<table>
<thead>
<tr>
<th>DCM</th>
<th>Title</th>
<th>Action/Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>B21</td>
<td>Books with Accompanying Videorecordings</td>
<td>Revised to reflect current cataloging and routing procedures. Replace.</td>
</tr>
<tr>
<td>C5</td>
<td>Issues Related to the Physical Condition of a Resource</td>
<td>Corrected names of slips. Replace.</td>
</tr>
<tr>
<td>Z1</td>
<td>Name and Series Authority Records</td>
<td>Introduction. Clarified that all access points in 5XX fields should be established. Replace.</td>
</tr>
<tr>
<td>Z1</td>
<td>Name and Series Authority Records</td>
<td>370 – Associated Place. Added example. Replace.</td>
</tr>
<tr>
<td>Z1</td>
<td>Name and Series Authority Records</td>
<td>372 – Field of Activity. Revised to clarify how to record a field of activity from LCSH with a subdivision. Replace.</td>
</tr>
<tr>
<td>Z1</td>
<td>Name and Series Authority Records</td>
<td>373 – Associated Group. Revised to clarify how to record subordinate bodies. Replace.</td>
</tr>
<tr>
<td>Z1</td>
<td>Name and Series Authority Records</td>
<td>381 – Other Distinguishing Characteristics of Work or Expression. Clarified practice on recording elements applicable to the 381 field and another 3XX field. Replace.</td>
</tr>
<tr>
<td>Z1</td>
<td>Name and Series Authority Records</td>
<td>382 – Medium of Performance. Revised to reflect current cataloging policies. Replace.</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>670 – Source Data Found. Added examples. Replace.</td>
</tr>
<tr>
<td></td>
<td>Supplement to the MARC 21 Format for Authority Data</td>
<td>001 Control Number Added “ns” prefix information. Replace.</td>
</tr>
<tr>
<td></td>
<td>Supplement to the MARC 21 Format for Authority Data</td>
<td>040 Cataloging Source Revised SACO and LC Subjects to indicate that subfields $f, $6, and $8 are not used. Replace.</td>
</tr>
<tr>
<td></td>
<td>Supplement to the MARC 21 Format for Authority Data</td>
<td>046 Special Coded Dates Corrected name of Policy and Standards Division. Replace.</td>
</tr>
<tr>
<td></td>
<td>Supplement to the MARC 21 Format for Authority Data</td>
<td>050 Library of Congress Call Number Added subfield $0 policy for NACO. Replace.</td>
</tr>
<tr>
<td></td>
<td>Supplement to the MARC 21 Format for Authority Data</td>
<td>053 LC Classification Number Added subfield $0 policy. Replace.</td>
</tr>
<tr>
<td></td>
<td>Supplement to the MARC 21 Format for Authority Data</td>
<td>060 National Library of Medicine Call Number Added subfield $0 policy for NACO. Replace.</td>
</tr>
<tr>
<td></td>
<td>Supplement to the MARC 21 Format for Authority Data</td>
<td>065 Other Classification Number Added subfield $0 policy for NACO. Replace.</td>
</tr>
<tr>
<td></td>
<td>Supplement to the MARC 21 Format for Authority Data</td>
<td>070 National Agricultural Library Call Number Added subfield $0 policy for NACO. Replace.</td>
</tr>
<tr>
<td><strong>DCM</strong></td>
<td><strong>Title</strong></td>
<td><strong>Action/Change</strong></td>
</tr>
<tr>
<td>---------</td>
<td>-----------</td>
<td>-------------------</td>
</tr>
<tr>
<td>Supplement to the MARC 21 Format for Authority Data</td>
<td>072 Subject Category Code</td>
<td>Added subfields $x, $6, and $8 policy for LC Subjects. Replace.</td>
</tr>
<tr>
<td>Supplement to the MARC 21 Format for Authority Data</td>
<td>080 Universal Decimal Classification Number</td>
<td>Added subfield $0 policy for NACO. Replace.</td>
</tr>
<tr>
<td>Supplement to the MARC 21 Format for Authority Data</td>
<td>087 Government Document Classification Number</td>
<td>Added subfield $0 policy for NACO. Replace.</td>
</tr>
<tr>
<td>Supplement to the MARC 21 Format for Authority Data</td>
<td>370 Associated Place</td>
<td>Added policy for subfields $i, $3, and $4 for NACO and LC Names/Series. Replace.</td>
</tr>
<tr>
<td>Supplement to the MARC 21 Format for Authority Data</td>
<td>382 Medium of Performance</td>
<td>Added subfield $e policy. Replace.</td>
</tr>
<tr>
<td>Supplement to the MARC 21 Format for Authority Data</td>
<td>386 Creator/Contributor Characteristics</td>
<td>Added policy for subfields $i and $4 for NACO and LC Names/Series. Replace.</td>
</tr>
<tr>
<td>Supplement to the MARC 21 Format for Authority Data</td>
<td>400 See From Tracing – Personal Name</td>
<td>Revised LC Names/Series to reflect practice for family names. Replace.</td>
</tr>
<tr>
<td>Supplement to the MARC 21 Format for Authority Data</td>
<td>500 See Also From Tracing – Personal Name</td>
<td>Revised LC Names/Series to reflect practice for family names. Replace.</td>
</tr>
</tbody>
</table>
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</tr>
</tbody>
</table>
B11.1 GENERAL

These instructions apply to the cataloging workflow called “minimal level cataloging” (MLC). A short explanation of the reasons why resources may be cataloged as MLC is provided.

