<table>
<thead>
<tr>
<th><strong>DCM</strong></th>
<th><strong>Title</strong></th>
<th><strong>Action/Change</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>B13.13</td>
<td>Copy Cataloging Manual. Appendix 10: Copy Cataloging in the RDA Environment (Textual Monographs)</td>
<td>Revised to reflect LC policy under RDA. Contains guidelines related to records that may be kept as AACR2, those that should be converted to RDA, and guidelines for using existing RDA records. Replace.</td>
</tr>
<tr>
<td>C5</td>
<td>Issues Related to the Physical Condition of a Resource</td>
<td>Formerly named &quot;Issues Related to the Physical Condition of an Item.&quot; Revised to incorporate guidelines for treating issues encountered prior to cataloging, those encountered at the time of cataloging, and those encountered subsequent to cataloging. Includes special guidelines for treating possible cases of mold. Replace.</td>
</tr>
<tr>
<td>C16</td>
<td>The Local Bibliographic Record and Local Data Fields</td>
<td>C16.2 - Order of Variable Data Fields. Replace. C.16.23.1 - Leader and 008. Replace. Revised to reflect the implementation of RDA.</td>
</tr>
<tr>
<td>M4</td>
<td>Serial versus Non-serial Cataloging Treatment in LC</td>
<td>Revised to reflect the implementation of RDA. Replace.</td>
</tr>
<tr>
<td>M5</td>
<td>Library of Congress Series Policy</td>
<td>M.5.1.1 - Series Authority Records. Replace. M.5.8.4 - Analyzed In Full: Applies To Analyzable Parts Classified As A Collection [under &quot;Exceptions to the General LC Series Policy]. Replace. Revised to reflect the implementation of RDA.</td>
</tr>
<tr>
<td>Z1</td>
<td>Name and Series Authority Records</td>
<td>All the revisions to sections in Z1 in Update 3, except for the section on 008/32, direct catalogers to the appropriate PCC documentation to consult when determining whether or not to recode AACR2 NARs to RDA.</td>
</tr>
<tr>
<td>DCM</td>
<td>Title</td>
<td>Action/Change</td>
</tr>
<tr>
<td>-----</td>
<td>-------</td>
<td>---------------</td>
</tr>
<tr>
<td>Z1</td>
<td>Name and Series Authority Records</td>
<td>008/10 - Descriptive Cataloging Rules. Replace.</td>
</tr>
<tr>
<td>Z1</td>
<td>Name and Series Authority Records</td>
<td>008/32 - Undifferentiated Personal Name. Revised to provide other options for additions to names as needed to differentiate. Replace</td>
</tr>
<tr>
<td>Z1</td>
<td>Name and Series Authority Records</td>
<td>040 - Cataloging Source. Replace.</td>
</tr>
<tr>
<td>Z1</td>
<td>Name and Series Authority Records</td>
<td>1XX - Headings. Replace.</td>
</tr>
<tr>
<td>Z1</td>
<td>Name and Series Authority Records</td>
<td>Tracings and References General Information - 5XX Fields. Replace.</td>
</tr>
<tr>
<td>Z1</td>
<td>Name and Series Authority Records</td>
<td>5XX - See Also From Tracings. Replace.</td>
</tr>
</tbody>
</table>
Appendix 10: Copy Cataloging in the RDA Environment (Textual Monographs)  rev. July 2013

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B13.13.1 PURPOSE OF APPENDIX 10
This appendix is to be used by RDA-trained catalogers and technicians to:

1) identify when it is appropriate to convert an imported AACR2 record to RDA;
2) recognize common differences between AACR2 and RDA that should be checked when importing records that can be converted to RDA;
3) recognize LC practices, including "LC core" elements, that should be addressed when importing records that are already RDA or will be converted to RDA;
4) recognize situations where a cataloging technician may need to consult with a cataloger regarding authority records or authorized access points.

B13.13.2 AACR2 OR RDA
This section provides guidelines with respect to when to keep or change the descriptive conventions on imported records.

B13.13.2.1 AACR2 Records that May Be Kept As AACR2
For the interim period prior to the full implementation of RDA, some imported AACR2 records for monographs and multipart monographs were retained as AACR2 in order to be in compliance with community agreements. After March 31, 2013, sections in ABA have the discretion to decode whether "full or fuller level" AACR2 records should be converted to RDA or left as AACR2. In this context, a full or fuller level record may be identified by the encoding level (Leader/17), sometimes in combination with the language of cataloging (040 $b).

Full or fuller encoding levels: #, 1, 2, 4, 8, I or L where the language of cataloging is English.

CAUTION: The presence of fields 336 (Content type), 337 (Media type), and 338 (Carrier type) in a bibliographic record does not in and of itself indicate RDA cataloging, since these fields may be used with non-RDA cataloging, including "enhanced" AACR2 records. When these fields are present in a bibliographic record, look for positive evidence of RDA cataloging such as:

Ldr/18 (Descriptive cataloging form) = i (ISBD punctuation included) or c (ISBD punctuation omitted)
040 contains $e = rda

If the value in Ldr/18 is neither "i" nor "c" and 040 contains $e = rda, rely on the evidence in field 040.

Alternatively, look for evidence of non-RDA cataloging, such as:

Ldr/18 (Descriptive cataloging form) = a (AACR 2)
040 does not contain $e = rda
terms are abbreviated in places RDA would not abbreviate them, e.g.:

300 ## $a 296 p. $b ill., ports. (some col.)

If fields such as 336/337/338 fields are found in imported AACR2 records, and your section practice is to
leave such records as AACR2, always retain the 33X fields in the record.

B13.13.2.1.1 Z-Processor tip
When importing a record from OCLC, Z-Processor will recognize the encoding level and language of cataloging of the record and will generally identify the correct cataloging stream:

- **Copycat**—indicates that the record is a fuller-level record, and the language of cataloging is English. Follow section practice for whether to keep as AACR2 or to convert to RDA.

- **PCC Adapt**—indicates that the record is a fuller-level record and the language of cataloging is English. Follow section practice for whether to keep as AACR2 or to convert to RDA.

B13.13.2.2 AACR2 Records That Should Be Converted To RDA
There are two categories of imported AACR2 records that should be converted to RDA:

1) less than full AACR2 records (encoding levels K, M, 3, 5, and 7);
2) records in which the language of cataloging (040 $b) is other than English; convert to RDA regardless of encoding level.

B13.13.2.2.1 Z-Processor tip
When importing a record from OCLC, Z-Processor will recognize the encoding level and language of cataloging of the record and will generally identify the correct cataloging stream:

- **OrigRes**—indicates that the record is a lower-level record, and/or the language of cataloging is other than English. Process the record as RDA.

- **OrigCop**—indicates that an existing LC AACR2 record for another edition can be used to create a new RDA record.

B13.13.2.2.2 Checklist 1: Converting an AACR2 record to RDA
The following table summarizes the data elements to be checked or changed when an imported AACR2 record is converted to RDA. The list includes typical "LC Core+" elements that the cataloger or technician should add if not present.

Also apply the guidelines in DCM B13 for fields not included in this table (e.g., 041, 043, 050, 082, 504, subject headings), including the "pass through" concept for elements not generally supplied by LC. Remember that LC copy cataloging focuses on accepting the cataloging of other libraries as much as possible, limiting changes to egregious errors.

If a technician is changing the AACR2 record to an RDA record,

- fields marked with a double asterisk should be discussed with a cataloger;
- the record should be referred to a cataloger if authorized forms are not available in the LC/NACO Authority file for the following fields in the bibliographic record: 1XX, 240, 600-630, and 7XX fields other than linking entry fields and those for analytical
authorized access points (7XX indicator 2 = 2).

Note that the information given in bold italic type will be present in the record if the "IBC to RDA" macro is involved (CTRL+SHIFT+0).

<table>
<thead>
<tr>
<th>Data Element</th>
<th>Name</th>
<th>AACR2 &gt; RDA Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ldr/18</td>
<td>Descriptive cataloging form</td>
<td>Assure &quot;i&quot; (ISBD)</td>
</tr>
<tr>
<td>040 $b</td>
<td>Language of cataloging</td>
<td>Assure &quot;eng&quot;</td>
</tr>
<tr>
<td>040 $e</td>
<td>Description conventions</td>
<td>Assure &quot;rda&quot; (and &quot;dcrmb&quot;) if appropriate</td>
</tr>
<tr>
<td>042 $a</td>
<td>Authentication code</td>
<td>Assure &quot;pcc&quot; or &quot;lccopycat&quot; as applicable (retain &quot;lcode&quot; when appropriate)</td>
</tr>
<tr>
<td>1XX**</td>
<td>Main entry (Creator)</td>
<td>Add creator if missing (the most likely situation would be if more than three persons or bodies are named in a single statement of responsibility). For compilations, remove creator if the resource contains works by more than one creator.</td>
</tr>
<tr>
<td>130/240**</td>
<td>Uniform (preferred) title</td>
<td>The most likely situations needing attention: (1) If the resource is a translation, ensure the presence of the preferred title of the original and only one language name in subfield $l. (2) If the resource is a compilation of works by one creator, ensure the presence of the correct form of the conventional title if appropriate (for example, note that &quot;Selections&quot; by itself is not an appropriate title). (3) If the resource is a revised expression or manifestation with a different title proper from the original work, ensure the presence of the preferred title for the original work. (4) For compilations, remove the field if it represents only the first work in the compilation.</td>
</tr>
<tr>
<td>Data Element</td>
<td>Name</td>
<td>AACR2 &gt; RDA Action</td>
</tr>
<tr>
<td>--------------</td>
<td>-----------------------</td>
<td>------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>245</td>
<td>Title proper, etc.</td>
<td>Delete &quot;[sic]&quot; or &quot;[i.e., ___].&quot; Remove $h$ if present. Add missing other title information if presented with the title proper in the resource. (LC Core+) Add missing parallel title(s) from any source in the resource. (LC Core+) Ensure the presence of the first statement of responsibility from any source in the resource. In an existing statement of responsibility, replace &quot;[et al.]&quot; with a full transcription of the statement, or use &quot;[and ___ others]&quot; (supplying the appropriate number).</td>
</tr>
<tr>
<td>246</td>
<td>Variant title</td>
<td>If &quot;[sic]&quot; or &quot;[i.e., ___]&quot; was removed from the title proper, consider adding a 246 field for the corrected form.</td>
</tr>
<tr>
<td>246</td>
<td>Later title proper</td>
<td>Add for later titles of a multipart monograph. (LC Core+)</td>
</tr>
<tr>
<td>250</td>
<td>Edition statement</td>
<td>Expand any unauthorized abbreviations and record numerals as found in the resource.</td>
</tr>
</tbody>
</table>
## Appendix 10: Copy Cataloging in the RDA Environment (Textual Monographs)

<table>
<thead>
<tr>
<th>Data Element</th>
<th>Name</th>
<th>AACR2 &gt; RDA Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>260/264</td>
<td>Publication information</td>
<td>For a single-part resource, change the tag to 264 and use the appropriate 2nd indicator value based on the content of the field. $a Ensure that first place of first publisher is transcribed as found in the resource. Replace &quot;[S.l.]&quot; with a supplied place if possible or &quot;[Place of publication not identified]&quot;. $b Expand abbreviations when applicable, and add missing words in the name of the publisher. $c Ensure that date of publication is given even if it is a supplied date (e.g., it may be necessary to convert a copyright date to a supplied publication date). If no publication date can be supplied, record &quot;[date of publication not identified]&quot; and record another type of date in a subsequent 264 field. Supply missing parts of publication, distribution, manufacture statements when necessary for understanding. Multipart monographs: prefer not to change an existing 260 field to 264. It is permissible to update pre-RDA records with changes in production, publication, distribution, and manufacture elements by adding either the 260 field or the 264 field at the cataloger's discretion.</td>
</tr>
<tr>
<td>300</td>
<td>Physical description</td>
<td>Expand abbreviations when applicable. Assure $b identifies illustrations if resource is intended for children. For incomplete multipart monographs, give only &quot;volumes&quot; in $a; ensure that volume being processed is represented by an item record. Ensure that subfield $c is present. (LC Core+)</td>
</tr>
<tr>
<td>336</td>
<td>Content type</td>
<td><strong>Give $a text $2 rdacomment</strong> Accept $b if present; accept other $a if appropriate.</td>
</tr>
<tr>
<td>337</td>
<td>Media type</td>
<td><strong>Give $a unmediated $2 rdamedia</strong> (LC Core+) Accept $b if present; accept other $a if appropriate.</td>
</tr>
<tr>
<td>338</td>
<td>Carrier type</td>
<td><strong>Give $a volume $2 rdacarrier</strong> Accept $b if present; accept other $a if appropriate.</td>
</tr>
<tr>
<td>Data Element</td>
<td>Name</td>
<td>AACR2 &gt; RDA Action</td>
</tr>
<tr>
<td>--------------</td>
<td>------</td>
<td>--------------------</td>
</tr>
<tr>
<td>490</td>
<td>Series statement</td>
<td>Check for and assure/supply ISSN and numbering of series and of subseries. (LC Core+)</td>
</tr>
<tr>
<td>505</td>
<td>Formatted contents note</td>
<td>Supply contents note for compilations when appropriate. (LC Core+)</td>
</tr>
<tr>
<td>520</td>
<td>Summary note</td>
<td>Supply if resource is fiction intended for children. (LC Core+)</td>
</tr>
<tr>
<td>521</td>
<td>Intended audience</td>
<td>Supply if resource is intended for children. (LC Core+)</td>
</tr>
<tr>
<td>546</td>
<td>Language/script</td>
<td>Supply for some situations/scripts. (LC Core+)</td>
</tr>
<tr>
<td>7XX</td>
<td>Added entry (authorized access point) fields for names of persons, families, and corporate bodies</td>
<td>Assure/add access points for illustrator(s) of a resource intended for children. (LC Core+) Use the Appendix J designator &quot;illustrator&quot; in MARC 21 subfield $e. If the field already contains the code &quot;ill&quot; in subfield $4, add the term in subfield $e preceding subfield $4: &quot;...$e illustrator. $4 ill&quot; Remove 7XX for creator if moved to 1XX position per RDA.</td>
</tr>
<tr>
<td>7XX**</td>
<td>Added entry (authorized access point) fields for related works and expressions</td>
<td>If the resource is a compilation, assure/add an authorized access point for the first or principal work/expression if it is substantial. Assure that any subfield $i containing an Appendix J designator is the first subfield in the field.</td>
</tr>
<tr>
<td>775**</td>
<td>Other edition entry (related manifestation)</td>
<td>For a reproduction, give information about the original publication when the earlier record is available; otherwise, use bibliographic history note (500). (LC Core+)</td>
</tr>
</tbody>
</table>

**B13.13.2.3 RDA Records**

An imported record should be kept as RDA. Most RDA records imported from OCLC will be full or fuller level records, although some less than full RDA records may be found.

