Complete 955 field by adding appropriate location with cataloger's code and date.

### 2. Create holdings record for the bibliographic record.

a. If you did not change the default location in your session defaults and preferences, delete the default location in 852 \$b. Input the correct location (either “c-Asian” or “c-TRS/ST&B”) or select it by keying “Ctrl-l” (cursor must be in the data column) and then clicking on the appropriate line.

b. Add “UNCLASSED” in 852 \$h; there will be no 852 \$i.

### 3. Do not create item record(s).

4. If Acquisitions created individual volume “acq” bibliographic records for volumes in the series, ignore those bibliographic records except to ensure that any holdings and items records for those individual bibliographic records show the appropriate location.

### 5. Send publication(s) to custodial division.

## **Contents of template for technical report local serial bibliographic record:**

Leader:

Status = n  
Type = a  
Bib/l = s  
Arch = blank  
Enc/l = 3  
Form = a

008:

Publication status = u  
Date 1 = uuuu  
Date 2 = uuuu  
Place of publication = ||| [to be filled in by cataloger]  
Frequency = blank  
Regularity = u  
ISSN Center = |

Type of serial = m  
 Original item = blank  
 Form of item = blank  
 Nature of entire work = blank  
 Nature of contents = blank for all three boxes  
 Govt. publication = |  
 Conf. publication = |  
 Alphabet = |  
 Type of entry = 0  
 Language = ||| [to be filled in by cataloger]  
 Modified record = blank  
 Cataloging source = blank

906           \$a 0 \$b bbc \$c serials \$d u \$e ncip \$f 19 \$g y-gencatlg  
 92\_           \$a acquire \$b 1 shelf copy \$x policy default  
 955           \$a To

130 0         \$a  
 245           \$a  
 260           \$a       \$b  
 300           \$a v. \$c  
 500           \$a Technical report  
 500           \$a Description based on:  
 710           \$a

### Multiple 050 Fields in Bibliographic Records

In order to have all the assigned call numbers in the shelflist browse index and to have a consistent policy for all multipart item records, multiple 050 fields will be used in all multipart item collected set records when the parts have different call numbers. Serial records already use multiple 050 fields in such situations. The following information, from the **CSM: Shelflisting**, explains the procedures for multiple 050 fields.

From **CSM ILS Supplement Workflow #4** for a new multipart item classified as a collection:

"1.c. If some volumes in the multipart item are in a larger multipart item/monographic series with a classification decision of "classified as a collection" and the other volumes in the multipart item either are not in a larger multipart item/monographic series or are in a larger multipart item/monographic series with a classification decision of "classified separately,"

(a) Formulate the call number for the volumes in the "classified as a collection" larger multipart item/monographic series based on that collected set call number.

(b) Formulate the call number for the volumes not in a larger multipart item/monographic series or for the volumes in the "classified separately" larger multipart

item/monographic series based on those volumes.

(c) In the multipart item record:

(i) Give multiple 050 fields containing the different call numbers for the volumes, with the 050 fields in call number order.

(ii) Ensure that the call number for each collected larger multipart item/monographic series is also given in \$1 of the 490 for each larger multipart item/monographic series.”

From **CSM ILS Supplement** Workflow #8 for an analytic of a multipart item or monographic series:

“2.c. Analytics in more than one multipart item/monographic series

...

(5) If different volumes of a classed-together multipart item analytic or serial analytic are in different larger multipart item/monographic series and the classification decision for one is “classified as a collection” and the classification decision for the other is “classified separately,”

(a) Formulate the call number for the volumes in the “classified as a collection” larger multipart item/monographic series based on that collected set call number.

(b) Formulate the call number for the volumes in the “classified separately” larger multipart item/monographic series based on the analytic.

(c) In the multipart item analytic record:

(i) Give multiple 050 fields containing the different call numbers for the volumes of the multipart item analytic, with the 050 fields in call number order.