Resources may be designated as MLC by recommending officers, acquisitions staff, or ABA management. Resources may be designated as MLC at the acquisitions stage or later in an effort to reduce cataloging backlogs.

DCM B.11 describes the procedures for basic MLC (see B.11.4). It is intended primarily for use by those who catalog monographs in book form. Although it does include information about certain other materials, it does not cover special projects, nor does it attempt to cover systematically the special procedures applicable to microforms, maps, music, or serials.

For instructions on minimal level cataloging of serials, see section B6 of the CONSER Editing Guide and online documentation for LC staff available at:
http://www.loc.gov/staff/lstraining/abawkflow/ser/cat/MinimalF.pdf

For encoding-level 7 copy cataloging, see DCM B13.10.

Abbreviations used:

BR = bibliographic record
HR = holdings record
IR = item record
LCDB = LC Database
LC/PCC = Library of Congress/Program for Cooperative Cataloging
NAR = Name Authority Record

B11.1.1 Definition and Types of MLC

In general, MLC entails limitations in the descriptive, subject, and classification aspects of cataloging. The amount of authority work done is limited. See DCM C1.2.4 for a description of the kinds of materials that receive MLC treatment.

“Basic MLC” is the type of MLC addressed in this document. It is characterized by a limited number of data elements, an MLC shelf number instead of an LC call number, and the absence of controlled subject headings. It is also called “plain MLC,” “plain-vanilla MLC,” or “vanilla MLC.”

There is another type of MLC cataloging called “enhanced MLC.” It includes an LC class number and/or an LCSH heading. Most MLC cataloging done by ABA staff currently is “basic MLC.”

MLC cataloging should follow all RDA and LC-PCC PS policies for descriptive cataloging data elements except when this document states otherwise. RDA core elements such as title proper are required for MLC records. LC/PCC core elements such as parallel title proper are required for MLC records. The main time-saving benefits of MLC cataloging are in not doing authority work or providing subject headings and a classification number.
B11.2 Purpose of MLC
MLC was designed as a cost-effective way to provide access to:

1) resources worth retaining in the collections (one copy only) but that can be processed at less than full level;
2) resources in cataloging backlogs that are unavailable to users;
3) materials in certain special collections or handled in certain special projects.

B11.3 How to Recognize an MLC Record
Current MLC records for print monographs contain the following values:

- Encoding level (Ldr/7) 7
- 906 $d
- 050 MLC shelf number beginning with “MLC”

Non-print monographic resources may have a different value in the 050 field, such as “Microfilm” or “Microfiche.” See the MARC 21 Fields Used in Serial Records section of DCM Z1 for information about 042 and 050 values in MLC serial records.

Some older copy cataloging records contain MLC shelf numbers in field 050, but the encoding level is blank.

B11.2 NOT IN SCOPE FOR MLC
The following resources are not in scope for MLC:

- Books with accompanying CD-ROMS
- Genealogical material (classed in CS or F), including transcriptions of vital records
- New editions for which the previous edition is held by LC unless the previous edition was cataloged MLC
- Law materials
- Resources selected for reference assignment, indicated by a “SPECIAL ATTENTION (Mono Reference Assignment)” slip
- Resources cataloged as part of the CIP Program
- Supplements and similar resources classed with the main work
- Unanalyzable multipart monographs, except microforms and when the previous volume was not identified as a multipart and cataloged MLC (see B11.7.5)
- Updating loose-leaf publications.

Other types of resources may be designated as out of scope for MLC by custodial divisions and specific cataloging sections.

Resources that would not normally be cataloged within a section should be routed to the appropriate section to determine the appropriate cataloging workflow. For example, atlases should be routed to the Geography & Map Division.
B11.3 SEARCHING AND AUTHORITY WORK FOR MLC

B11.3.1 Pre-Cataloging Bibliographic Searching
Before cataloging begins, search each title to determine whether it is new or a duplicate, an edition, a PCC adapt, whether it is part of an unanalyzable multipart monograph, or whether it is a volume of a serial. If none of these conditions applies, and the resource is in scope for MLC, proceed with cataloging.

B11.3.2 Searching For Access Points
Search Voyager to determine if an NAR exists for an entity needed as a descriptive access point. If an NAR exists, the 1XX form may be used unless it contains this note in the 667 field: “THIS 1XX FIELD CANNOT BE USED UNDER RDA UNTIL THIS RECORD HAS BEEN REVIEWED AND/OR UPDATED.” These NARs must be reviewed and recoded to RDA before being used in the bibliographic record.

If an NAR does not exist for the entity needed as a descriptive access point, formulate the heading in the normal manner according to RDA and LC-PCC PS cataloging policies. The same policies about normalization and conflict still apply for headings used in MLC records. NARs may be created for access points used in MLC records, but are not required.

B11.4 INDIVIDUAL DATA ELEMENTS
Use the following guidelines either when updating an existing IBC bibliographic record or creating a new MLC bibliographic record.

B11.4.1 Leader
Set Leader values as follows. For existing IBC records, change values as needed to reflect LC practice.

<table>
<thead>
<tr>
<th>LC ILS Name of Data Element</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Record status (Ldr/05)</td>
<td>No action required (values managed by the system).</td>
</tr>
</tbody>
</table>
| Type of record (Ldr/06)     | Most often: value is a: Language material  
Value should reflect type of material represented by the record.  
LC does not use value o: Kit |
| Bibliographic level (Ldr/07)| Most often: value is m: Monograph/item  
Value should reflect the bibliographic level of the resource. |
| Type of control (Ldr/08)    | _ (No specific type of control) |
| Encoding level (Ldr/17)     | Always: value is 7: Minimal level |
| Descriptive cataloging form (Ldr/18) | Most often: value is i: ISBD punctuation included for RDA bibliographic records |
| Multipart resource record level (Ldr/19) | _ : Not specified or not applicable |
B11.4.2 007 – Physical Description Fixed Field
Used for microforms.