**B13.13.2.3.1 Z-Processor tip**

When importing an RDA record from OCLC, Z-Processor will recognize the encoding level and language of cataloging of the record and will generally identify the correct
cataloging stream:

- **OrigRes**—indicates that the record is a lower-level record and/or the language of cataloging is other than English. Process the record as RDA.
- **Copycat**—indicates that the record is a fuller-level record and the language of cataloging is English. Process the record as RDA, with 042 = lccopycat. Exceptionally, process according to "encoding level 7 lccopycat" procedures (DCM B13, Appendix 7).
- **PCC Adapt**—indicates that the record is a fuller-level record and the language of cataloging is English. Process the record as full level RDA.
- **OrigCop**—indicates that an existing LC RDA record for another edition can be used to create a new RDA record.

**B13.13.2.3.2 Checklist 2: Using an imported RDA record**

The following table summarizes the data elements to be checked or changed when an RDA record is imported. The list includes typical "LC Core+" elements that the cataloger or technician should add if not present.

Also apply the guidelines in DCM B13 for fields not included in this table (e.g., 041, 043, 050, 082, 504, subject headings), including the "pass through" concept for elements not generally supplied by LC. Remember that LC copy cataloging focuses on accepting the cataloging of other libraries as much as possible, limiting changes to egregious errors.

If technician is importing the RDA record,

- fields marked with a double asterisk should be discussed with a cataloger;
- the record should be referred to a cataloger if authorized forms are not available in the LC/NACO Authority file for the following fields in the bibliographic record: 1XX, 240, 600-630, and 7XX fields other than linking entry fields and those for analytical authorized access points (7XX indicator 2 = 2);
- if "Encoding level 7 lccopycat" technique is to be used, follow your section/division practice for referring access points to a cataloger, as applicable.

<table>
<thead>
<tr>
<th>Data Element</th>
<th>Name</th>
<th>RDA &gt; RDA Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ldr/18</td>
<td>Descriptive cataloging form</td>
<td>Assure &quot;i&quot; (ISBD)</td>
</tr>
<tr>
<td>040 $b</td>
<td>Language of cataloging</td>
<td>Add &quot;eng&quot; if not present</td>
</tr>
<tr>
<td>040 $e</td>
<td>Description conventions</td>
<td>Assure &quot;rda&quot; (and &quot;dcrmb&quot; if appropriate)</td>
</tr>
<tr>
<td>Data Element</td>
<td>Name</td>
<td>RDA &gt; RDA Action</td>
</tr>
<tr>
<td>--------------</td>
<td>-----------------------------</td>
<td>----------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>042 $a</td>
<td>Authentication code</td>
<td>Assure &quot;pcc&quot; or &quot;lccopycat&quot; as applicable (retain &quot;lcode&quot; as appropriate)</td>
</tr>
<tr>
<td>130/240**</td>
<td>Uniform (preferred) title</td>
<td>The most likely situations needing attention: (1) If the resource is a translation, ensure the presence of the preferred title of the original and only one language name in subfield $l$. (2) If the resource is a compilation of works by one creator, ensure the presence of the correct form of the conventional title if appropriate. (3) If the resource is a revised expression or manifestation with a different title proper from the original work, ensure the presence of the preferred title for the original work.</td>
</tr>
</tbody>
</table>
| 245          | Title proper, etc.          | Add missing other title information if presented with title proper in the resource. (LC Core+)  
Add missing parallel title(s) from any source in the resource. (LC Core+)  
Ensure the presence of the first statement of responsibility from any source in the resource. |
<p>| 246          | Variant title               | Consider adding a 246 field for the corrected form of title when errors were transcribed in the title proper. |
| 246          | Later title proper          | Add for later titles of a multipart monograph. (LC Core+)                        |</p>
<table>
<thead>
<tr>
<th>Data Element</th>
<th>Name</th>
<th>RDA &gt; RDA Action</th>
</tr>
</thead>
</table>
| 264/260     | Publication information           | $a Ensure that first place of first publisher is transcribed as found in the resource, supply a place of publication, or use "[Place of publication not identified]".  
$c Ensure that date of publication is given even if it is a supplied date (e.g., it may be necessary to convert a copyright date to a supplied publication date). If no publication date can be supplied, record "[date of publication not identified]" and record another type of date in a subsequent 264 field. Supply missing parts of publication, distribution, manufacture statements when necessary for understanding.  
Multipart monographs: an existing 260 field (the RDA record was created before field 264 was defined) may be changed to a 264 when adding additional 264 fields at the cataloger's discretion, presuming the cataloger has enough information to select the appropriate 2nd indicator value. |
<p>| 300         | Physical description             | Assure $b identifies illustrations if resource is intended for children. For incomplete multipart monographs, give only &quot;volumes&quot; in $a; ensure that the volume being processed is represented by an item record. Ensure that subfield $c is present. (LC Core+)                                                                                                                                                    |
| 336         | Content type                     | Assure $a text $2 rdacontent Accept $b if present; accept other $a if appropriate.                                                                                                                                                                                                                                                                                                                                                                                  |
| 337         | Media type                       | Assure $a unmediated $2 rdamedia (LC Core+) Accept $b if present; accept other $a if appropriate.                                                                                                                                                                                                                                                                                                                                                                           |
| 338         | Carrier type                     | Assure $a volume $2 rdacarrier Accept $b if present; accept other $a if appropriate.                                                                                                                                                                                                                                                                                                                                                                                   |
| 490         | Series statement                 | Check for and assure/supply ISSN and numbering of series and of subseries. (LC Core+)                                                                                                                                                                                                                                                                                                                                                                                  |
| 505         | Formatted contents note          | Supply contents note for compilations when appropriate. (LC Core+)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| 520         | Summary note                     | Supply if resource is fiction intended for children. (LC Core+)                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| 521         | Intended audience                | Supply if resource is intended for children. (LC Core+)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| 546         | Language/script                  | Supply for some situations/scripts. (LC Core+)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |</p>
<table>
<thead>
<tr>
<th>Data Element</th>
<th>Name</th>
<th>RDA &gt; RDA Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>7XX</td>
<td>Added entry (authorized access point) fields for names of persons, families, and corporate bodies</td>
<td>Assure/add access points for illustrator(s) of a resource intended for children. (LC Core+) Use the Appendix I designator &quot;illustrator&quot; in MARC 21 subfield $e. If the field already contains the code &quot;ill&quot; in subfield $4, add &quot;illustrator&quot; in subfield $e preceding subfield $4: &quot;..., $e illustrator $4 ill&quot;</td>
</tr>
<tr>
<td>7XX**</td>
<td>Added entry (authorized access point) fields for related works and expressions</td>
<td>If the resource is a compilation, assure/add an authorized access point for the first or principal work/expression if it is substantial. Assure that any subfield $i containing an Appendix J designator is the first subfield in the field.</td>
</tr>
<tr>
<td>775**</td>
<td>Other edition entry (related manifestation)</td>
<td>For a reproduction, give information about the original publication when the earlier record is available; otherwise, use bibliographic history note (500). (LC Core+)</td>
</tr>
</tbody>
</table>
C5.1 ISSUES ENCOUNTERED AT THE TIME OF INITIAL RECEIPT

In general, resources may be in an initially damaged or unacceptable state at the time they are sent to the Library, resources may be damaged in transport, or resources may be damaged by irradiation treatment. Therefore, it behooves staff who initially receive resources to be aware of these possible conditions and, under certain circumstances, determine whether replacement or other procedures should be initiated before forwarding a resource to the next processing unit.

C5.1.1 Initially Damaged or in an Unacceptable State

Examples of this condition are instances of defective and poorly constructed books with torn or loose pages, detached spines, faint or smudged printing, missing pages, upside-down pages, resources that are incomplete, i.e., the pagination does not represent the complete content, etc. In such cases refer to Invoice Processing at: http://www.loc.gov/staff/idt/ABAW-P/ACQ/ACQ-InvPayCredit/InvoiceProcessing_F.pdf

C5.1.2 Damaged in Transport

Examples of this condition are boxes/resources observed to be damaged or to be damp.

If you find mold, suspect mold, or come across water-damaged materials, one of two courses of action needs to be taken:

1) if the collection materials are WET: call the Library’s Capitol Police at 7-1000 (Yes, the police. The Capitol Police are the start of an established phone contact tree, which includes the Preservation Emergency Response Team [PERT]). Handle wet items as little as possible, cover them with plastic sheeting, and leave them where you first found them. Wait for a PERT member to arrive to assess the material;

2) if the collection materials are DRY: contact the Collections Care Section of the Binding and Collections Care Division. Handle the items as little as possible to prevent potential mold spores from dispersing. Wait for a CCS staff member to arrive to assess the material.

C5.1.3 Damaged by Irradiation

Irradiation can cause plastic to melt, warp, and darken. It can cause pages to stick together, a condition called blocking. It can accelerate the deterioration of printed text and illustrations. If there is a suspicion that resources have been damaged by the irradiation process in transit to the Library, refer to Processing Materials Damaged by Irradiation at: http://www.loc.gov/staff/idt/ABAW-P/ACQ/ACQ-RecProc/ProcessingMaterialsDamagedbyIrradiation_F.pdf

C5.2 ISSUES ENCOUNTERED AT THE TIME OF CATALOGING

In the course of cataloging resources selected for the Library’s collections, issues related to the physical condition of an item may come to the attention of a cataloging section. It is the responsibility of the cataloging section to call such conditions to the attention of the Binding and Collections Care Division (BCCD).

Some of the conditions to be called to the attention of BCCD include:

Cover torn and/or detached.
Item cannot be opened without damaging pages.

Pages fractured or broken from the text block.

Pages fractured or broken with loss of text or visual information.

Pages cannot be turned without risk of loss of text information.

Call such conditions to BCCD’s attention by inserting a "Condition Alert for BCCD (LM G17/19" slip (824 (2013/03) (formerly "Binding Instructions for BCCD" slip (824 (2007/08)) in the item. Check the box preceding the appropriate condition, e.g., "Loose material" in the case of an errata slip. If none applies, check the "Other:" category, and briefly describe the condition to be assessed by BCCD, e.g.:

“Paper appears to be brittle.”

“Loose and tattered pages; bindable?”

Fill in all the data under the "RETURN TO:" section of the slip if appropriate.

The Collections Care Section of BCCD, in consultation with the Preservation Reformatting Division, will assess the collection care aspect of the item and determine what action, if any, is needed. If such action affects the cataloging, e.g., the need to reformat the item for preservation from macroform to microform, they will consult with PSD to determine the best means of having the cataloging adjusted to reflect the preservation format.

C5.3 ISSUES ENCOUNTERED SUBSEQUENT TO CATALOGING

On occasion, cataloging sections receive material associated with a particular item subsequent to its being cataloged, e.g., an errata slip or a request to substitute one or more pages that reflect corrections or revisions. In such cases the general procedure is to obtain the item involved and refer it, along with the newly received loose material, to BCCD. The Collections Care Section will determine the best means of incorporating the loose material. If the loose material comes in a "do-it-yourself mode," e.g., an errata slip with self-adhesive backing, do NOT attempt to make use of such a feature. Instead, refer to BCCD and let that Division make the best decision from the preservation perspective.

Specifically, obtain the item involved. As described in DCM C5.2 above, use slip 824 to communicate to BCCD the condition to be addressed. If the item involved has been charged to the section, include also slip 1587 (formerly 6-182) to request BCCD to forward the item to CALM for discharge.

If the item for which the loose material is associated is an issue of a serial that has not yet been bound, forward the loose material, with a note explaining its origin, to the unit that has custody of the unbound issue (consult the location code in subfield Sb of field 852 in the holdings record). If the location code is "c-GenColl", the custody is the Serial and Government Publications Division; send the information to: Head, Government Publication & Periodical Section (LS/SER/GP&P).
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C16.1 GENERAL
These guidelines apply primarily to LC monograph and integrating resource bibliographic records.

See the following sources for information on specific data elements and local fields used in LC serial bibliographic records:

1) CONSER Editing Guide, Section E;

Note: These symbols conventionally represent here the following values in MARC 21 content designation:

# = blank space
$ = subfield delimiter
### ORDER OF VARIABLE DATA FIELDS

<table>
<thead>
<tr>
<th>Order of Variable Fields in LC ILS Bibliographic Records</th>
</tr>
</thead>
<tbody>
<tr>
<td>★ 906 (Local Processing Data)</td>
</tr>
<tr>
<td>★ 925 (Local Selection Decision)</td>
</tr>
<tr>
<td>★ 955 (Local Functional Identifying Information)</td>
</tr>
<tr>
<td>After 906-925-955, order other variable fields in “century blocks”: 0XX &gt; 1XX &gt; 2XX &gt; 3XX &gt; 4XX &gt; 5XX &gt; 6XX &gt; 7XX &gt; 8XX &gt; other 9XX.</td>
</tr>
<tr>
<td>0XX (Numbers and codes): 010, 040, etc.</td>
</tr>
<tr>
<td>1XX (Main entry)</td>
</tr>
<tr>
<td>2XX (Title, edition, imprint, etc.): 240, 245, 260, etc.</td>
</tr>
<tr>
<td>3XX (Extent, etc.)</td>
</tr>
<tr>
<td>4XX (Series statement): 490 generally</td>
</tr>
<tr>
<td>5XX (Notes)</td>
</tr>
<tr>
<td>6XX (Subject &amp; genre access fields)</td>
</tr>
<tr>
<td>70X-75X (Added entry fields)</td>
</tr>
<tr>
<td>76X-78X (Linking entry fields)</td>
</tr>
<tr>
<td>80X-83X (Series added entries)</td>
</tr>
<tr>
<td>84X-88X (Location, etc.): 856, 880, etc.</td>
</tr>
<tr>
<td>9XX (Local fields): 952, 984, etc.</td>
</tr>
</tbody>
</table>

Ordering 906, 925, and 955 fields as shown above is:

- **mandatory** in **new** LC ILS records created, derived, or imported **one by one**
- **optional**, not required, in **batch** loaded records and in other circumstances.

Generally accept other variations from the above order created by batch loading processes. See DCM B13.11 for instructions about LC copy cataloging.
C16.3 LOCAL VARIABLE DATA FIELDS—GENERAL INFORMATION

When using an existing bibliographic record to derive a new record for another resource, input or retain only those local fields needed for the resource that the new record represents; delete unwanted local data fields that came from the source copy, as necessary.

When importing records one by one, assess the result of each merger: delete duplicate or wrong local fields inserted by the loading process; add needed local fields that were not provided. (See DCM B13.11 for more guidelines about mergers using Z-Processor, etc.)

Accept duplicate local fields and similar imperfections that result from batch loading processes, rather than retrieve and evaluate batch loaded records individually.

Note: Some local fields and practices described here have no current use. They are identified to clarify their presence in LC records, but this does not authorize their further use.

C16.4 249 FIELD: LOCAL VARYING FORM OF TITLE (R) [Limited use]

C16.4.1 Content Designation Summary

Has same indicators and subfields as MARC 21 field 246.