(ii) Ensure that the call number for each collected larger multipart item/monographic series is also given in \$1 of the 490 for each larger multipart item/monographic series.

(d) In the serial analytic record:

(i) Give multiple 050 fields containing the different call numbers for the volumes of the serial analytic, with the call number for the most current volume as the first 050 field.

(ii) Ensure that the call number for each collected monographic series is also given in \$1 of the 490 for each series.”

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***The “Catalog” for Cataloging Purposes \****

For all LC catalogers establishing new name, title, and name/title headings, the local

catalog (or “catalog for cataloging purposes”) includes authority records and the bibliographic records in the LC database (including old PREMARC records) which have cbc, cbu, rip, rix, par, or vip in 906 \$b. For LC catalogers working in OCLC, the “catalog for cataloging purposes” includes the above plus the bibliographic records in the OCLC database.

\*The “catalog” is defined as the database against which searching is performed in order to determine conflicts.

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### *New Headings Matching Entries With “[from old catalog]”*

If searching in the local catalog in conjunction with establishing a new name, title, or name/title heading finds entries in old PREMARC records for what looks like the same heading plus “[from old catalog],” determine whether the new heading represents the same entity as the old heading with “[from old catalog].”

If the new heading represents the same entity as the old heading with “[from old catalog]”:

- Establish the new heading according to the appropriate standards, instructions, and procedures
- Modify the entries in the old PREMARC records as necessary to have the newly established heading and remove the “[from old catalog]” labels.

If the new heading represents a different entity from the old heading with “[from old catalog]”:

1. Establish the new heading, including qualifying information to break the conflict between it and the old heading, according to the appropriate standards, instructions, and procedures.
  2. Do not modify the entries with “[from old catalog]” in the old PREMARC records.
- 

## *LC ILS Authority Validation*

### **Saving Bibliographic Records in LC ILS**

The prescribed “Bypass Authority Control Validation” setting on the Validation tab of Session Defaults and Preferences in the LC ILS cataloging module (see DCM M6) is “**not checked**” (that is, authority control validation **not** bypassed).

Consequently, the LC ILS runs authority validation on a new or modified bibliographic record before saving it in the LC ILS database and the result is a display like the following:

Heading	Tag(s)	Validation	Bib Heading	Near Heading
Name	710	Nonexistent Heading	‡a North American Milk Bottle Association.	
Subject	650	Partial Heading Validation	‡a Milk bottles ‡x Collectors and collecting ‡z United States.	‡a Milk bottles [2]
Subject	651	Nonexistent Heading	‡a Untied States.	
Subject	651	Heading Validated	‡a Canada.	‡a Canada

**Do not rely** on this LC ILS authority validation or on information in this display as satisfactory confirmation that headings in the bibliographic record are valid and under authority control. Instead, do that by finding and looking at the authority records for each heading individually and by consulting descriptive cataloging guidelines and subject heading instructions, as necessary. (In many cases, this validation is done in the course of preparations for the new record or modifications.)

This authority validation display can be of assistance in the following ways:

- If LC ILS authority validation matched a heading with an authority record (fully or partially, through an established heading or through a reference), you can retrieve the authority record and look at it by selecting the heading’s line in the authority validation display and clicking “Retrieve auth.”
- In some cases, “Nonexistent Heading” under Validation may be a clue that there is a typographical error in the heading in the bibliographic record. If you determine that is the case, correct the error.
- In other cases, “Nonexistent Heading” may signal that you need to create an authority record or ask a cataloger to create one. Search to confirm that before initiating creation of an authority record
- If you are creating the new name authority record, you can initiate the NAR process by selecting the heading’s line in the authority validation display and clicking “Create auth.” (Also see guidelines in DCM Z1, Appendix for LC Staff, “Authority Generation/Templates/Macros.”)