B11.4.3 008 – Fixed Fields
Only supply values in fixed fields in the following table, following regular LC practice.

<table>
<thead>
<tr>
<th>LC ILS Name of Data Element</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Type of date (008/06)</td>
<td>Ensure code reflects type of date in field 264.</td>
</tr>
<tr>
<td>Date 1 (008/07-10)</td>
<td>Ensure date is correct and agrees with date in field 264.</td>
</tr>
<tr>
<td>Date 2 (008/11-14)</td>
<td>Ensure date is correct, if needed.</td>
</tr>
<tr>
<td>Place of publication (008/15-17)</td>
<td>Ensure code agrees with place of publication in field 264.</td>
</tr>
<tr>
<td>Illustrations (008/18, 19, 20, 21)</td>
<td>Codes must agree with data in field 300 $b or $a if leaves or pages of plates.</td>
</tr>
</tbody>
</table>
| Target audience (008/22)      | Most common: _ : Unknown or not specified  
j : Juvenile if intended for children through age 15 |
| Form of item (008/23)         | Most common: _ : Unknown or not specified                               |
| Language (008/35-37)          | Ensure code reflects language of resource.                            |
| Modified record (008/38)      | Most common: _ : Not modified  
Adjust for nonroman records as needed. |
| Cataloging source (008/39)    | _ : National bibliographic agency                                    |

B11.4.4 906 Field – Local Processing Data
The following table states the values/codes for an MLC record at the completed stage. For further information, see DCM C16.

<table>
<thead>
<tr>
<th>Subfield</th>
<th>Data</th>
</tr>
</thead>
<tbody>
<tr>
<td>Distribution controller ($a)</td>
<td>7</td>
</tr>
<tr>
<td>Record completion state ($b)</td>
<td>cbc</td>
</tr>
<tr>
<td>Processing workflow ($c)</td>
<td>orignew or origres</td>
</tr>
<tr>
<td>Priority ($d)</td>
<td>4</td>
</tr>
<tr>
<td>CIP/PCN flag ($e)</td>
<td>ncip, open, or epcn</td>
</tr>
<tr>
<td>Century flag ($f)</td>
<td>Most common: 19 or 20 (see C16.10.2.6)</td>
</tr>
<tr>
<td>Stakeholder code ($g)</td>
<td>Most common: y-gencatlg (see C16.10.2.7 for other values)</td>
</tr>
</tbody>
</table>
B11.4.5 925 Field – Local Selection Decision

The following table states the values for the selection decision commonly applicable to the MLC workflow.

<table>
<thead>
<tr>
<th>Subfield</th>
<th>Data</th>
</tr>
</thead>
<tbody>
<tr>
<td>Selection decision for LC ($a)</td>
<td>acquire</td>
</tr>
<tr>
<td>Number of shelf copies ($b)</td>
<td>Most common: 1 shelf copy (see DCM C16.14.3.1 for exceptions)</td>
</tr>
<tr>
<td>Responsibility for selection decision ($x)</td>
<td>Most common: policy default (see DCM C16.14 for exceptional uses)</td>
</tr>
</tbody>
</table>

B11.4.6 955 Field – Local Tracking Information

Subfield $h is used for completion of minimal level cataloging. See DCM C16 for further information.

B11.4.7 0XX – Control Fields

Record data in the 00X fields using the values and instructions in the following table. Other 00X fields such as the 035 or 037 field may be present depending on the cataloging stream and require no editing.

<table>
<thead>
<tr>
<th>Field</th>
<th>Data</th>
</tr>
</thead>
<tbody>
<tr>
<td>010</td>
<td>Used as with other cataloging streams (see DCM C3 for further instructions).</td>
</tr>
<tr>
<td>020</td>
<td>Required if applicable.</td>
</tr>
<tr>
<td>040</td>
<td>$a DLC $b eng $e rda $e DLC ($e rda may also be placed after $e DLC)</td>
</tr>
<tr>
<td>041</td>
<td>Used as with other cataloging streams (see DCM 5.10.1 for further instructions).</td>
</tr>
<tr>
<td>042</td>
<td>Not used in MLC.</td>
</tr>
<tr>
<td>043</td>
<td>Retain $a lcode if present. Delete $a pcc if present.</td>
</tr>
<tr>
<td>050</td>
<td>Use MLC shelf number (see DCM B11.5 for further instructions).</td>
</tr>
<tr>
<td>082</td>
<td>Not used in MLC.</td>
</tr>
</tbody>
</table>