First Indicator – Note Controller/Title Added Entry

0: Note, no title added entry [Only value used]

Second Indicator – Type of Title

#: No information provided [Only value used]

C16.4.2 General Description and Instructions

Title needed locally as an access point, such as a variant used by a vendor. LC monograph and integrating resource catalogers: Generally do not change or delete in existing records.

249 0# $i ACQUIRE Title: $a Alberta statutes and rules of court judicially considered
C16.5  590: LOCAL NOTE (R)

C16.5.1  Content Designation Summary
First and Second Indicators
# : Undefined

Subfields
a : Text of note (NR)

C16.5.2  General Description and Instructions

LC local binding practice: Record details of local binding in 590 when LC divides a very thick volume into parts before binding (see DCM C6).


LC holdings of multiparts (Discontinued): Before October 2012, LC staff input or updated 590 with LC’s local holdings when a copy cataloging record’s contents note included parts not held in LC. After September 2012, those notes are no longer added or updated, although some remain in existing records. (See DCM B13.7.2.1 for further information.)

590 ## $a LC has: pts. 1-2, 4-7 only.
   (Added before October 2012 because 505 listed titles of parts 1-7. Do not imitate.)

LC records exhibit other, discontinued uses of 590. Leave those as found but do not imitate them.

C16.6  591: LOCAL “WITH” NOTE (R) [No active use]

C16.6.1  Content Designation Summary
First and Second Indicators
# : Undefined

Subfields
a : Text of note (NR)

C16.6.2  General Description and Instructions

Local information notes used when LC had different resources locally bound together or combined on the same microfilm reel. Has no active uses now in LC. Do not input in new records; generally do not change or delete in existing records.
C16.7 592: LOCAL ACQUISITION NOTE (R)

C16.7.1 Content Designation Summary
First and Second Indicators
# : Undefined

Subfields
  a : Text of note (NR)

C16.7.2 General Description and Instructions
Notes with LC local acquisition information or handling instructions. Newer LC records more often use acquisitions module notes, but 592 can still be used.

592 ## $a Send loose-leaf replacement pages unchecked to ST&B.
592 ## $a order cancelled; Blackwell's reports this title discontinued.

C16.8 859: LOCAL ELECTRONIC LOCATION AND ACCESS (R)

C16.8.1 Content Designation Summary
Has same indicators and subfields as MARC 21 field 856.

C16.8.2 General Description and Instructions
Electronic location information for a resource not necessarily accessible from LC. Has same information as 856, but does not display in the OPAC. CONSER serial records in the LC ILS and records for some Web resources initiated by LC use 859.

859 ## $3 The United States, Spain, and the American Frontier: Historias Paralelas. Selections from the Library of Congress Geography and Map Division $u http://hdl.loc.gov/loc.hisp/esphtml.0004 $q u

C16.9 890: LC VISIBLE FILE ENTRY (R) [Limited use]

C16.9.1 Content Designation Summary
First and Second Indicators
# : Undefined

Subfields
  a : Visible file entry (NR)
  i : Control number (R)

C16.9.2 General Description and Instructions
Visible file entry formerly used in LC’s manual Serial Record. Appears in a monograph or integrating resource record when there was a pre-ILS serial check-in record for loose-leaf updates. Generally do not change or delete 890 found in those records.

890 ## $a Labor law reporter ... $i 66-1961
C16.10 906: LOCAL PROCESSING DATA (NR) [High use]

C16.10.1 General

C16.10.1.1 Content designation summary

First and Second Indicators

# : Undefined

Subfields

- a : Distribution controller (NR)
- b : Local record completion state (NR)
- c : Local processing workflow (NR)
- d : Priority (NR)
- e : CIP/PCN flag (NR)
- f : Century flag (NR)
- g : Stakeholder code (NR)

C16.10.1.2 General description and instructions

Data supporting management of bibliographic control and processing of bibliographic records at LC.

```
906 ## $a 0 $b ibc $c orignew $d 2 $e epcn $f 20 $g y-gencatlg
906 ## $a 7 $b cbc $c copycat $d 2 $e ncip $f 20 $g y-genmusic
906 ## $a 0 $b acq $c acqwork $d u $e ncip $f 20 $g z-acqworks
```

C16.10.2 Subfields

C16.10.2.1 $a Distribution controller (NR)

Code controlling whether the Cataloging Distribution Service distributes the record outside LC or not.

<table>
<thead>
<tr>
<th>0</th>
<th>Do Not Distribute Record</th>
<th>Used in IBC records and others not being distributed outside LC.</th>
</tr>
</thead>
<tbody>
<tr>
<td>7</td>
<td>Distribute Record</td>
<td>Used in completed records ready for distribution outside LC.</td>
</tr>
<tr>
<td>p</td>
<td>Never Distribute Record</td>
<td>Used in some classified map records and some visual material records.</td>
</tr>
</tbody>
</table>
### C16.10.2.2 $b Local record completion state (NR)

Code indicating (a) the state of the record with respect to whether its cataloging has been completed or not or (b) support of a function other than cataloging.

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>acq</td>
<td>Acquisition Support Record</td>
<td>Record supporting acquisitions but not cataloging or circulation</td>
</tr>
<tr>
<td>bbc</td>
<td>Basic Bibliographic Control</td>
<td>a) Completed less-than-full record for a serial that LC does not retain or retains non-permanently, or b) Former SERLOC record that failed to merge with a serial bibliographic record</td>
</tr>
<tr>
<td>cbc</td>
<td>Completed Bibliographic Control</td>
<td>(a) Completed full, core, LC BSR, or minimal level bibliographic record, or (b) Completed CIP pre-publication cataloging</td>
</tr>
<tr>
<td>cbu</td>
<td>Completed Bibliographic Control (Unverified)</td>
<td>Completed record that was “unverified” in MUMS before it migrated to LC ILS – Changed to “cbc” if the record is updated</td>
</tr>
<tr>
<td>cir</td>
<td>Circulation Support Record</td>
<td>Record supporting circulation but not acquisitions or cataloging</td>
</tr>
<tr>
<td>ibc</td>
<td>Initial Bibliographic Control</td>
<td>Record still in its “initial” state, with all or some of its intended cataloging not yet completed</td>
</tr>
<tr>
<td>par</td>
<td>Partial Bibliographic Control</td>
<td>Record with some aspect(s) of processing beyond IBC completed, but other aspect(s) not yet completed</td>
</tr>
<tr>
<td>rip</td>
<td>Revised CIP Cataloging/Revised CIP Data</td>
<td>CIP cataloging revised prior to the resource’s publication for which revised CIP data should be sent to the publisher</td>
</tr>
<tr>
<td>rix</td>
<td>Revised CIP Cataloging/No Revised CIP Data</td>
<td>CIP cataloging revised prior to the resource’s publication for which revised CIP data should not be sent to the publisher</td>
</tr>
<tr>
<td>vip</td>
<td>CIP Verification in Process</td>
<td>Record with CIP verification in process or being initiated for a resource that has been received – Changed to &quot;cbc&quot; when completed</td>
</tr>
<tr>
<td>und</td>
<td>Undetermined</td>
<td></td>
</tr>
</tbody>
</table>

 Optionally used by sections with local determination of what it means – Examples include but are not limited to:

- Descriptive work completed but subject work not yet completed
- Cataloging except authority work completed
C16.10.2.3  $c Local processing workflow (NR)
Code indicating the "cataloging stream" in which the record was created or that ABA needs to count for statistics.

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>acqwork</td>
<td>Acquisition Processing Stream</td>
</tr>
<tr>
<td>copycat</td>
<td>LC Copy Cataloging Stream</td>
</tr>
<tr>
<td>042 = &quot;lccopycat&quot;</td>
<td></td>
</tr>
<tr>
<td>gpocoop</td>
<td>GPO Cooperative Cataloging Stream <em>(obsolete)</em></td>
</tr>
<tr>
<td></td>
<td>See DCM E1.7.1</td>
</tr>
<tr>
<td>muzenew</td>
<td>Compact Disc Workflow (IBCRs using MUZE data)</td>
</tr>
<tr>
<td>nccpada</td>
<td>NCCP Adapt</td>
</tr>
<tr>
<td></td>
<td>• Record for a resource <strong>in LC</strong></td>
</tr>
<tr>
<td></td>
<td>• 042 has “lcnccp”</td>
</tr>
<tr>
<td></td>
<td>• See DCM E1.6</td>
</tr>
<tr>
<td>nccpuna</td>
<td>NCCP Unadapt</td>
</tr>
<tr>
<td></td>
<td>• Record for a resource <strong>not in LC</strong></td>
</tr>
<tr>
<td></td>
<td>• 042 has “lcnccp”</td>
</tr>
<tr>
<td></td>
<td>• See DCM E1.6</td>
</tr>
<tr>
<td>nucmaps</td>
<td>NUC Maps Stream</td>
</tr>
<tr>
<td></td>
<td>• Record for cartographic resource based on National Union Catalog record</td>
</tr>
<tr>
<td></td>
<td>• 042 has “lcnuc”</td>
</tr>
<tr>
<td>oclcrpl</td>
<td>OCLC Replacement Record</td>
</tr>
<tr>
<td></td>
<td>• Record from OCLC replacing a less complete record from PREMARC</td>
</tr>
<tr>
<td></td>
<td>• 042 has “premarc” until record is evaluated and updated based on LC card(s) and headings are changed to current forms</td>
</tr>
<tr>
<td>origcop</td>
<td>LC Copied from LC</td>
</tr>
<tr>
<td></td>
<td>Record with LC original cataloging based on another LC record</td>
</tr>
<tr>
<td>orignew</td>
<td>LC Original Cataloging</td>
</tr>
<tr>
<td></td>
<td>Record with LC original cataloging created from scratch</td>
</tr>
<tr>
<td>origode</td>
<td>LC Original ODE Cataloging</td>
</tr>
<tr>
<td></td>
<td>• Record with LC original cataloging created in an overseas office</td>
</tr>
<tr>
<td></td>
<td>• 042 has “lcode”</td>
</tr>
<tr>
<td>origres</td>
<td>LC Original Resource-File-Based Cataloging</td>
</tr>
<tr>
<td></td>
<td>Record with LC original cataloging based on a record in an internal or external resource file</td>
</tr>
<tr>
<td>pccadap</td>
<td>PCC Adapted Cataloging</td>
</tr>
<tr>
<td></td>
<td>• Program for Cooperative Cataloging record adapted for a resource <strong>in LC</strong></td>
</tr>
<tr>
<td></td>
<td>• 042 has “pcc”</td>
</tr>
<tr>
<td>Code</td>
<td>Description</td>
</tr>
<tr>
<td>--------</td>
<td>-----------------------------------------------------------------------------</td>
</tr>
</tbody>
</table>
| pccunad| PCC Unadapted Cataloging                                                    | - Program for Cooperative Cataloging record for a resource not in LC, or for a resource in LC but not completely processed  
  - 042 has “pcc” |
| premunv| PREMARC Unverified Record                                                   | Record (excluding “oclcrpl” records) “unverified” in PREMARC before migration to LC ILS and **not** evaluated and updated based on LC card(s), nor headings changed to current forms |
| premver| PREMARC Verified Record                                                     | - Record (excluding “oclcrpl” records) “unverified” in PREMARC before migration to LC ILS, but evaluated and updated based on LC card(s)  
  - Headings flagged with “[from old catalog]” **until** evaluated and updated to current forms |
| serasst| Non-PCC Copy                                                               | - LC serial or integrating resource record processed in OCLC using a non-PCC record that LC PCC-authenticated for the first time  
  - Used beginning October 13, 2009 |
| sercoop| PCC Copy                                                                   | - LC serial or integrating resource record processed in OCLC using a record already PCC-authenticated by another institution  
  - Used beginning October 13, 2009 |
| serials| Serial or Integrating Resource Bibliographic Record                        | - **Beginning October 13, 2009**: LC serial or integrating resource record for which no other ser**** code applies  
  - **Before October 13, 2009**:  
    - LC CONSER serial records, and also serial records created in LC ILS for discards, etc.  
    - LC integrating resource records with Leader/07 “i” created in OCLC |
| serorig| Originally Cataloged Serial or Integrating Resource                      | - LC serial or integrating resource record cataloged originally in OCLC and PCC-authenticated by LC  
  - Used beginning October 13, 2009 |
| serlocs| SERLOC Serial Control Record                                               | Serial control record migrated from SERLOC, containing selection and location information |
| serprem| PREMARC Serial Record                                                      | Record representing a serial migrated from a monograph record in PREMARC (still a monograph in LC ILS or serial 008 converted automatically) |
| srrepla| Sound Recording Replacement                                                | - IBC record for a sound recording, created for OCLC batch matching  
  - Later changed to “**copycat**” (if OCLC had copy) or “**orignew**” (if LC did original cataloging) |
| undeter| Undetermined                                                               |                                                                       |
C16.10.2.4  $d Priority (NR)
Priority assigned to the processing of the resource.

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1-4</td>
<td>Priorities 1-4</td>
</tr>
<tr>
<td>5</td>
<td>Priority 5 (No longer assigned)</td>
</tr>
<tr>
<td>u</td>
<td>Undetermined</td>
</tr>
</tbody>
</table>

C16.10.2.5  $e CIP/PCN flag (NR)
Code indicating whether LC’s Cataloging in Publication (CIP) or Preassigned Card Number (PCN) programs created the record.

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>ecip</td>
<td>Originally an electronic CIP record</td>
</tr>
<tr>
<td>epcn</td>
<td>Originally an electronic PCN record</td>
</tr>
<tr>
<td>ncip</td>
<td>Not originally either a CIP or PCN record</td>
</tr>
<tr>
<td>oicip</td>
<td>Originally a CIP record</td>
</tr>
<tr>
<td>opcen</td>
<td>Originally a PCN record</td>
</tr>
<tr>
<td>unde</td>
<td>Undetermined</td>
</tr>
</tbody>
</table>

C16.10.2.6  $f Century flag (NR)
Code indicating the century of the year portion of the LCCN in 010 $a of the record. Resolves ambiguity in LCCNs with two digits in the year portion. Always included in field 906, even when the LCCN has a four-digit year portion.

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>18</td>
<td>1800-1899</td>
</tr>
<tr>
<td>19</td>
<td>1900-1999</td>
</tr>
<tr>
<td>20</td>
<td>2000-2099</td>
</tr>
</tbody>
</table>

C16.10.2.7  $g Stakeholder code (NR)

C16.10.2.7.1  General
Two-part code consisting of a one-letter maintenance prefix separated by a hyphen from an eight-letter stakeholder code.

C16.10.2.7.2  Maintenance prefix
Indicates whether or not to do maintenance of the record completely within the LC ILS system (depending on where the “master” record resides).

<table>
<thead>
<tr>
<th>n-</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>n-</td>
<td>Staff do not do maintenance completely within LC ILS, usually because the “master” record is in another system (for example, LC CONSER serials in OCLC) and staff do maintenance there.</td>
</tr>
</tbody>
</table>
Staff do maintenance completely within LC ILS according to established guidelines.