### Right-Click Validating Single Headings in LC ILS

You can get a validation message from LC ILS for a single heading field in an LC ILS bibliographic record by selecting the field (that is, by putting the cursor in the gray box to its left), “right clicking” the mouse, and clicking “Validate Heading in this field” from the

resulting choices. Possible results are “This heading is validated” or a browse list of headings from bibliographic and authority records (none exactly matching the selected heading).

**Do not rely** on either result as satisfactory confirmation that the selected heading is valid and under authority control or not. Instead, obtain that confirmation by finding and looking at the authority record for the heading (for example, by clicking **Record / Retrieve authorities** on the menu bar and then selecting the authority record’s line on the resulting list) or by searching to determine that there is no authority record.

---

### Authority Generation/Templates/Macros

Reminder: the Voyager authority generation feature cannot be used to create NARs for headings that are not headings in bibliographic records (e.g., parent bodies in headings or references, qualifiers for bodies or serial/series titles). There are LC-created macros for NARs in the “Names” folder in the Voyager templates folder.

Use the appropriate macro if you create an NAR using the authority generation feature. Invoke the macro after issuing the “Create auth” command and then proceed to add cross references, update 670, etc. Note that the cataloger must both enter data and press the “Enter” key at certain stages for the macro to complete the steps.

NAR macro (“Ctrl+F7”)

*Macro updates 008/39; adds tag 953 and waits for cataloger to add code and press “Enter” key; macro adds \$b in 040; adds tag 010 and waits for cataloger to add LCCN.*

Some divisions may have made adjustments to retain an earlier invoking key for the macro.

---

### LAC name authority record procedures for LC catalogers

As of August 2012 LC catalogers creating RDA name authority records will no longer be required to search the LAC name authority file for the personal or corporate name forms.

LC catalogers that continue to create records under the AACR2 rules should continue to search for the LAC form of personal and corporate names using either the Canadiana database available on the web at:

<http://collectionscanada.gc.ca/canadiana-authorities/index/index?lang=eng> or by searching for LAC name authorities in the VIAF (<http://www.viaf.org>).

When information is found, catalogers should copy and paste the relevant information into an NAR created in the ILS and cite LAC or the VIAF in a 670 with that information.

Examples:

*670 ## \$a LAC, August 1, 2012 \$b (hdg.: \_\_\_\_\_; variants: \_\_\_\_\_;  
other information: \_\_\_\_\_)*

or

670 ## \$a LAC in VIAF, August 1, 2012 \$b (hdg.: \_\_\_\_\_;  
variants: \_\_\_\_\_; other information: \_\_\_\_\_)

### **368 Other Corporate Body Attributes**

#### **NACO:**

368 may be supplied in a name authority record coded 008/10 c or z.

*Do not use subfields:*

\$0, \$6 or \$8

#### **SACO:**

Do not use 368.

---

#### **LC:**

#### **NAMES/SERIES:**

368 may be supplied in a name authority record coded 008/10 c or z.

**Do not use subfields:**

\$0, \$6 or \$8

#### **SUBJECTS:**

Do not use 368.

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**373 Associated Group**

**NACO:**

373 may be supplied in NARs for persons or corporate bodies coded 008/10 c or z

Do not use subfields:

\$0, \$6 or \$8

**SACO:**

Do not use 373.

---

**LC:**

**NAMES/SERIES:**

373 may be supplied in NARs for persons or corporate bodies coded 008/10 c or z.

Do not use subfields:

\$0, \$6 or \$8

**SUBJECTS:**

Do not use 373.

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**378 Fuller Form of Personal Name**

**NACO:**

378 may be supplied in NARs or SARs coded 008/10 c or z.

**Do not use subfields:**

\$6 or \$8

**SACO:**

Do not use 378.

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**LC:**

**NAMES/SERIES:**

378 may be supplied in NARs or SARs coded 008/10 c or z.

**Do not use subfields:**

\$6 or \$8

**SUBJECTS:**

Do not use 378.