B11.4.8 Other Bibliographic Fields

Because the 1XX-8XX fields used in an MLC record will vary according to the resource, a comprehensive list is not provided here. However, a checklist with common fields is provided with a few guidelines.
<table>
<thead>
<tr>
<th>Tag</th>
<th>Name</th>
<th>Instructions</th>
</tr>
</thead>
<tbody>
<tr>
<td>1XX (100, 110, 111, 130)</td>
<td>Main Entry Fields</td>
<td>Required if applicable. If NAR is found, use authorized form in bibliographic record.</td>
</tr>
<tr>
<td>240</td>
<td>Uniform Title</td>
<td>Required if applicable. If a name/title NAR is found, use authorized form in the bibliographic record.</td>
</tr>
<tr>
<td>245</td>
<td>Title Statement</td>
<td>Title proper is required. Parallel title, other title information, and the first statement of responsibility are all required if applicable.</td>
</tr>
<tr>
<td>250</td>
<td>Edition Statement</td>
<td>Edition statement ($a) is required if applicable.</td>
</tr>
<tr>
<td>264 #1</td>
<td>Publication Statement</td>
<td>Required.</td>
</tr>
<tr>
<td>300</td>
<td>Physical Description</td>
<td>Extent ($a) is required for single-part monographs. Dimensions ($c) is required for monographs. Apply DCM B20 for books with accompanying sound recordings and B21 for books with accompanying videorecordings.</td>
</tr>
<tr>
<td>336</td>
<td>Content Type</td>
<td>Required. Most common: $a text $b txt $2 rdacontent</td>
</tr>
<tr>
<td>337</td>
<td>Media Type</td>
<td>Required. Most common: $a unmediated $b n $2 rdamedia</td>
</tr>
<tr>
<td>338</td>
<td>Carrier Type</td>
<td>Required. Most common: $a volume $b nc $2 rdacarrier</td>
</tr>
<tr>
<td>490</td>
<td>Series Statement</td>
<td>Series statement ($a), ISSN ($x) and volume number ($v) are required if applicable.</td>
</tr>
<tr>
<td>500</td>
<td>General Note</td>
<td>Required if used to record data for core RDA or LC-PCC PS elements.</td>
</tr>
<tr>
<td>504</td>
<td>Bibliography, Etc. Note</td>
<td>Required if applicable.</td>
</tr>
<tr>
<td>505</td>
<td>Formatted Contents Note</td>
<td>Required if used to record related works for compilations (see LC-PCC PS for 25.1).</td>
</tr>
<tr>
<td>546</td>
<td>Language Note</td>
<td>Required for resources in languages that commonly use multiple scripts (see LC-PCC PS for 7.13.2).</td>
</tr>
<tr>
<td>653</td>
<td>Index Term-Uncontrolled</td>
<td>As MLC records do not contained controlled 6XX fields, this may be used instead or omitted. See SHM H 160 for instructions.</td>
</tr>
<tr>
<td>7XX (700, 710, 711, 730, 740)</td>
<td>Added Entry Fields</td>
<td>Required if used to record data for core RDA or LC-PCC elements or relationships. If NAR is found, use authorized form in bibliographic record.</td>
</tr>
<tr>
<td>7XX (775, 776, 787)</td>
<td>Linking Entry Fields</td>
<td>Required if used to record related manifestation (see LC-PCC PS for 27.1)</td>
</tr>
</tbody>
</table>

**B11.5 MLC SHELF NUMBER**

The 050 field for MLC records contains an MLC shelf number. The entire number is contained in subfield $a. Use the MLC Shelf Number Generator to populate the 050 field in the BR. The MLC Shelf Number Generator is located in the ILS Add-On folder within the Voyager Unicode folder. See [http://www.loc.gov/staff/aba/psd/MLCGen.pdf](http://www.loc.gov/staff/aba/psd/MLCGen.pdf) for instructions on using the MLC Shelf Number Generator.

In addition to the generated number, catalogers may add a one-letter LC classification assignment may be added indicating the broad classification of the resource, e.g., (D) for history. This component is optional and may not appear in all MLC records. If catalogers are uncertain about the appropriate
classification letter assignment, it should not be added in the 050 field.

**B11.5.1 Components of an MLC Shelf Number**

The MLC shelf number has three possible components, each separated by a space:

1) the letters “MLC”, a letter representing size, and if applicable, a letter representing a custodial assignment, e.g., MLCS or MLCMA;
2) a number consisting of the year of cataloging, a slash, and a sequential five-digit number within each size, e.g., 2005/00456;
3) a one-letter LC classification assignment (enclosed within parentheses).

*Note:* Before the year 2000, a two-digit year number was used (e.g., MLCS 99/0234). Beginning in 2000, the year number contained four digits (e.g., MLCM 2000/00789).

**B11.5.2 Size and Custodial Assignment Letters**

The MLC Shelf Number Generator selects the appropriate size letter based on subfield $c$ of field 300 in the BR. Use the following table to determine what letter to input if the generator has a problem reading the 300 $c$.

<table>
<thead>
<tr>
<th>Label</th>
<th>Meaning</th>
<th>Use for books that are</th>
</tr>
</thead>
<tbody>
<tr>
<td>MLCS</td>
<td>Small</td>
<td>22 cm or less</td>
</tr>
<tr>
<td>MLCM</td>
<td>Medium</td>
<td>23-30 cm</td>
</tr>
<tr>
<td>MLCL</td>
<td>Large</td>
<td>31-37 cm</td>
</tr>
<tr>
<td>MLCF</td>
<td>Folio</td>
<td>38 cm or larger</td>
</tr>
</tbody>
</table>

Special generators have been created for some of the custodial divisions. The letter for the size appears before the letter for the custodial division with the exception of the letter “R” (see below). The following list provides a list of all the custodial assignment letters. An asterisk (*) indicates that there is a special generator for that letter.