Cataloging staff do not do maintenance, because the record supports a function other than cataloging (for example, acquisitions).

Nonroman record maintenance: Follow instructions in DCM M3.3.2.5 for maintaining monograph records with data in nonroman scripts, regardless of whether 906 $g has “n-rlinjack,” “y-rlinjack,” or “y-nonroman” (see C16.10.2.7.3). Nonroman cataloging staff change “n-rlinjack” in 906 $g to “y-rlinjack” if they update the record; other staff do not (see DCM M3.3.2.5).

C16.10.2.7.3 Complete Stakeholder Code
Indicates, by an eight-letter stakeholder code, the service area that has main responsibility for the bibliographic record.

<table>
<thead>
<tr>
<th>ilsserca</th>
<th>n-geogmaps</th>
<th>Should be z-ilsserca</th>
</tr>
</thead>
<tbody>
<tr>
<td>Geography and Map Division, LC Local <em>(Obsolete)</em></td>
<td>Use “y-geogmaps” in new records</td>
<td></td>
</tr>
</tbody>
</table>

| n-oelcserec | Acquisitions and Bibliographic Control, serials cataloging and integrating resources cataloging staff, Record created and maintained in OCLC | LC CONSER serial record or integrating resource record with Leader/07 “i,” with national level information created and maintained in OCLC and local data elements in LC ILS |

| n-rlinjack | Acquisitions and Bibliographic Control, JACKPHY Record Maintained in RLIN 21 until August 18, 2007 | • Record for a JACKPHY language resource initially input in RLIN 21 but now **maintained in the LC ILS**, despite the "n-
 prefix

• Changed to "y-rlinjack" in Chinese and Japanese records reloaded during JACKPHY migration to LC ILS (but may still be “n-
linjack” in KHAPY language records)

• See DCM M3.3.2.5 about maintaining records and C16.10.2.7.2 about updating 906 $g code |

| n-undeterm | Stakeholder Undetermined, No Regular Maintenance |

| y-folklife | American Folklife Center |

<p>| y-gencatlg | Acquisitions and Bibliographic Control, General Cataloging | General cataloging by LC staff not covered by any of the other stakeholder codes |</p>
<table>
<thead>
<tr>
<th><strong>y-gencompf</strong></th>
<th>Acquisitions and Bibliographic Control, electronic resources cataloging staff</th>
<th>Non-serial record for an electronic resource</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>y-genmicro</strong></td>
<td>Acquisitions and Bibliographic Control, microforms cataloging staff</td>
<td>Non-serial record with 007 and “h” (microform) in 007/00</td>
</tr>
<tr>
<td><strong>y-genmusic</strong></td>
<td>Music Division, Bibliographic Access Section</td>
<td>Record created by LC music catalogers, with one of the following in Leader/06: “c” (printed music), “d” (manuscript music), “i” (nonmusical sound recording), or “j” (musical sound recording)</td>
</tr>
<tr>
<td><strong>y-genrareb</strong></td>
<td>US/Anglo Division, Rare Materials Section</td>
<td>Record created by LC rare materials catalogers or linked with some holdings record(s) for location <strong>c-RareBook</strong> or <strong>c-LLRBR</strong></td>
</tr>
<tr>
<td><strong>y-geogmaps</strong></td>
<td>Geography and Map Division</td>
<td>Superseded “<strong>n-geogmaps</strong>”</td>
</tr>
<tr>
<td><strong>y-ilsserca</strong></td>
<td>Acquisitions and Bibliographic Control, serials cataloging staff, LC Non-CONSER (Record not Created/Maintained in OCLC, but Subject to Regular Maintenance)</td>
<td>• Record for a serial that migrated from PREMARC or is a merger of records from PREMARC and SERLOC&lt;br&gt;• Not used currently in new records</td>
</tr>
<tr>
<td><strong>y-manuscri</strong></td>
<td>Manuscript Division</td>
<td>Record with “<strong>g</strong>” (projected medium) in Leader/06.</td>
</tr>
<tr>
<td><strong>y-movingim</strong></td>
<td>Motion Picture, Broadcasting, and Recorded Sound Division, Moving Image Section Processing Unit</td>
<td>Record with “<strong>k</strong>” (two dimensional nonprojectable graphic) in Leader/06</td>
</tr>
<tr>
<td><strong>y-nonroman</strong></td>
<td>Acquisitions and Bibliographic Control, Nonroman Record Maintained in LC ILS</td>
<td>• Monograph record containing nonroman script initially input in LC ILS and maintained in LC ILS, or an existing LC ILS record to which nonroman script has now been added&lt;br&gt;• Used after LC JACKPHY cataloging migrated from RLIN to LC ILS on August 20, 2007&lt;br&gt;• See DCM M3.3.2.5 about maintaining records</td>
</tr>
<tr>
<td><strong>y-printpho</strong></td>
<td>Prints and Photographs Division</td>
<td>Record with “<strong>k</strong>” (two dimensional nonprojectable graphic) in Leader/06</td>
</tr>
<tr>
<td>Category</td>
<td>Description</td>
<td></td>
</tr>
<tr>
<td>----------</td>
<td>-------------</td>
<td></td>
</tr>
</tbody>
</table>
| **y-rlinjack** | Acquisitions and Bibliographic Control, JACKPHY Record Maintained in LC ILS  
- JACKPHY language record initially input in RLIN 21 but now maintained in LC ILS  
- Used after LC JACKPHY cataloging migrated from RLIN to the LC ILS on August 20, 2007  
- See DCM M3.3.2.5 about maintaining records and C16.10.2.7.2 about changing “n-rlinjack” to “y-rlinjack” |
| **y-soundrec** | Motion Picture, Broadcasting, and Recorded Sound Division, Recorded Sound Section Processing Unit |
| **y-undeterm** | Stakeholder Interest Undetermined, Regular Maintenance  
Regular maintenance done by usual procedures |
| **z-acqworks** | Acquisitions and Bibliographic Access, acquisitions use |
| **z-cadworks** | Copyright Acquisitions Division (CAD) |
| **z-ilsserca** | Acquisitions and Bibliographic Control, LC Local Serials Acquisition Control (Record NOT Subject to Regular Maintenance)  
Serial non-CONSER basic bibliographic control record created in LC system with LC selection and location information  
Serial IBC records until cataloged |
| **z-noregmai** | No Regular Maintenance |
C16.11 920: LOCAL SELECTION DECISION (NR) [No active use]

C16.11.1 Content Designation Summary
First and Second Indicators
# : Undefined

Subfields
a : Selection decision (R)

C16.11.2 General Description and Instructions
In older records, used (a) for selection information or (b) for note “LC HAS REQ'D # OF SHELF COPIES” as part of processing added copies. No active uses now.

Input selection information in 925 fields in new records. Generally do not change or delete 920 fields found in existing records. Instead of changing selection information in 920, record new or changed selection information in 925. Generally do not create a new 925 for the same selection decision as in an existing 920.

*Examples of former practice (Do not imitate):*

```
920 ## $a Keep 1
920 ## $a sg18 10-17-94; DO NOT ACQUIRE per Law Library Selection Office; retained for vertical file only 12-13-95
920 ## $a ** LC HAS REQ'D # OF SHELF COPIES **
```

C16.12 922: LOCAL BOOK SOURCE (NR) [No active use]

C16.12.1 Content Designation Summary
First and Second Indicators
# : Undefined

Subfields
a : Book source acquisition information (R)

C16.12.2 General Description and Instructions
In older records, used for source of material code, other acquisition information, or code “lccopycat” for some former copy cataloging pilots. No active uses now.

Do not input new 922 fields. Generally do not change or delete in existing records.

*Examples of past practice (Do not copy):*

```
922 ## $a ax [source = Exchange]
922 ## $a NOT AVAILABLE VIA PURCHASE OR EXCHANGE
922 ## $a lccopycat
```
C16.13 923: LOCAL SUPPLIER INVOICE OR SHIPMENT ID (R)

C16.13.1 Content Designation Summary
First and Second Indicators
# : Undefined

Subfields
a : Additional information (R)
d : Formatted date (NR)
n : Shipment/invoice number (NR)
s : Supplier (NR)

C16.13.2 General Description and Instructions
Local shipment and invoice information, including acquisition shipment and/or invoice number, identification of the supplier, and date. Multiple 923 fields may appear for different shipments, invoices, or suppliers.

Some batch loading places 923 near 906 and 925 at the beginning of the record; it is not necessary to reposition 923 in those cases.

```
923 ## $d 20050214 $s 990013095
923 ## $d 20040616 $n 92165084 $s RuMoEVP
923 ## $d 20020710 $n Invoice no. 23088 $s Batthyány Kultur-Press Kft
```
C16.14 925: LOCAL SELECTION DECISION (R) [High use]

C16.14.1 General

C16.14.1.1 Content designation summary

First Indicator—Current Decision
0: Current decision
1: Former decision

Second Indicator
#: Undefined

Subfields
a: Selection decision for LC (NR)
b: Number of shelf copies/sets desired (NR)
c: Acquisition conditions (NR)
d: Disposition of unwanted material with outside agency (R)
e: Comment related to selection decision (R)
h: Custodial division (R) (Only in Copyright records)
x: Responsibility for selection decision (NR)
y: Office copy request (R)
z: Reference assignment request (R)

C16.14.1.2 General description and instructions

Information related to selection of the resource for LC use. Mandatory in new bibliographic records that represent published resources, but not in those for resources that are unique, such as manuscripts and rare books. Generally do not create a new 925 for the same selection decision as in 920 already present in a completed record.

Changes in selection information: LC staff most often record changes in selection information by modifying the existing 925 for the current decision. Field 925 is repeatable and the first indicator allows using paired 925 0# and 925 1# for changed decisions; but that is an option sometimes applied in individual cases, not prescribed practice.

C16.14.2 Subfields

C16.14.2.1 $a Selection decision for LC (NR)

Mandatory, standard statement of decision to retain or not in LC.

<table>
<thead>
<tr>
<th>Decision</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>acquire</td>
<td>LC retains shelf copies of the resource.</td>
</tr>
<tr>
<td>do not acquire</td>
<td>LC does not retain shelf copies of the resource.</td>
</tr>
<tr>
<td>undetermined</td>
<td>LC has not received the resource and it is not possible to make a decision prior to receipt.</td>
</tr>
</tbody>
</table>

925 0# $a acquire $b 2 shelf copies $x policy default
925 0# $a do not acquire $d NLM $x Sel Off
925 0# $a undetermined $x ers beonline+
Note: Records with current “do not acquire” decisions are suppressed from LC’s OPAC and have other properties described in DCM C7.2.1. Changing from “do not acquire” to “acquire” also necessitates “unsuppressing,” adding subfield $b in 925, creating holdings and item records, and other changes for normal processing.

C16.14.2.2  \$b Number of shelf copies/sets desired (NR)
Statement of number of copies LC has decided to retain.
Mandatory when subfield $a has an “acquire” decision. Absent when subfield $a has “do not acquire” or “undetermined.”

| 925 0# $a acquire $b 1 shelf copy ... |
| 925 0# $a acquire $b 2 shelf copies ... |
| 925 0# $a acquire $b 3 shelf copies ... |

etc.

C16.14.2.3  \$c Acquisition conditions (NR)
Statement of any conditions on how a resource may be acquired.

| 925 0# $a acquire $b 1 shelf copy $c if unable to acquire via copyright, then purchase ... |
| 925 0# $a acquire $b 2 shelf copies $c Copy 2 reported missing in inventory 04-15-1998; do not replace by purchase per HSS (ejj) ... |

C16.14.2.4  \$d Disposition of unwanted material with outside agency (R)
Identification of an agency outside LC to which resources not wanted in LC are to be sent.

| 925 0# $a do not acquire $d NAL ... |
| 925 0# $a do not acquire $d NLM ... |

C16.14.2.5  \$e Comment related to selection decision (R)
Information concerning the selection decision that is not better recorded in another subfield of 925.

| 925 0# $a acquire $b 1 shelf copy $e changed from do not acquire, 6-23-2004 ... |

C16.14.2.6  \$x Responsibility for selection decision (NR)
Mandatory statement of who is responsible for making the selection decision recorded in subfield $a (preferably followed by a date).

<p>| “policy default” | decision is based on general LC policy, not made actively by a selection officer | 5 0# $a acquire $b 2 shelf copies $x policy default |
| initials | selection/recommending officer made or changed decision (see officers’ initials at: <a href="http://www.loc.gov/staff/cpc/recommending.html">www.loc.gov/staff/cpc/recommending.html</a>) | 5 0# $a acquire $b 1 shelf copy $x jpm 2005-02-14 |
| | | 5 0# $a do not acquire $x KCC, 2011-05-10 |</p>
<table>
<thead>
<tr>
<th>“Sel Off”</th>
<th>selection/recommending officer made or changed decision but initials cannot be recorded for some reason</th>
</tr>
</thead>
</table>

| 5 0# | $a acquire $b 1 shelf copy $x Sel Off 2003-08-21 |
| 5 0# | $a do not acquire $d NLM $x Sel Off |

**C16.14.2.7**  
**$y Office copy request (R)**  
Statement alerting staff to assign an extra copy (beyond number of copies retained per subfield $b) to an LC office unit that requested one. (Does not cause acquisition; only indicates desire for an unwanted copy if one is received.) Name requesting unit and requester (preferably followed by a date).

```
925 0# $a acquire $b 1 shelf copy $x LS 04-15-99 $y o-APLO, S.Hayduchok, 07-22-99
```

On request, PSD can input 925 $y in LC ILS for those who cannot do so themselves. Then the next copy is sent to PSD, where staff process it and delete 925 $y.