A – South Asia materials, Asian Division*
C – Chinese Section, Asian Division*
E – Southeast Asia materials, Asian Division*
H – Hebraic Section, African and Middle Eastern Division
J – Japanese Section, Asian Division*
K – Korean Section, Asian Division*
M – Mongolian Section, Asian Division*
N – Near East Section, African and Middle Eastern Division*
R – Rare Book and Special Collections Division
   (Resources housed in the Rare Book and Special Collections Division do not receive an indication of size; instead a blank is used: MLC R)
T – Tibetan materials, Asian Division
B11.5.3 Examples of MLC Shelf Numbers
These are examples of typical MLC shelf numbers:

MLCM 98/02114 (P)
A medium book cataloged in 1998 with a (P) classification assignment

MLCMJ 2003/00135 (S)
A medium book cataloged in 2002, housed in the Japanese Section with an (S) classification assignment

MLCS 2005/04905 (Z)
A small book cataloged in 2005 with a (Z) classification assignment

MLCML 2017/40002
A large book cataloged in 2017 housed in the Mongolian Section with no classification assignment

B11.6 MLC END-STAGE PROCESSING

B11.6.1 Holdings Record
Create/complete the HR according to the standard specifications provided in the Classification and Shelflisting Manual, ILS Shelflisting Supplement (http://www.loc.gov/staff/aba/psd/scmslte.html) and applying these additional instructions:

- Set the 852 first indicator to “8”
- If necessary, copy the complete MLC shelf number into 852 $h$
- Books with accompanying sound recordings, apply DCM B20.2
- Books with accompanying videorecordings, apply DCM B21.2
- Miniature books, apply CSM G 620, section 2
- For these types of special format books, often called “toy and moveable books” apply CSM G 620, section 4:
  - Books with attachments (e.g., wheels, soundboards, holograms)
  - Non-traditional book structure (e.g., accordion, pop-up, board)
  - Insecure/unattached materials (e.g., portfolios of loose plates, cut-out books).

Voyager’s Preferences may be set to automatically supply first indicator “8” and add the complete MLC shelf number for a new holdings record. To set these Session Defaults and Preferences, follow these steps:

1) Select Options / Preferences from the menu bar;
2) Under the General tab, change “Call Number Hierarchies” to value “LCnonclass-050a”;
3) Click on “OK.”

When finished with MLC records, catalogers should restore their Preferences to the previous value to ensure holdings records will be correctly created for other workflows.
B11.6.2  Item Record
Create/complete the IR according to the standard specifications provided in the Classification and Shelflisting Manual, ILS Shelflisting Supplement (http://www.loc.gov/staff/aba/psd/scmsltc.html). The item status should be changed to “In Process” if not already set, regardless of location.

B11.6.3  Labels and Barcodes
Apply DCM E4 to affix the MLC shelf number label and the item barcode to the resource.

B11.6.4  Slips
Remove all slips from resources cataloged as MLC except:

- Binding Instructions for BCCD
- Materials Routing (for books with accompanying sound recordings or videorecordings).

The Binding Instructions for BCCD slip is used to flag materials designated as “physical aspects” resources for review by BCCD before the resources are sent to CALM see DCM B11.7.4 for instructions on filling out the slip.

The Materials Routing slip is used to send books with accompanying sound recordings or videorecordings to MBAS.

B11.7  DISPOSITION OF RESOURCE AFTER END-STAGE PROCESSING
Unless covered by a specific category discussed below, resources cataloged MLC should be brought to room LM 561.

B11.7.1  Books with Accompanying Sound Recordings or Videorecordings
Follow the procedures for books with accompanying sound recordings in DCM B20. Follow the procedures for books with accompanying videorecordings in DCM B21.

B11.7.2  Miniature Books (10 cm or less)
Miniature books should be placed in the tray for miniature books on “Labeled Toy & Moveable Books” shelf in LM 549.

B11.7.3  Physical Aspects
Certain materials should not be routed to LM 561 because they need to be examined by BCCD staff before being shelved. These resources are called “physical aspects” for the purposes of this document.

“Physical aspects” material to be set aside can be summarized as follows:

- Brittle/fragile books
- Books that contain loose material to be secured by BCCD (e.g., errata pages)
- Damaged material
- Non-updating loose-leaf publications
- Pamphlets
- Spiral-bound books
Minimal Level Cataloging (MLC): Books

- Stapled material
- Three-ring binders
- Unbound material (i.e., loose sheets).

Secure loose material such as errata slips in the normal manner (cf. DCM C5.2.1). Use the “Binding Instructions for BCCD” slip to flag the materials for review. For “physical aspects” resources in which the appropriate instruction is not on the slip, check “Other” and write “Condition alert for BCCD.”

If in doubt about a particular condition, consult Chief, BCCD (Jeanne Drewes, 7-5330).

**B11.7.4 Special Format Books (aka “Toy and Moveable Books”)**

Books that fall into the categories listed in CSM G 620, section 2 should be placed on the “Labelled Toy & Moveable Books” shelf in LM 549.

**B11.7.5 Multipart Monographs**

Normally multipart monographs that are not analyzed/classified as a collection (e.g., one bibliographic record is made for all volumes) are not in scope for MLC. However, if a book cataloged as MLC because it seems to be a single-part monograph, then a subsequent volume is received that lacks an analyzable title, change the existing bibliographic record for the first volume to a collected set record and add information about the new volume following DCM C12. Because MLC resources are stored off-site, the holdings and item records cannot be update by the cataloger. Forward the added volume to Kay Guiles in PSD with an explanation of what needs to be done.

**B11.7.6 Materials housed in RBSCD**

MLC is applied to the bound pamphlet collections in the custody of the Rare Book and Special Collections Division. The Rare Materials Section performs cataloging and end-stage processing of these materials and ensures they are routed to RBSCD.
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<td>CATALOGING AND END-STAGE PROCESSING</td>
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B21.1 GENERAL

These instructions apply to books with accompanying videorecordings. The accompanying videorecordings are housed separately in the Moving Image Section of the Motion Picture, Broadcasting and Recorded Sound Division (MBRS). DCM B21 provides guidelines for ensuring that each book and each accompanying videorecording is represented adequately both for bibliographic/inventory control and for servicing within the Library. Each book is represented by a bibliographic record (BR) and holdings record/item record (HR/IR), as appropriate. Accompanying videorecordings are represented by a separate HR/IR.

Accompanying videorecordings are usually in the form of a videodisc. Most commonly today, these are either DVDs (digital video discs) or Blu-Ray Discs. Other possible types of videodiscs are CD Video and LaserDisc. Older materials may have videocassettes, including VHS and Betamax. Less common formats include film reels, film cartridges, and videotape reels.

CD-ROMS, DVD-ROMs, and audio CDs are NOT videorecordings. See DCM B18 for instructions on accompanying CD-ROMs and DVD-ROMs and B20 for instructions on accompanying audio CDs. See the Accompanying Disc Decisioner for help in determining the nature of the disc.

For serials, see the following document:
http://www.loc.gov/staff/lstraining/abawkflow/ser/cat/PrintSerialswNonPrintAccMat.pdf.

B21.2 CATALOGING AND END-STAGE PROCESSING

Perform cataloging and end-stage processing in the usual manner for the book. Follow these additional steps:

1) Add information about the accompanying videorecording in the 300 field and/or 500 field;

2) Record the dimensions of the videorecording, e.g.,

   300 ## $a 200 pages ; $c 24 cm + $e 2 videodiscs (4 3/4 in.)

   300 ## $a 100 pages ; $c 20 cm + $e 1 videocassette (VHS ; 1/2 in.)

3) In the 852 field of the holdings record, add a subfield $3 for the monograph (see examples below);

4) If needed, adjust the item record “pieces” count so it does not include the videorecording.

For a single-volume monograph use $3 Book only:

852 0# $3 Book only $b c-GenColl $h BV4330 $i .S575 2002 $t Copy 1

For a multipart monograph with a collected set record, use $3 Books only:

852 0# $3 Books only $b c-GenColl $h BP173.7 $i .S98 2015 $t Copy 1
B21.3 GUIDELINES FOR FORWARDING BOOKS WITH ACCOMPANYING VIDEORECORDINGS

Fill out a Materials Routing slip to send the book to the Music Bibliographic Access Section. Both the book and the accompanying videorecording should be sent to MBAS. If the videorecording is not securely attached to the main resource, do so with a rubber band. Place the materials on the appropriate shelf in the division’s outgoing distribution area. For a list of ABA division distribution areas, see http://www.loc.gov/staff/aba/psd/movement.pdf.

B21.4 DISPOSITION OF BOOKS WITH ACCOMPANYING VIDEORECORDINGS

B21.4.1 Custody

All books that are published with accompanying videorecordings are housed according to custodial guidelines reflected in the location(s) recorded in field 852 of the HR.

All videorecordings that accompany books are housed in the Moving Image Section of MBRS.

B21.4.2 Videorecording Missing At Time of Receipt of Book

If the accompanying videorecording is missing at the time of cataloging of the book, follow the procedures in DCM D22 (Procedures for Handling Imperfect Copies). If the decision is not to seek a perfect copy or if the decision is to “catalog as is,” (cf. D22.2.2), note the fact that the videorecording is missing in a copy specific note using a 500 field and a subfield $5 containing “DLC” showing that the condition stated applies to the LC copy:

500 ## $a LC copy imperfect: accompanying videorecording wanting. $5 DLC

This will alert users of the bibliographic record that it does not represent a description of the complete bibliographic entity as issued.

When the videorecording is missing and the decision is to “catalog as is,” do not forward the book to MBAS. Instead, forward it, as for other books, as appropriate.

B20.5 SUBSEQUENT COPIES

If additional copies of the same manifestation are received either simultaneously with, or subsequent to, processing of the first copy, the bibliographic record for the manifestation will reflect the selection decision. The cataloging staff processes subsequent copies according to the selection decision in that record.
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C5.1 ISSUES ENCOUNTERED AT THE TIME OF INITIAL RECEIPT
In general, resources may be damaged or in an 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/lstraining/abawkflow/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 resources as little as possible; put them in the plastic sealable bags that have been placed in all mail room sections. 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 resources 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/lstraining/abawkflow/acq/acq-recproc/ProcessingMatDamagedbyIrradiation-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 a resource 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).

C5.2.1 Communicating with BCCD
Do this by inserting a “Binding Instructions for BCCD” slip (824 (2007/08)) in the resource. Check the box preceding the appropriate condition, e.g., “Tip-in 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. This is especially important if the situation is such that BCCD will need to return the resource to the cataloging section or will need to consult with the section.

C5.2.2  **BCCD Action**

The Collections Care Section of BCCD, in consultation with the Preservation Reformatting Division, will assess the collection care aspect of the resource and determine what action, if any, is needed. With respect to books, in some cases the condition of the original may be such that it calls for securing a preservation facsimile. (If the need to reformat the resource for preservation is from macroform to microform, BCCD will consult with PSD to determine the best means of having the cataloging adjusted to reflect the preservation format.)

C5.2.3  **Cataloging/BCCD Interaction**

The basis of the cataloging/BCCD interaction is as follows: if the preservation condition is benign, i.e., the preservation treatment does not affect the cataloging, the cataloging is completed and the resource is forwarded for BCCD’s attention. If the preservation condition is serious and may even require reformatting to a preservation facsimile, BCCD does the preservation action before cataloging is completed. Once the preservation action is completed, BCCD returns the resource to cataloging and the cataloging is then completed.