**C16.14.2.8**  
**$z Reference assignment request (R)**  
Statement alerting staff to assign an extra copy (beyond number of copies retained per subfield $b) to an LC reference collection that requested one. (Does not cause acquisition; only indicates desire for an unwanted copy if one is received. Name requesting reference location and requester (preferably followed by a date)).

```
925 0# $a acquire $b 2 shelf copies $x policy default $z r-MRR BIOD, J. Robinson, 07-29-00
925 0# $a acquire $b 1 shelf copy $x policy default $z jr 20020328 reference copy for r-MRR
```

On request, PSD can input 925 $z in LC ILS for those who cannot do so themselves. Then the next copy is sent to PSD, where staff process it and delete 925 $z. (However, reference staff send an extra copy selected from discards to PSD with a request for processing, without using 925 $z.)
C16.15  952: LOCAL CATALOGER’S PERMANENT NOTE (R)

C16.15.1  Content Designation Summary

First and Second Indicators

# : Undefined

Subfields

  a : Cataloger’s note (NR)

C16.15.2  General Description and Instructions

Information primarily of interest to cataloging staff, often concerning sources consulted or record modifications that were made or should be made. See DCM B9 for instructions on using 952 and cataloger’s permanent notes in LC records.
C16.16 955: LOCAL FUNCTIONAL IDENTIFYING INFORMATION (R) [High use]

C16.16.1 General

C16.16.1.1 Content designation summary

First and second indicators
# : Undefined

Subfields
a : Tracking information (R)
b : IBC/BBC processing (R)
c : Descriptive cataloging (R)
d : Subject cataloging (R)
e : Shelflisting and ordinary end-stage processing (R)
f : CIP verification (R)
g : Serials end-stage processing (R)
h : Minimal level cataloging (MLC) (R)
i : Whole item cataloging (R)
j : ISSN pre-publication assignment (R)
   [ISSN assignment staff only]
k : ISSN post-publication assignment (R)
   [ISSN assignment staff only]
l : Holdings conversion and inventory (R)
   [Serial holdings conversion and inventory use only]
m : Bibliographic record cancellations (R)
   [Serials holdings conversion and inventory use only]
t : Added copy (R)
w : Dewey Decimal Classification (R)

C16.16.1.2 General description and instructions

Charge statements (see C16.16.3) recording information of two kinds:

1) tracking locations of items that are in process (see C16.16.2);
2) identifying completion of specific functional aspects of the cataloging process (see C16.16.5)

For the latter, 955 has subfields $b$-$m$, $t$, and $w$ defined for different stages of the cataloging workflow that have been completed (see C16.16.6). ABA managers derive statistical reports from data in those subfields. Units outside ABA, especially those with incompatible workflows, do not use these subfields.

Although 955 is repeatable, use one 955 for main tracking/identifying information in a record. Input additional, temporary 955 fields for special added copy and added volume tracking procedures (see C16.16.3 and C16.16.4).
C16.16.1.3  

Field 955 charge statements

In each 955 charge statement, input the following elements in the following order:

1) four-character alpha/numeric staff or section code;
2) date in form yyy-mm-dd.

Following those, when appropriate, also input:

3) information about where item was sent and for what action.

... jg00 2004-01-14 ...
(Code with "00" indicates a section rather than an individual)
... xz05 2008-11-15 to PSD for class proposal ...

ABA staff input different charge statements in separate subfields without semicolons between them. Units outside ABA may input all charges in one 955 $a separated by semicolons.

955 ## $b jg02 2003-01-08 $c jg02 2003-01-08 to subj. $d jg16 2003-01-14 $e jg08 2003-01-14 to Dewey
(Current practice in ABA)

955 ## $a kklo 2001-07-18 in p&p; kklo 2001-07-23 to aale; aale 2001-07-30 to p&p storage
(Acceptable practice outside ABA)

Input 955 charges in chronological order of processing, not necessarily in alphabetical order by subfield codes.

... $d xz05 2005-04-11 $c xz07 2005-04-13 ...
(Someone did subject cataloging first; then someone else did descriptive cataloging afterward)

C16.16.2  

Tracking Locations of In-Process materials

Location information in a 955 charge represents either:

1) location where an action is done or location which accepts the item in custody—represented by staff/section code at beginning of statement; or
2) location to which an item is sent for custody, assistance, etc.—represented by “to” and destination (for example, “to BCCD”) at the end of the statement.

Input a “to” location when discharging an item from your section and sending it to another unit. It is optional, not mandatory, to track “to” locations between different persons or actions in the same section.

... $e jj93 2005-03-16 to Dewey
(After end-stage processing, someone mandatorily tracked sending item out for Decimal classification)
... $d jj10 2005-02-07 to shelflisting ...
   (After subject cataloging, someone optionally tracked submitting item for shelflisting in same section)

... $d zq03 2005-04-06 $e zq99 2005-04-11 to BCCD
   (After subject cataloging, someone did not track submitting item for shelflisting in same section. After shelflisting/end-stage processing, someone mandatorily tracked sending item to BCCD)

See DCM B5 Appendix 1 (section B5.6.3.3) about when to charge in-process monographs and integrating resources and who should charge them. See DCM B6 about referring items for cataloging assistance.

Example

955 ## $b zz12 2008-10-18 $i zz03 2008-10-25 to BCCD
   (Someone created IBC record. Someone else did whole item cataloging, shelflisting, and end-stage processing and then sent item to BCCD)

C16.16.3 Tracking Added Copies
   “Added copy” here is a copy of a resource received after another copy was received for processing (as tracked in the first 955). Track receipt of an added copy in subfield $a in an additional, temporary 955 field with a message about where it is sent, for example:

955 ## ... $c sh27 2004-02-12 ...
955 ## $a pv10 2002-08-03 ADDED COPIES: another copy to [code]

Track completion of added copy processing in 955 $t (see C16.16.6.11) and delete temporary 955 fields for added copies at that time.

C16.16.4 Tracking added volumes
   “Added volume” here is part of a resource received after other part(s) were received for processing (as tracked in the first 955). Track receipt of added volumes in subfield $a in additional, temporary 955 fields with messages about where they are sent, for example:

955 ## ... $c jf03 2003-11-22 ...
955 ## $a pv11 2004-01-28 ADDED VOLS: v. 2 to [code]
955 ## $a px02 2004-02-04 ADDED VOLS: v. 3 to [code]

Track completion of added volume processing in 955 $c and delete temporary 955 fields for added volumes at that time.

C16.16.5 Identifying Functional Aspects of Cataloging
   When you complete a cataloging function, input a charge (per C16.16.1.2-C16.16.1.3) in its corresponding 955 subfield (see C16.16.6 about $b-$m, $t, and $w). Input an “umbrella” subfield covering multiple functions (such as subfield $i) when the same person does them all.
The LC Local Bibliographic Record and Local Data Fields

There is no 955 subfield for review during cataloging and there is no requirement to record review in 955. Sections may choose to record reviewers’ identities informally in subfield $a$ following the work reviewed.

Note: Some 955 subfields have context-sensitive definitions and identify different functions in different workflows (for example, CIP versus non-CIP cataloging).

Examples

955 ## $i sb15 2004-05-14 $e sb21 2004-05-20 ...
(Subfield $i$ tracks whole item cataloging. Subfield $e$ here tracks **shelflisting and end-stage processing**)

955 ## $a ...
955 ## $b zz17 2008-10-24 $a zz00 2008-10-24
(Subfield $b$ tracks IBCR processing. Subfield $a$ tracks the item’s location still in that section)

955 ## $b zz21 2008-11-01 $i zz07 2008-11-05 $a zz01 2008-11-06 (rev.) ...
(Subfield $b$ tracks IBCR processing. Subfield $i$ tracks whole item cataloging, and subfield $a$ tracks someone’s review of the whole item cataloging)

955 ## $a marcadia import ...
(Subfield $a$ identifies source of cataloging copy)
C16.16.6.2 $b IBC/BBC processing (R)
Tracking for Initial Bibliographic Control (IBC)/Basic Bibliographic Control (BBC) processing by any means, such as creation in LC ILS, derivation from an existing record, adaptation of a vendor record, or import from an external source.

C16.16.6.3 $c Descriptive cataloging (R)
Tracking for descriptive cataloging when only that is done. Also used for added volumes processing and the descriptive aspect of copy cataloging.

C16.16.6.4 $d Subject cataloging (R)
Tracking for subject cataloging, along with shelflisting and end-stage processing done at the same time. Also used for subject cataloging in added volumes processing. Used for Children’s and Young Adults’ Cataloging Program subject cataloging of juvenile materials. Sections may also use 955 $d for the subject aspect of copy cataloging, if they choose.

C16.16.6.5 $e Shelflisting and ordinary end-stage processing (R)
Tracking for shelflisting, along with ordinary non-serial end-stage processing, when the person only does those things (that is, not subject cataloging or whole item cataloging at the same time).

Exceptions: Use subfield $f for CIP end-stage processing in CIP verification. Use subfield $g for end-stage processing of serials, in addition to subfield $e if shelflisting is also done.

C16.16.6.6 $f CIP verification (R)
Tracking for verification of bibliographic data in a CIP record after LC receives the published item, along with any end-stage processing done at the same time.

C16.16.6.7 $g Serials end-stage processing (R)
Tracking for end-stage processing of serials in LC workflows. Used in addition to 955 $e if both shelflisting and end-stage processing for the serial are done.

C16.16.6.8 $h Minimal level cataloging (MLC) (R)
Tracking for minimal level cataloging of any kind of resource.
C16.16.6.9  $i  Whole item cataloging (R)
Tracking for combination of descriptive and subject cataloging, along with shelflisting or end-stage processing, done by same person at same time. Also used for whole item copy cataloging.

955 ## ... $i vl19 2002-01-31 ...
(Subfield $i tracks completion of descriptive and subject cataloging done together by same person)

955 ## ... $i xz15 2008-11-02 to USPL/CL $d yq09 2008-11-15 ...
(Subfield $i tracks completion of descriptive and subject cataloging done together by same person; separate subfield $d tracks Children and Young Adult subject cataloging by another person)

C16.16.6.10  $j-$m  [Used only for serials]
Used only for serials. See 955 section of ABA Serials: LC Local Fields Used in Serial Bibliographic Control (www.loc.gov/staff/idt/ABAW-P/SER/SER-CAT/CATGEN-LocalFields.pdf).

C16.16.6.11  $t  Added copy (R)
Tracking for processing done to add a holdings record and item record(s) for another copy to an existing LC record. **Not** used for added volume processing (which is recorded in subfield $c).

955 ... $i zz06 2007-11-07 ... $t zz12 2008-10-29
(Subfield $i is for completion of whole cataloging, shelflisting, and end-stage processing for the first copy. Subfield $t is for addition of a second copy.)

C16.16.6.12  $w  Dewey Decimal Classification (R)
Tracking for assignment and inputting of a Dewey Decimal Classification (DDC) number.
C16.17  963: LOCAL RELATED CIP OR PCN DATA (R)

C16.17.1  Content Designation Summary

First and Second Indicators

# : Undefined

Subfields

a : Publisher contact name/phone (R)
b : Miscellaneous note (R)
c : Congressional loan legend (R)

C16.17.2  General Description and Instructions

Temporary data used in Cataloging-in-Publication (CIP), Preassigned Card Number (PCN), and International Standard Serial Number (ISSN) records. Subfield $c contains information to indicate item is needed on a priority basis by Congress.

For CIP and PCN records, 963 is deleted when 263 (Projected Publication Date) is deleted because published item has been received and cataloging completed.

Roman numeral “II” in 963 $b plus note in 952 signals that a cataloger wants to see a CIP item when LC receives it.

963 ## $a Frank Calderon, 908-827-2684, Random House
963 ## $a Andrew R. Dodge; phone: (202) 226-1300; fax: (202) 226-4635; email: andrew.dodge@mail.house.gov; bc: andrew.dodge@mail.house.gov
963 ## $c CONGRESSIONAL LOAN
963 ## $a Anthony Simon, 215-259-1864; $c CONGRESSIONAL LOAN

952 ## $a II check ills. lb10 10-31-03
963 ## $a Cindy Howle; phone: 212-414-3646; email: Cindy.Howle@us.penguin.com $b II

For ISSN records, 963 is deleted from pre-publication records once an issue of the serial is received. For post-publication records (issue accompanies ISSN request), 963 may be retained optionally for future reference.

963 ## $a eml_davis@yahoo.com
963 ## $a abjna@scihub.org
C16.18 984: LOCAL SHELFLIST COMPARE STATUS (R)

C16.18.1 General

C16.18.1.1 Content designation summary

First and Second Indicators

# : Undefined

Subfields

a : Comparison file (NR)

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>csl</td>
<td>Cartographic materials (G&amp;M) card shelflist</td>
</tr>
<tr>
<td>gsl</td>
<td>General card shelflist</td>
</tr>
<tr>
<td>lars</td>
<td>LARS binding prep database</td>
</tr>
<tr>
<td>lbsl</td>
<td>Law binding shelflist</td>
</tr>
<tr>
<td>lsl</td>
<td>Law Library card shelflist</td>
</tr>
<tr>
<td>lmlx</td>
<td>Law Microlinx</td>
</tr>
<tr>
<td>ncf</td>
<td>Newspaper microfilm card file</td>
</tr>
<tr>
<td>rsl</td>
<td>Rare Book shelflist</td>
</tr>
<tr>
<td>sr3x5</td>
<td>Serial Record 3 x 5 file</td>
</tr>
<tr>
<td>srmf</td>
<td>Serial Record microform file</td>
</tr>
<tr>
<td>srssl</td>
<td>Serial Record sheet shelflist</td>
</tr>
<tr>
<td>srvf</td>
<td>Serial Record visible file</td>
</tr>
</tbody>
</table>

b : Note (NR)

d : Date of comparison (yyyy-mm-dd) (NR)

C16.18.1.2 General description and instructions

Indication that LC staff or contractors compared record’s holdings and/or item records with data from an LC manual inventory file, completing Shelflist Compare (see Classification and Shelflisting Manual, ILS Supplement, Appendix A: www.loc.gov/staff/aba/psd/SCMSLApA.html) or procedures for another local file.

Do not delete 984 found in an existing record. Do not add or modify 984 except as part of doing Shelflist Compare or other file comparison procedures.

```
984 ## $a gsl
984 ## $a lsl $d 2000-07-27
984 ## $b Referred - holdings discrepancy
984 ## $a gsl $b Referred for SLC
```
C16.19 985: LOCAL RECORD HISTORY (R)

C16.19.1 General

C16.19.1.1 Content designation summary

First and Second Indicators

#: Undefined

Subfields

a: Agency that keyed record/record history (NR)
b: Network used for first level keying (NR)
c: Network transmitting record to LC (NR)
d: Date record entered in original or transmitting network (NR)
e: Responsible LC application or project (NR)
f: Online cataloger maintenance [staff code] (NR)
g: PREMARC maintenance history (NR)
h: PREMARC maintenance comment (NR)

C16.19.1.2 General description and instructions

Information about record source, loading, and maintenance.

Generally, do not delete or change 985 found in an existing record.

985 ## $c OCLC $e srreplace 2002-02
985 ## $e ODE-rj
985 ## $a DLC $e NUC
985 ## $a rarebk/pre1801 $e rbc $f cel2 ...
985 ## $a wln $c wln $e cacryllic
985 ## $a rlin $c rlin $e marcadia
985 ## $e VENDOR LOAD
985 ## $a NLMCIP $d 2004-09-20
985 ## $e PREMARC $g enh 050dvc $h revised copy for reprint
985 ## $e ATLAS MIG
985 ## $a rarebk/bside $e ammem

C16.19.2 Subfield $g PREMARC maintenance history (NR)

One or more codes indicating content designation checks, data validation, and other enhancements made on a PREMARC record or on specified field(s) in one.

Code appended to a MARC field tag indicates maintenance on that field rather than the entire record. Fourth digit following field tag and preceding code identifies which occurrence of that field got maintenance. (For example, “7002cd” indicates content designation checked in record’s second 7000.) Blank spaces separate multiple codes.