C5.2.3.1  **Workflow for benign preservation condition**

If the preservation condition is such that it does not affect the cataloging, e.g., presence of an errata slip to be tipped in, complete the cataloging and communicate the preservation condition to be addressed using the “Binding Instructions for BCCD” slip (824 (2007/08)) as described in DCM C5.2.1.

C5.2.3.2  **Workflow for serious preservation condition**

Serious preservation conditions are illustrated as follows:

- Cover torn and/or detached.
- Resource 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.
- Loose and tattered pages; bindable?
- Paper appears to be brittle. (See DCM C5.2.3.3 below)

Use this workflow for any of the conditions described above or for a condition about which there is doubt as to its seriousness. Assure there is an IBC representing the resource, there is an LCCN on the verso of the title page of the resource, and that there is an item barcode in the item record. Fill out a “Binding Instructions for BCCD” slip (824 (2007/08)) as described in DCM C5.2.1, paying especial attention to the “RETURN TO:” section. Track in field 955 of the IBC record that the resource is being sent to BCCD for preservation review ($a [code] [date] to BCCD for preservation review). Insert the slip and a printout of the bibliographic record in the resource and send to BCCD.
BCCD will assess the preservation condition and determine the appropriate preservation action. If it can be done in BCCD, it will be done and the resource returned to the staff person named in the “RETURN TO” section of the Condition Alert slip. Complete the cataloging and forward the resource as appropriate (it does not need to be routed to BCCD, since the preservation action has already been taken).

If the resource requires reformatting, BCCD will send it for such and track that action in field 955 ($a [code] [date] sent for reformatting). When the preservation facsimile is returned, BCCD will:

1. perform quality assurance and accept the facsimile;
2. replicate the item barcode from the item record and affix it to the facsimile;
3. dispose of the original;
4. return the facsimile to the staff person named in the “RETURN TO” section of the slip.

The cataloging section completes the cataloging. It includes in the bibliographic record a general note (500##$a Preservation facsimile. $5 DLC) and a public note in the holdings record 852 field ($z Preservation facsimile)

C5.2.3.3 Possible brittle paper
Use the workflow in DCM C5.2.3.2 for resources that likely have brittle paper but annotate the Condition Alert slip at the top: Attn: Jeanne Drewes. BCCD will make the final decision. If the paper is judged to be brittle, reformatting is called for.

Usually paper is judged brittle if it cannot withstand a double fold, i.e., it breaks when subjected to a double fold. A double fold is a process of folding a paper sample first backwards and then forwards about the same line, i.e., one complete oscillation.

C5.3 ISSUES ENCOUNTERED SUBSEQUENT TO CATALOGING

C5.3.1 General
On occasion, cataloging sections receive material associated with a particular resource 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 resource 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 resource involved. As described in DCM C5.2.1 above, use slip 824 to communicate to BCCD the condition to be addressed. If the resource involved has been charged to the section, include also an “Attention BCCD (LM-G17)” slip (1587 2012/08) (formerly 6-182) to request BCCD to forward the resource to CALM for discharge.

If the resource 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 $b 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).

C5.3.2  Preservation facsimile

This section records the bibliographic conventions applied to a preservation facsimile required to replace a damaged copy that has already been added to the collections. The main difference from the treatment applied in DCM C5.2.3.2 is that the preservation facsimile is distinguished as such in its call number. A cataloging section may or may not be involved in this workflow.

C5.3.2.1  Guidelines for call number of the preservation facsimile

These guidelines call for retaining the call number assigned to the original and assigning a different call number to the preservation facsimile. This provides for distinguishing each manifestation one from the other and the ability to track each manifestation for inventory purposes.

1)  Use the call number of the original and add the letter “a” with no space preceding it.

<table>
<thead>
<tr>
<th>Original</th>
<th>Preservation facsimile</th>
</tr>
</thead>
<tbody>
<tr>
<td>F1786</td>
<td>F1786</td>
</tr>
<tr>
<td>.M1537</td>
<td>.M1537</td>
</tr>
<tr>
<td>1950</td>
<td>1950a</td>
</tr>
<tr>
<td>D524</td>
<td>D524</td>
</tr>
<tr>
<td>.O38</td>
<td>.O38a</td>
</tr>
<tr>
<td>MLCS</td>
<td>MLCS</td>
</tr>
<tr>
<td>81/00587</td>
<td>81/00587a</td>
</tr>
</tbody>
</table>

2)  If the call number of the original ends in a letter of the alphabet, “reclassify” the resource by adding a date to the original number. For the preservation facsimile, add the letter “a” following the date.

3)  If the damaged original is retained or there are other copies held, retain the indicators in the 050 field in the bibliographic record at “00”. If the original is not retained and there are no other copies, set the first indicator in the 050 field to “1” (Not in LC [under this number]).

C5.3.2.2  Other guidelines for the preservation facsimile

1)  Add to the bibliographic record an 051 field indicating the resource is a preservation facsimile. Give the details of manufacture in parentheses, using square brackets to indicate supplied data, and the size:

051 ## $a GV877 $b .S73a $c Preservation facsimile (Brown’s Summit North Carolina : Etherington Conservation Services, 2008. 20 cm.).

051 ## $a MLCS 81/00587 $c Preservation facsimile (Brown’s Summit North Carolina : Etherington Conservation Services, 2008. 20 cm.).
The statement in the 051 field may also include information about material retained from the original, e.g., “Three leaves of original plates retained, in pocket.”

2) Create a separate holdings and item record for the preservation facsimile with the appropriate location and new call number. The copy number will be “Copy 1” under the new call number.
INTRODUCTION

These instructions address the creation and update of name and series authority records (NARs and SARs). They do not address subject authority records. For the purposes of this document, “authority record” applies to both name and series authority records. “Authority file” applies only to the name and series authority records that constitute the LC/NACO authority file (LC/NAF).