<table>
<thead>
<tr>
<th>cd</th>
<th>Content Designation Checked (appended to a MARC field tag)</th>
<th>Checked only content designation in indicated field</th>
</tr>
</thead>
<tbody>
<tr>
<td>dv</td>
<td>Data Validated (appended to a MARC field tag)</td>
<td>Checked data in indicated field</td>
</tr>
</tbody>
</table>
### Data Validated as Current

Data Validated as Current (dvc)

Confirmed data in record or indicated field as more current than that on any card (explaining discrepancies between card and online record).

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>dvc</td>
<td>Data Validated as Current</td>
<td>Confirmed data in record or indicated field as more current than that on any card (explaining discrepancies between card and online record)</td>
</tr>
<tr>
<td>enh</td>
<td>Full Content Designation Checked</td>
<td>Upgraded PREMARC record completely</td>
</tr>
<tr>
<td>fed</td>
<td>Full Content Designation Checked</td>
<td>Checked content designation of all fields in record</td>
</tr>
<tr>
<td>fdv</td>
<td>Full Data Validated</td>
<td>Validated all data in record</td>
</tr>
</tbody>
</table>

985 ## $e PREMARC $g enh
985 ## $g 650cd
985 ## $g 245dv
985 ## $g fdv
985 ## $f cj09 $g enh $h original PREMARC record lacked 260 field; dummy field added

---

**Note:**

- dvc: Data Validated as Current
- enh: Full Content Designation Checked
- fed: Full Content Designation Checked
- fdv: Full Data Validated
C16.20 987: LOCAL CONVERSION HISTORY (R)

C16.20.1 General

C16.20.1.1 Content designation summary

First and Second Indicators

# : Undefined

Subfields

- a: Romanization/conversion identifier (NR)
- b: Agency that converted, created, or reviewed romanization/conversion (NR)
- c: Date of conversion or review (NR)
- d: Status code (NR)
- e: Version of conversion program used (NR)
- f: Note (NR)

C16.20.1.2 General description and instructions

Temporary information about record’s conversion status, for purposes of Pinyin Conversion Project and potential future projects.

For Pinyin Conversion Project, enables conversion programs to exclude records already using pinyin romanization (because created that way or because already converted). Used as pinyin marker in new records containing romanized Chinese data. (See http://www.loc.gov/catdir/pinyin for more information.)

Generally do not delete or change 987 found in existing records.

```
987 ## $a PINYIN $b DLC-R $d c
987 ## $a PINYIN $b CstRLIN $c 20001214 $d c $e 1.0 $f [access not affected] See field: 500(1)
987 ## $a PINYIN $b DLC $c 20020605 $d c
987 ## $a PINYIN $b CstRLIN $c 20010109 $d c $e 1.0
987 ## $a PINYIN $b OCoLC $c 20001201 $d c
```

C16.20.2 Subfields

C16.20.2.1 $a Romanization/conversion identifier (NR)

Identification of project (“PINYIN” for Pinyin Conversion Project).

C16.20.3.2 $b Agency that converted, created, or reviewed romanization/conversion (NR)

MARC code for agency performing or reviewing data conversion.

C16.20.3.3 $c Date of conversion or review (NR)

Date when conversion was performed or reviewed, in form yyyyyymmd (no hyphens).
C16.20.3.4 $d  Status code (NR)
Mandatory code indicating degree to which project converted or reviewed information in record.

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
<th>Detail</th>
</tr>
</thead>
<tbody>
<tr>
<td>c</td>
<td>Record Fully Romanized</td>
<td>All eligible data converted (by cataloger or machine process)</td>
</tr>
<tr>
<td>n</td>
<td>Record Processed but Not Converted</td>
<td>No eligible data machine-detected in record</td>
</tr>
<tr>
<td>r</td>
<td>Record Requires Manual Review</td>
<td>Some data perhaps not machine-converted</td>
</tr>
</tbody>
</table>

C16.20.3.5 $e  Version of conversion program used (NR)
Identification of version of conversion program applied.

C16.20.3.6 $f  Note (NR)
Free text information about status of data conversion in record.
C16.21 991: LOCAL LOCATION INFORMATION (R) [Limited use]

C16.21.1 Content Designation Summary
First and Second Indicators
# : Undefined

Subfields
a : Copy location code (NR)
b : Sublocation of collection (R)
c : Shelving location (R)
d : Date of location change (R)
e : Box number (R)
f : Oversize location (R)
g : Location (R)
h : Classification part (NR)
i : Item part (R)
k : Call number prefix (NR)
l : Copy location code (NR)
m : Call number suffix (NR)
o : Item type (NR)
p : Piece designation (NR)
r : Item use count (NR)
t : Copy number (NR)
u : Volume chronology (NR)
   [or, in Copyright records: URL for electronic copy (R)]
v : Volume enumeration (NR)
w : Source file (NR)
x : Nonpublic note (R)
   [or, in Copyright records: Retention (R)]
y : Item record note (R)
z : Public note (R)
   [or, in Copyright records: Person responsible (R)]

C16.21.2 General Description and Instructions
Local location information used to generate LC ILS holdings records.
There are some current uses, such as by Geography and Map Division, reference collections, and
LC’s overseas and Copyright offices, and staff involved in those have authorization and training
to input and change 991. Otherwise, generally do not input 991 in new records and do not
change or delete 991 in existing records (usually left over from migration to LC ILS).

991 ## $b c-GenColl $h PN4784.R4 $i R58 1988 $t Copy 1 $w BOOKS
991 ## $b c-GenColl $h PN4784.R4 $i R58 1988 $p 00034721531 $t
Copy 2 $w CCF
991 ## $b r-MRR $h JF51 $i .B583 2004 $t Copy 1 $m Ref Desk $w
GenBib
991 ## $b c-GenColl $o am $p 00118308736
   (Record created by an LC overseas office)
991 ## $b c-G&M $h G3804.N4:3Q4 1989 $i .H3 $t Copy 1 $w MAPS
C16.22  992: LOCAL LOCATION INFORMATION (R) [Limited use]

C16.22.1 Content Designation Summary

First and Second Indicators

# : Undefined

Subfields

a : Location (NR)
b : Sublocation of collection (R)
c : Shelving location (R)
h : Classification part (NR)
i : Item part (R)
k : Call number prefix (NR)
m : Call number suffix (NR)
o : Item type (NR)
p : Piece designation (NR)
r : Item use count (NR)
t : Copy number (NR)
u : Volume chronology (NR)
v : Volume enumeration (NR)
w : Source file (NR)
x : Nonpublic note (R)
y : Item record note (R)
z : Public note (R)

C16.22.2 General Description and Instructions

Local routing and temporary location information extracted from LC’s former ACQUIRE and SERLOC files. Does not generate LC ILS holdings records but only stores migrated data. Do not input 992 in new records. Generally do not change or delete 992 found in existing records.

992 ## $a SECT L EURR $w ACQUIRE
992 ## $a Unckd LL $h KF1155.C59 $k LLAB Loose $w SERLOC
C16.23 LEADER, 008, AND 006
See MARC 21 Format for Bibliographic Data for most information. See www.loc.gov/staff/aba/psd/interp.pdf for interpretation examples if you read character strings for Leader, 008, and 006 directly from LC ILS record displays.

**C16.23.1 Leader and 008**

<table>
<thead>
<tr>
<th>Leader/06 (Type of record)</th>
<th>Generally do not change in existing records (see DCM M3.3.5).</th>
</tr>
</thead>
<tbody>
<tr>
<td>Leader/07 (Bibliographic level)</td>
<td>See DCM M3.3.6 for permissible changes in existing records.</td>
</tr>
<tr>
<td>Leader/18 (Descriptive cataloging form)</td>
<td>Generally use “i” (ISBD punctuation) and 040 $e rda in new records. <strong>Exception:</strong> Use “a” (AACR2) in new records if you are cataloging resources that LC by policy still describes according to AACR2. In existing records, keep other codes as found unless you change cataloging completely (description as well as access points) to current standards.</td>
</tr>
<tr>
<td>008/38 (Modified record)</td>
<td>Do not use values “d”, “s”, or “x” in new LC records.</td>
</tr>
<tr>
<td>008/39 (Cataloging source)</td>
<td><strong>New LC records:</strong> “#” (“national bibliographic agency”) <strong>Imported copy:</strong> Accept codes as found, but change “u” to “d”.</td>
</tr>
</tbody>
</table>

**C16.23.2 006 Field in LC Integrating Resource Records**
New LC records for non-textual (Leader/06 not “a”) integrating resources that are continuing in nature require 006 fields with the elements shown in bold below.

<table>
<thead>
<tr>
<th>006/00 (Form of material)</th>
<th>Use “s” (“serial/integrating resource”).</th>
</tr>
</thead>
<tbody>
<tr>
<td>006/01 (Frequency)</td>
<td>Use MARC 21 code (same as 008/18).</td>
</tr>
<tr>
<td>006/02 (Regularity)</td>
<td>No attempt to code</td>
</tr>
<tr>
<td>006/04 (Type of continuing resource)</td>
<td>Updating database: “d” Updating Web site: “w” Updating loose-leaf: “l”</td>
</tr>
<tr>
<td>006/05 (Form of original item)</td>
<td>No attempt to code</td>
</tr>
<tr>
<td>006/06 (Form of item)</td>
<td>Updating database: “o” (“online”) Updating Web site: “o” (“online”) Updating loose-leaf: no attempt to code</td>
</tr>
<tr>
<td>006/07 (Nature of entire work)</td>
<td>No attempt to code</td>
</tr>
<tr>
<td>006/08-10 (Nature of contents)</td>
<td>No attempt to code</td>
</tr>
<tr>
<td>006/11 (Government publication)</td>
<td>No attempt to code</td>
</tr>
<tr>
<td>006/12 (Conference publication)</td>
<td>No attempt to code</td>
</tr>
<tr>
<td>Field Code</td>
<td>Description</td>
</tr>
<tr>
<td>-----------------</td>
<td>--------------------------------------</td>
</tr>
<tr>
<td>006/16 (Original alphabet)</td>
<td>No attempt to code</td>
</tr>
<tr>
<td>006/17 (Entry convention)</td>
<td>Use “2” (&quot;integrating entry&quot;).</td>
</tr>
</tbody>
</table>
M4.1 SUMMARY  
DCM M4 presents guidelines for resolving questions about serial versus non-serial cataloging treatment of resources in LC. It primarily addresses the concerns of LC staff seeking to obtain resolutions of such questions, rather than those of the serials expert staff whose cooperation they request to resolve them. It summarizes the LC policy making serial versus non-serial questions necessary and the bases for serial versus non-serial decisions. It distinguishes “known LC serials” and “possible serials,” provides guidance for dealing with each, and briefly describes processing that occurs in conjunction with each.

M4.2 LC GENERAL POLICY  
By general policy, if the Library of Congress catalogs a resource collectively as a serial, it does not (once it has made that decision) also create separate non-serial records for items that are parts of the serial. For example, if LC's catalog has a serial record for an annual story anthology, LC records the 2006 anthology in holdings on the serial record and does not also create a monograph record for it.

Exceptions: The LC catalog intentionally has both a serial bibliographic record and non-serial records for parts of the serial in certain circumstances:

1) Rarely, LC creates a separate non-serial record for an individual serial issue when the issue’s individual importance for user needs is sufficient that a recommending officer requests separate cataloging.

2) Since April 25, 2006, when LC catalogs a resource collectively as a serial after it earlier completed cataloging some volumes individually as monographs, it keeps the existing completed monograph records and does
not cancel them, reclassify them, or re-label items. (Before this policy, LC catalogers routinely canceled monograph records covered by new LC serial records.) LC catalogers add notes to the serial and non-serial bibliographic and holdings records affected, in order to help users and staff locate and process LC holdings. For example:

### Bibliographic record

**Mono**

500 ## $a Issues for 1996-
cataloged as a serial in
LC. $5 DLC

955 ## $a SEND ALL OTHER ISSUES
FOR SERIAL CATALOGING

### Holdings record

852 0# $b c-GenColl $h PC2119

$5 DLC

955 ## $a SEND ALL OTHER ISSUES
FOR SERIAL CATALOGING

Instructions for this are in ABA’s procedural document Monograph-to-Serial Cataloging in the LC ILS (www.loc.gov/staff/idt/ABAW-P/SER/SER-CAT/CATTYPE-MonoToSerial.pdf).

If LC monograph records get **completed** (despite policy) **after** the LC serial record already exists, LC follows the same procedures and keeps those records. Note: **In-process** monograph records covered by LC serial records do get canceled.

**Note:** See DCM C8.2 concerning items stored off-site that LC recatalogs as serials. In those cases, LC cancels the non-serial **bibliographic** records but retains the non-serial **holdings records** (including non-serial call numbers), re-linked to the serial bibliographic record in the LC ILS database.

The existence of serial or non-serial records cataloged by agencies outside LC (which can make different decisions) does not necessarily indicate the way LC is treating the resource(s)—search LC’s catalog as necessary to discover that. Likewise, the LC ILS database incorporates vendor-supplied resource records (with only “acqvend” under “History”) in batches that include some monograph records for issues covered by LC serial records; but those do **not** mean LC will catalog those as monographs—LC checks in the serial issues normally upon receipt and deletes the unwanted resource records.

The policy described in the preceding paragraphs **does not apply to monographic series** and is distinct from LC’s policies for series analysis and classification decisions (see LC-PCC PS 1.5.1, LC-PCC PS 2.1.3, LCRI 13.3, and DCM M5). For series that LC gave “analyze, classify as a collection” decisions in the past, the LC catalog intentionally has both serial records for the monographic series and monograph records for analytics.
M4.3 BASES FOR SERIAL VERSUS NON-serial

Standards: The primary standards that determine whether LC catalogs a resource as a serial or not are the following:

1) RDA and AACR2: RDA’s definitions of “serial,” “integrating resource,” and “monograph” and the scope instructions in RDA 2.13 are the main guidance for serial versus non-s serial treatment decisions. AACR2’s definitions of those terms and the scope instructions in AACR2 12.0A1 were the guidance for resources cataloged according to AACR2.

2) LC-PCC PS 0.0 and LCRI 1.0: LC-PCC PS 0.0 interprets the RDA definitions and guidelines for application in LC cataloging and gives LC-specific instructions for certain situations and categories of resources (such as conference publications). LCRI 1.0 did the same for resources cataloged according to AACR2.

Facts: Along with the standards cited above, facts discovered when processing a resource contribute to the observation that LC may catalog the resource as a serial (or not):

- The resource in hand sometimes provides relevant information—for example, a volume calls itself “number 1” and states that it is annual.

- Circumstances sometimes provide significant facts—for example, multiple volumes in hand from 2002, 2004, and 2006 suggest that a resource is a serial when an individual volume in isolation might not.

- Information from acquisitions providers, bibliographic records, or other information sources sometimes supports considering the resource as a serial—for example, an annual subscription is available, or volumes from different years exist. Note: LC catalogers routinely search in the database(s) where they normally work (for example, the LC ILS database) and consult other sources only selectively, when their judgment tells them doing so may help them be more timely and accurate.

ISSN: Consider presence of an International Standard Serial Number (ISSN) in a resource in conjunction with the standards and fact sources described above. Not every resource carrying an ISSN is a serial. Include a search for any ISSN that the resource carries as part of routine searching to find whether the resource is a “known LC serial” (see M4.4.1). If it is not, apply the standards described above and, if there remains any doubt about whether the resource is a serial for LC cataloging purposes, handle it as a “possible serial” (see M4.4.2).

M4.4 RESOLVING SERIAL VERSUS NON-SERIAL QUESTIONS

Obtain the cooperation of local staff with serials cataloging or serials processing expertise (those in your section or others who help your division with such problems) in order to resolve questions about whether a resource will be treated as a serial or not in LC and to ensure that the resource is processed correctly. If there is difficulty resolving the matter locally, consult ABA Policy and Standards Division.
Request cooperation from serials expert staff by whatever method is mutually agreeable and effective (for example, email, meeting, or using a Materials Routing slip). Best practices are to provide your expert colleagues with record IDs for any serial or non-serial records involved and access to any physical items in hand, along with concise information about what you want them to do.

If it is clear, recognize whether the resource you have is a “known serial” or a “possible serial” and take appropriate steps according to M4.4.1 and M4.4.2.

Note: Look for any note in a non-serial record for the resource indicating LC already made a serial versus non-serial decision and does not need to make one again:

1) LC rejected the resource for cataloging as a serial (note in 955 or 952); or
2) LC recorded in a note that it decided to leave that item cataloged on that non-serial record and catalog other issues as a serial (note in LC-specific 500, as described in M4.2).

M4.4.1 Known LC Serials

Definition and identification: A “known LC serial” for the purposes of these instructions is a resource that already has a serial bibliographic record in the LC ILS database and that LC is controlling by means of that serial record.

Leader/07 (bibliographic level” with code “s” identifies a bibliographic record that you found as being for a serial. It helps to recognize, additionally, whether the serial record has a nonpermanent retention decision or an “acquire” decision in LC.

Serials with nonpermanent retention in LC: The 925 field with the current selection information has subfield $a with a “do not acquire” decision or one that includes “CIO” (current issues only), such as “acquire-CIO” or “acquire-CIO until microfilm.” The record generally has “bbc” (basic bibliographic control) in 906 $b, indicating the record follows LC local guidelines but not necessarily other cataloging standards.

Cooperate with local colleagues who process serials in order to get serial items with nonpermanent retention decisions checked-in (“CIO” decisions) or discarded (“do not acquire”).

If there is doubt about the selection decision or whether the serial record covers the item in hand, request help in resolving the matter from local colleagues who catalog serials. Also work with them if the item in hand has a monograph IBC record with an LCCN and, therefore, the monograph LCCN needs to be tracked in the serial bibliographic record’s 010 $z when the monograph record is canceled.

Serials with “acquire” decisions in LC: The 925 field with the current selection information has “acquire” in subfield $a. The record generally has “cbe” or “cbu” in 906 $b, indicating cataloging was completed, or “par,” indicating descriptive cataloging was completed but subject cataloging or shelflisting is in process. The record follows cataloging standards (such as RDA or AACR2) that applied at the time of the record’s creation.
Field 050 should be present and have first indicator “0” (item is in LC). If it has first indicator “1” (item not in LC), handle the item according to the selection decision in the record.

Field 050 should not contain a message “UNC” or “CLASSED SEPARATELY,” which indicates the serial record remains in the LC ILS database from earlier practices and represents a monographic series analyzed and classed separately in LC (so LC is not controlling the series by means of that record.) If field 050 has either of those messages, proceed with processing the analytic item in hand as a separate resource.

Field 050 should not contain a message “ISSN record,” which indicates the serial record was created for registration of an International Standard Serial Number but LC (a) has decided not to acquire the serial or (b) has made no selection decision yet. If field 050 has that message, handle the item according to the selection decision in the record. If there is no selection decision yet, cooperate with local serials cataloging colleagues and selection officers to obtain one and initiate processing consistent with that decision.

Field 042, if present, should not contain “xlc,” indicating LC decided not to treat the resource as a serial (although other institutions may do so).

If the serial record found meets the above criteria, cooperate with local colleagues who process serials in order to get “acquire” serial items checked-in.

If there is doubt about whether the serial record covers the item in hand, request help in resolving the matter from local colleagues who catalog serials. Also work with them if the item in hand has a monograph IBC record with an LCCN and, therefore, the monograph LCCN needs to be tracked in the serial bibliographic record’s 010 $z when the monograph record is canceled.

Processing of “known LC serials” after resolution of questions: Local staff and serials experts may divide tasks in a way that is convenient and effective for them, but need to accomplish the following things, using procedures in ABA’s serials cataloging workflow and procedures documentation (www.loc.gov/staff/idt/ABAW-P/).

- Items are checked-in on serial records, as appropriate.
- If a significant change in a serial is noticed (such as a new publisher or a minor change in title), staff who catalog serials modify the serial record as necessary.
- If there are LC completed monograph records for some parts that are stored off-site, staff do processing according to DCM C8.2. Otherwise, if there are LC completed monograph records for some parts, cataloging staff add explanatory notes as described in M4.2.
- LCCNs from any canceled monograph records are tracked in 010 $z in the serial bibliographic record.
Barcoded item records from any canceled monograph records get re-linked to the serial record and updated appropriately.

Canceled monograph records get deleted from the LC ILS database. (If there is much delay expected between the decision to cancel the records and their deletion, 955 cancellation messages get input, as described in DCM M3.3.4.1.)

**M4.4.2 Possible Serials**

*Definition and identification:* A “possible serial” for the purposes of these instructions is a resource that you believe is or possibly may be a serial for LC cataloging purposes (based on available facts and application of the standards described in M4.3) and that does not fit the criteria for a “known LC serial” in M4.4.1.

Often there is no serial bibliographic record found in the LC ILS database for a “possible serial.” In some circumstances, however, there is a serial record in the LC ILS database that covers the resource but it appears LC has not cataloged the serial yet. Handle such cases as “possible serials,” too, for practical purposes. Those circumstances include at least the following:

- Field 906 has “ibc” or “acq” in subfield $b (even if the record has an “acquire” decision), indicating the record is in a pre-cataloging state.

- Field 050 has “ISSN RECORD” and the record does not have “xlc” in field 042, indicating the record so far is for ISSN registration and LC has not yet processed the resource as a serial but has not decided not to treat it as a serial in LC.

Also handle an item as a “possible serial” if you are not sure whether a serial record you found in the LC ILS database covers it or not.

If you find serials cataloging for a resource in a bibliographic source outside LC, that may be a clue that it is a “possible serial.” Observe whether the record has field 042 with the code “xlc.” Only LC serials catalogers input that code. It indicates that LC has seen the record and decided not to catalog the resource as a serial in LC. In that case, generally do not handle the resource as a “possible serial” (unless you have new information that you believe calls for a new decision.)

Cooperate with local staff who catalog serials in order to resolve how LC will treat a “possible serial.” If there is difficulty resolving the treatment locally, consult ABA Policy and Standards Division.

It is helpful to provide for the serials experts from whom you request help any information you found that makes you think the resource may be a serial (such as records found in another bibliographic source or information from a publisher’s Web site).

*Processing of “possible serials” after resolution of questions:* Local staff and serials experts may divide tasks in a way that is convenient and effective for them, but need
to accomplish the following things, using procedures in ABA’s serials cataloging workflow and procedures documentation (www.loc.gov/staff/idt/ABAW-P/).

- Serials experts determine whether the resources are serials for LC cataloging purposes or not, applying the standards cited in M4.3, CONSER documentation, ABA serials procedural documentation, etc.

- Resources rejected as serials in LC return for non-serial processing. If there is a serial record in the LC ILS database already, guidelines in M4.5 are applied.

- Resources accepted as serials get serial IBC records and serial selection decisions (which are separate from any prior decisions for items as non-serials).

- Serials with “do not acquire” or nonpermanent retention decisions (such as “acquire-CIO”) get basic bibliographic control records. Items are discarded or checked-in nonpermanently, depending on the decision.

- Serials with “acquire” decisions get Purchase Orders processed, as necessary. Then they continue as IBC records and enter the cataloging process. Serial bibliographic records are processed in OCLC for the CONSER database and merged with the serial IBC records in the LC ILS. LC local data are completed in the LC ILS.

- Items are checked-in on serial records, as appropriate.

- If there are LC completed monograph records for some parts that are stored off-site, staff do processing according to DCM C8.2. Otherwise, if there are LC completed monograph records for some parts, cataloging staff add explanatory notes as described in M4.2.

- LCCNs from any canceled monograph records are tracked in 010 $z in the serial bibliographic record.

- Barcoded item records from any canceled monograph records get re-linked to the serial record and updated appropriately.

- Canceled monograph records get deleted from the LC ILS database. (If there is much delay expected between the decision to cancel the records and their deletion, 955 cancellation messages get input, as described in DCM M3.3.4.1.)
M4.5 NON-SERIAL INSTEAD OF SERIAL

If there is a serial bibliographic record (IBC or completed) already in the LC ILS database but it is determined that the resource should be cataloged as a non-serial in LC instead (based on the criteria in M4.3), colleagues with the necessary serial and non-serial expertises cooperate to get the resource processed for LC with the correct treatment.

Catalogers resolving such a situation take the actions instructed in ABA’s procedural document Monograph vs. Serial Treatment Decisions (under “Publications rejected as serials”). Those steps include the following:

- Add “xlc” in 042 in any CONSER serial record in OCLC for the resource, indicating LC decided not to treat the resource as a serial.

- Annotate any existing non-serial LC ILS bibliographic record for an item in hand by adding 955 $a “[code date] Rejected as serial.” (A brief explanation of the rejection may also be noted, if it seems helpful.)

- See that appropriate Purchase Order changes are made, as necessary.

- Cancel the serial bibliographic record in the LC ILS database (and in the CONSER database, if appropriate).
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M5.1 GENERAL POLICY

Abbreviations used:

BR = bibliographic record
SAR = series authority record

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. The pertinent LCRIs and DCM Z1 (*Name and Series Authority Records*) have been updated to reflect this policy.

M5.1.1 Series Authority Records

Do not consult, modify, or create any SARs when preparing or updating BRs for LC.

**Exception:** Consult series authority records when searching to determine if there is a conflict in the database (as discussed in LC-PCC PS 6.27.1.9) to ensure controlled access to related entries.

M5.1.2 New Cataloging

**M5.1.2.1 BR is original LC cataloging**

Give the series data elements (title proper, parallel titles, other title information, statement of responsibility, ISSN, numbering) in a 490 0# field. Do not provide a controlled series access point.

**M5.1.2.2 BR is not original LC cataloging**

Accept the series fields as given.

**M5.1.2.3 File maintenance and other matters**

Correct errors in a 490 field but do not add or update controlled series access points (440/8XX). See DCM M5.2 and M5.3 for details about different categories of BRs. See the following for file maintenance and other matters:

1) M5.4 for details about bibliographic maintenance;
2) M5.5 for information about name authority maintenance affecting series;
3) M5.6 for additional information about JACKPHY records;
4) M5.7 for LC’s responsibilities related to series and other libraries;
5) M5.8 for exceptions to LC’s series policy.
M5.2 MONOGRAPHS AND INTEGRATING RESOURCES

If the resource being cataloged is covered by a category in the exceptions identified in DCM M5.8, follow the instructions there. Otherwise, follow the instructions as given in the following table.

<table>
<thead>
<tr>
<th>Category</th>
<th>Series Fields</th>
<th>042</th>
<th>050</th>
</tr>
</thead>
<tbody>
<tr>
<td>Desc. cat. completed but subj. cat. not completed</td>
<td>Do not change.</td>
<td>Do not change.</td>
<td>Assign “classified separately” number.</td>
</tr>
<tr>
<td>LC original cataloging: desc. cat. not completed (including origres and vendor records)</td>
<td>040 $a is a single DLC code (DLC, DLC-R, etc.) 050</td>
<td>Give as 490 0#.</td>
<td>Delete “pcc” code if it is present.</td>
</tr>
<tr>
<td>CIP/ECIP title: If series information is present only on data sheet/data view, do not give in BR. Do not contact USPL/CIPL or the publisher.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Imported record (excluding origres &amp; vendor records): cat. not completed</td>
<td>040 $a is a single code other than a DLC code</td>
<td>Accept as given in record (correct any typos and add any missing data elements).</td>
<td>If a pcc adapt record, retain “pcc” code; otherwise, give “lccopycat” code. In either case, add in repeated $a if another code present (e.g. “ukblsr”).</td>
</tr>
<tr>
<td>CIP partner supplying pre-publication 050</td>
<td>040 $a is XXX/DLC (XXX = CIP partner library)</td>
<td>Accept as given in record.</td>
<td>Accept as given in record.</td>
</tr>
<tr>
<td>New LC original cataloging record</td>
<td>Give as 490 0#.</td>
<td>Do not include “pcc” code in record.</td>
<td></td>
</tr>
<tr>
<td>CIP verification</td>
<td>Record being upgraded in LCDB</td>
<td>Accept as given in record (correct any typos and add any missing data elements).</td>
<td>Do not change or add “pcc” code.</td>
</tr>
<tr>
<td>Record upgraded in OCLC; imported to LCDB</td>
<td>Accept as given in record (correct any typos and add any missing data elements).</td>
<td>Do not change or add “pcc” code.</td>
<td></td>
</tr>
<tr>
<td>CIP partner record</td>
<td>Accept as given in record (correct any typos and add any missing data elements). If entire series statement missing, refer to USPL/CIPL to contact partner library.</td>
<td>Accept as given in record.</td>
<td></td>
</tr>
<tr>
<td>New LC copy cataloging (excluding origres records); 040 $a is a single code other than a DLC code</td>
<td>Accept as given in record (correct any typos and add any missing data elements). If entire series statement is missing, add as 490 0#.</td>
<td>If a pcc adapt record, retain “pcc” code; otherwise, give “lccopycat” code. In either case, add in repeated $a if another code present (e.g. “ukblsr”).</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Assign “classified separately” number.</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Assign “classified separately” number.</td>
</tr>
</tbody>
</table>
M5.3 SERIALS

If the resource being cataloged is covered by a category in the exceptions identified in M5.8, follow the instructions there. Otherwise, follow the instructions as given in the following table.

<table>
<thead>
<tr>
<th>Category</th>
<th>Series fields</th>
<th>042</th>
<th>050</th>
</tr>
</thead>
<tbody>
<tr>
<td>Record being created by LC (040 $a is a single DLC code: DLC-S, etc.)</td>
<td>Give as 490 0#.</td>
<td>Give “lc” code.</td>
<td>Give a “classified separately” number.</td>
</tr>
<tr>
<td>Serial record being used has been authenticated by a CONSER participant</td>
<td>Accept as given in record (correct any typos and add any missing data elements). If entire series statement is missing, add as 490 0#.</td>
<td>Accept as given; if “lcd” or “msc” is not already present, add the appropriate code.</td>
<td>Give a “classified separately” number.</td>
</tr>
<tr>
<td>Serial record being used was created by a non-CONSER OCLC member</td>
<td>Accept as given in record (correct any typos and add any missing data elements). If entire series statement is missing, add as 490 0#.</td>
<td>Give “lccopycat” code.</td>
<td>Give a “classified separately” number.</td>
</tr>
</tbody>
</table>

M5.4 BIBLIOGRAPHIC FILE MAINTENANCE: MONOGRAPHS, INTEGRATING RESOURCES, AND SERIALS

<table>
<thead>
<tr>
<th>Category</th>
<th>042</th>
<th>050</th>
<th>Other fields</th>
</tr>
</thead>
<tbody>
<tr>
<td>CIP publisher change request for BR created by LC after June 1, 2006 (send requests for earlier records to ABA/POLICY)</td>
<td>Delete “pcc” code if present.</td>
<td>Do not change a “classified separately” call number to a “collected set” call number unless the resource is covered by a category in list of exceptions in M5.8.</td>
<td>Update 490 0# statement as needed. Do not change a 490 0# to a 440 or add an 8XX field. Change other fields as needed.</td>
</tr>
<tr>
<td>Other analytic records</td>
<td>Do not change.</td>
<td>Do not change.</td>
<td>Do not add or change a 440 or 8XX field. Add a missing series statement as a 490 0#. Change other fields as needed.</td>
</tr>
<tr>
<td>Collected set bibliographic records if covered by an exception in M5.8.</td>
<td>Follow instructions in M5.8.</td>
<td>Follow instructions in M5.8.</td>
<td>Follow instructions in M5.8.</td>
</tr>
<tr>
<td>Collected set bibliographic records not covered by an exception in M5.8.</td>
<td>Do not change.</td>
<td>Do not change.</td>
<td>Do not add or change any fields.</td>
</tr>
</tbody>
</table>
M5.5 CHANGE IN HEADINGS FOR PERSONS OR BODIES
If the heading in a name authority record is changed and the database maintenance is being performed in the team, ensure that any SAR with the same name heading in a 1XX/4XX/5XX field is also updated. If the database maintenance is being done in ABA Policy and Standards Division, any appropriate SAR will also be updated in ABA/POLICY.

M5.6 JACKPHY RECORDS
The general policy for nonroman series fields in JACKPHY records is given in the document “Supplying Nonroman Data in RLIN JACKPHY Books Records” (dated 12/1/87):

The 4XX series statements are considered “core fields.” Input of a nonroman parallel field is required if there is nonroman series data present on the item. Catalogers should follow language-specific guidelines for the content designation of series statements (4XX fields) and for supplying additional nonroman series access points in the 8XX fields.

Follow the guidelines below to apply that policy in the context of LC’s current series policy.

1) Original cataloging: full; core; MLC
   490 0# roman
   880 0# nonroman

2) Copy cataloging
   490 0# roman
   880 0# nonroman [add 880 if not present]
   440  roman
   880 nonroman [retain if present; add as 880 in form on item if not present]
   490 1# roman
   880 1# nonroman [retain]
   8XX  roman
   8XX nonroman [retain]
   490 1# roman
   880 1# nonroman [retain if present; add as 880 in form on item if not present]
   8XX  roman
   8XX nonroman [retain if present; add as 880 in form of 8XX roman if not present; some languages limit 8XX nonroman form to 800]

M5.7 SERIES AND LC AND OTHER LIBRARIES
LC catalogers serving as NACO liaisons, the Cooperative Programs Section, and ABA Policy and Standards Division will answer questions from PCC participants about creating and updating series authority records. The PCC participants, rather than LC staff, should create and update the authority records.
The Cooperative Programs Section and ABA/POLICY will delete duplicate SARs reported by PCC participants. ABA/POLICY will delete duplicate SARs reported by non-PCC libraries; ABA/POLICY will process error reports and answer questions from these libraries if doing so doesn’t involve research or retrieval of volumes, etc.

M5.8 EXCEPTIONS TO THE GENERAL LC SERIES POLICY

M5.8.1 Not Analyzed/Classified As A Collection

The following categories will not be analyzed and will be classified as a collection: SARs will not be consulted, created, or updated:

M5.8.1.1 Numbered multipart monographs with all parts lacking analyzable titles

1) create and update a collected set record for the multipart monograph as a whole;
2) classify together.

M5.8.1.2 2A cataloging

Unnumbered multipart monographs cataloged per “2A cataloging” guidelines (“2A cataloging” is a local LC practice to create a made-up collected set record for an unnumbered multipart monograph, assigning numbers to parts as received):

1) create and update a collected set record for the multipart monograph as a whole;
2) classify together.

M5.8.1.3 Auction and sales catalogs

1) create or update the serial collected set record for the catalogs using a made-up title;
2) analyze and classify separately an individual catalog only if identified by a selection officer as of particular interest;
3) classify together.

M5.8.1.4 Legal multipart monographs identified by LC’s Law Library

1) create and update collected set record for the multipart monograph as a whole;
2) give author-title added entries;
3) classify together.

M5.8.2 Not Analyzed/Not Classified

Technical report series identified by LC’s Science, Technology, and Business Division or LC’s Asian Division and shelved in those divisions will not be analyzed and will not be classified; series authority records will not be consulted, created, or updated:

1) create and update a local serial record;
2) do not assign a call number (shelved in ST&B and in Asian).
M5.8.3 **Analyzed In Full/Classified As A Collection**

The following categories will be **analyzed in full** but will be **classified as a collection**: series authority records will not be consulted, created, or updated:

**M5.8.3.1 Scholarly collections of music historical sources eligible to be classified together in M2**

1) create and update collected set record for the multipart monograph or monographic series as a whole;
2) analyze in full and give series statement in a 490 0# field or pass through series information in cataloging copy;
3) classify together in M2.

**M5.8.3.2 “Web access to monographic series” project for social sciences resources**

1) create and update serial collected set record for the monographic series as a whole;
2) analyze each volume via program; give series statement in 490 0# field or pass through series information in cataloging copy;
3) classify together.

**M5.8.3.3 Microform sets**

1) create and update collected set record for the multipart monograph or monographic series as a whole;
2) analyze in full and give series statement in a 490 0# field or pass through series information in cataloging copy;
3) classify together (one shelf number for the set as a whole).

**M5.8.3.4 Proceedings of a single conference published in more than one volume with analyzable volume titles**

1) create and update collected set record for the multipart monograph as a whole;
2) analyze each volume; give series statement in 490 0# field or pass through series information in cataloging copy;
3) classify together.

**M5.8.3.5 Legal monographic series and multipart monographs identified by LC’s Law Library**

1) create and update collected set record for the multipart monograph or monographic series as a whole;
2) analyze in full and give series statement in a 490 0# field or pass through series information in cataloging copy;
3) classify together.

M5.8.4 **Analyzed In Full: Applies To Analyzable Parts/Classified As A Collection**

Complete editions of collected works of individual composers (classified as M3) will be **analyzed in full**: applies to analyzable parts and will be classified as a collection; series authority records will not be consulted, created, or updated.
1) Create or update the collected set record for the multipart monograph.

2) Analyze a part only if it meets one of the following criteria:

   a) A single part (in one or more physical volumes) contains a single musical work or a single excerpt from a work.
   b) A single part (in one or more physical volumes) contains two musical works or two excerpts from one or two works.

   "Musical work" as applied here includes either a musical composition that is a single unit intended for performance as a whole, or a set of musical compositions with a group title (not necessarily intended for performance as a whole), or a group of musical compositions with a single opus number.

   In an analytic record, give series statement(s) in 490 0# field(s) or pass through series information in cataloging copy.

   For a non-analyzable part, create only item record and link it to the collected set bibliographic record.

3) Classify together in M3.

M5.8.5 Not Analyzed/Classified As A Collection (Applies To Acquisitions)
Already cataloged numbered monographic series assigned “not analyzed/classified as a collection” decisions prior to June 1, 2006 applies to acquisitions staff; this category is included here for information:

   1) follow check-in procedures for issues of serials
   2) forward issues to custodial divisions.

M5.8.6 BRs Not Yet In LCDB
Previously existing BRs not yet in the LCDB that are now being newly input will reflect the series decisions (i.e., presence or absence of controlled series access point; a classed-separately or a classed-as-a-collection call number) at the time the resource was cataloged originally.
008/10 Descriptive Cataloging Rules

General

LC/PCC catalogers will adhere to the PCC Post RDA Test Guidelines at: [http://www.loc.gov/aba/pcc/rda/PCC%20Post%20RDA%20Test%20Guidelines.html](http://www.loc.gov/aba/pcc/rda/PCC%20Post%20RDA%20Test%20Guidelines.html) for instructions on using RDA and/or AACR2 in new and existing authority records.

When older NARs using codes “a”, “b” or “d” are modified, upgrade them to comply with RDA and change the 008/10 code accordingly.
008/32 Undifferentiated Personal Name

General
When creating an NAR for a family name assign value “n” in 008/32.

As of January 2013 LC and PCC have agreed to the following guidelines pending the recommendations of the final report of the PCC Non-MARC Task Group. LC/PCC catalogers encountering names that may be candidates for an undifferentiated personal name authority record are asked to follow these guidelines:

RDA-trained NACO Catalogers:

Avoid if at all possible creating new RDA undifferentiated personal name authority records.
Avoid if at all possible adding names to existing RDA or AACR2 undifferentiated personal name authority records

Instead, apply one of the following RDA instructions to create a unique authorized access point for the person:

Ascertain if a date of birth, a date of death, a fuller form of name, period of activity, occupation, term of rank, honor, or office, or other designation is available to enable creation of a unique authorized access point for the person.

If none of the attributes above is available, assign value "b" if the NAR is to be used for more than one person according to RDA. Do not change the 1XX field in an undifferentiated name authority record. When information is found to distinguish a person included in an undifferentiated name record, always create a new name authority record for that person. Delete information pertaining to that person from the undifferentiated name record.

Add a 667 note to the new NAR to identify the LCCN of the authority record in which information about that person had been recorded:

667 ## $a Formerly on undifferentiated name record: [LCCN of undifferentiated name record]

From April 1988-mid-June 1990 LC policy for undifferentiated personal name authority records (formerly called non-unique name authority records) was to list up to three persons. If the heading represented four or more persons, the name authority record covered three persons and contained a 667 note "Record covers additional persons." The current LC policy is to list each person the heading represents without regard to the number of people using that name. Although the note "Record covers additional persons" has been discontinued for new records, it should be retained when found on existing records.

When an undifferentiated personal name authority record is being revised to delete all but one name, change value "b" to "a." Delete all of the other data applying to the name(s) being deleted from the authority record. Also delete the bracketed caption for the one name remaining.
When an authority record for a single person is being revised to include another person, change the value from "a" to "b."

**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.

Prior to March 21, 1991, only value "n" was used in this field. Use value “a” or “b” if a new SAR is entered under a personal name heading. Catalogers may change this field if the value is incorrect when updating the SAR for another reason.
**040 Cataloging Source**

LC/PCC catalogers should consult the *PCC Post RDA Test Guidelines at:*

*Subfield $b – Language of cataloging*

Add subfield $b eng when otherwise modifying NARs or SARs that do not contain this subfield.

*Subfield $d – Modifying agency*

Add subfield $d [MARC 21 code] when modifying NARs or SARs unless your institution’s is already the last MARC subfield $d in the 040 field.

*Subfield $e – Description conventions*

When adding the subfield $e manually, add it after subfield $b and before $c. It is not necessary to move the subfield $e to this position if it is already present elsewhere in the 040 or if it is being added by a macro or a template. Use subfield $e rda in NARs and SARs when fixed field 008/10 (Rules) is set to “z” (Other).

NACO institutions must notify LC’s Cooperative Projects Section (naco@loc.gov) before beginning to use 008/10 “z” and 040 subfield $e rda.
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1XX  Headings

General

LC/PCC catalogers should consult the PCC Post RDA Test Guidelines at: http://www.loc.gov/aba/pcc/ rda/PCC%20Post%20RDA%20Test%20Guidelines.html for instructions on using RDA and/or AACR2 in new and existing authority records.

When modifying an authority record for any 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 related 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. In cases of conflict, etc. a search for the LAC form of name may be conducted in the VIAF (viaf.org) or other databases.

SARs

NOTE: All series information recorded in DCM Z1 is under review by the PCC

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, led, 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) if an error is discovered; use the correct heading on the SAR.
Tracing and References – General Information – 5XX Fields

General

LC/PCC catalogers may use subfield $i$ (Relationship information) in RDA NARs to provide relationship information between authorized access points, except for pseudonymous relationships that require a basic heading to be established (663 field used). Guidelines are provided in the FAQ on LC/PCC RDA and AACR2 practice for creating NARs for persons who use pseudonyms available at: http://www.loc.gov/catdir/cpso/pseud.pdf

Reciprocal 5XXs may not be needed for all relationships, such as when relating an employee (personal name) to an employer (corporate entity).

Subfield $w$ code “r” in the zero (0) position must be present when subfield $i$ is used.

LC/PCC catalogers should consult the PCC Post RDA Test Guidelines at: http://www.loc.gov/aba/pcc/rda/PCC%20Post%20RDA%20Test%20Guidelines.html for instructions on using RDA and/or AACR2 in new and existing authority records.

When otherwise modifying a NAR that contain codes that are no longer used such as subfield $w$ position zero (0) code “a”, “b”, “d”, “f,” LC/PCC catalogers should upgrade the NAR to RDA.
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5XX  See Also From Tracings

General

LC/PCC catalogers applying RDA instructions may use subfield $i in conjunction with subfield $w code "r" for relationship designators. When applying RDA relationship designators in 5XXs, supply terms from Appendix J or K; capitalize the initial letter of the term and follow the term with a colon.

Pending final resolution of issues raised by the PCC Task Group on Relationship Designators, LC catalogers may continue to use subfield $w values defined for earlier/later non conference corporate names and pseudonyms in lieu of subfield $i relationship designators.

Subfield $w (control subfield)

Follow the conventions in the authority format for use of subfield $w. Do not supply subfield $w unless a value other than "n" would be appropriate in one of the positions. When supplying subfield $w, give it as the first subfield in the field. Supply character positions preceding, but not succeeding, the value, e.g.,

$w a = to indicate a reference from an earlier heading
$w b = to indicate a reference from a later heading
$w r = to indicate that a subfield $i or subfield $2 is used to denote relationship information
$w nnnc = to indicate a see also reference for multiple pseudonyms (record also contains a 663 field)

NARs

Consult RDA Chapters 9-16 and any corresponding LCPSs for guidelines on which 5XX references to make.

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.