LC staff members and libraries participating in the Name Authority Cooperative (NACO) component of the Program for Cooperative Cataloging (PCC) contribute records to the authority file.

In constructing authorized access points, variants, and recording information, NACO participants and LC catalogers not working in the LC Database may make use of all records in the file against which the searching and cataloging is being done: OCLC, British Library, SkyRiver, etc. NACO participants may choose to use only LC records found in the file being searched. For LC catalogers working in the LC Database, the file is the set of records comprising the “LC database” (see the 670 section of this document). In this document, “database” refers to whatever file is being used for searching and cataloging.

Use this document (DCM Z1) in connection with RDA: Resource Description and Access, Library of Congress-Program for Cooperative Cataloging Policy Statements (LC-PCC PS), and other sections of the Descriptive Cataloging Manual (DCM). This document supplements the MARC 21 Format for Authority Data and generally does not repeat information found in the format. The examples are given in MARC 21 style; an exception is the use of a blank space before and after the delimiter/subfield code combination. The symbol “#” represents a blank in an indicator position; the symbol “$” is used for the delimiter.

This Introduction covers the following topics:

- Name authority records (NARs)
- Series authority records (SARs)
- Justification of access points and elements
- NACO normalization
- Should an SAR be made?
- How many SARs should be made?
- Series statement appears only on ECIP data view at galley stage
- Searching series

Name authority records (NARs)

A name authority record has the following basic contents: 1) the authorized access point (MARC 21 field 1XX), 2) the sources for justification of the authorized access point, including additions that are part of the authorized access point, variant access points, some identifying
elements, and 3) any related access points used to express relationships (MARC 21 fields 4XX/5XX). Additional information may be recorded in fixed fields (008) and in note areas of the authority record (MARC 21 fields 667, 675 or 678). Optional MARC fields such as 046 and 3XX may also be given. Control data and content designation are also included for proper identification and manipulation of the data.

NARs are not made for personal names when the only clue to the person’s identity is a non-alphabetic or nonnumeric device, topical subject headings, or geographic features. Under RDA, a name may be used and an authority record may be created for entities that were formerly only used as subjects such as, family names, fictional characters and non-human entities (e.g., animals) when these purport to be responsible for the creation of, contribution to, etc. a work or expression.

Generally, make a name authority record for any person, corporate entity (including geographic), or family name that may be used as an access point in a bibliographic record, whether the name is actually first used as a descriptive or subject access point. Under certain LC workflow procedures, e.g., Minimal Level Cataloging, an authority record may not be created for every access point assigned.

NACO libraries are not obligated to contribute authority records for every access point generated by their cataloging. However, any NAR contributed to the LC/NAF must have all necessary elements of the access point established in the following cases:

All bodies that are part of an established hierarchy; e.g., when establishing a corporate entity that is entered subordinate to its parent body, the parent body must also be established. In other words, if an NAR for the parent body or an intervening subunit is not present in the LC/NAF, it must be established. This means that more than one NAR will be created for the LC/NAF, and some of those authorized access points may not be used in bibliographic records.

All bodies added to the NAR to reflect a relationship with the 1XX; e.g., if an entity is entered independently and a variant form is given through a higher body or bodies, the higher body/bodies needs to be represented in the authority file as well. Thus, catalogers may need to create other NARs in addition to the one needed for use in the catalog even if that name is not used on a bibliographic record.

All access points used in 5XXs fields must also be represented in the authority file. For example, when a cataloger adds a 500 field in a NAR for a work to show a relationship between a work and a person, the access point in the 500 field must also be established.

Jurisdictional names used as additions to a 1XX must also be established before they can be used. For example, when using the name of a city as a qualifier for a corporate body, the city must be represented in the authority file.
Certain elements of a name/title access point must also be established; e.g., when an NAR for the conventional collective title “Works” is created using an author who is not established in the LC/NAF, an NAR for the author must be established as well.

Additional guidelines for the creation of titles of works or expressions are listed below:

For titles or name/titles, an authority record is often made when one or more of the conditions listed below applies. Apply these criteria to each element of the full access point (main title, language, part, etc.) and make a separate authority record for each element that meets the criteria.

1. A reference will be traced on that authority record;
2. Research done to establish that authorized access point must be recorded;
3. The authorized access point is needed for a related work access point or subject entry and the related work is not represented by a bibliographic record in the LC database, or, for serials, by a CONSER record in OCLC;
4. Certain information needs to be recorded, e.g., citation title for a law.

Note: Currently, authority records are not automatically created for each element of an authorized access point for a work or expression, e.g., when creating a name/title NAR for an expression record such as: Queneau, Raymond, $d 1903-1976. $t Fleurs bleues. $l English it is not necessary to create an NAR for the work record: Queneau, Raymond, $d 1903-1976. $t Fleurs bleues.

LC/PCC catalogers may contribute name authority records for works or expressions as needed for cataloging.

Authority records for works and expressions may also be created even if none of the four criteria listed above applies, e.g., when considered important to record identifying elements in 3XX fields.

An authority record for a name/title or a title access point is not required when the preferred title of the work and the title of the expression manifested are the same or would be the same due to normalization. An authority record may be created for these expressions but 4XXs that represent the original work should not be added regardless of whether they are represented by existing NARs or 1XX/245 combinations.

Example:

100 1# $a Allende, Isabel. $t Eva Luna. $l English

BUT NOT

400 1# $a Allende, Isabel. $t Eva Luna

(Variant not added because that form represents the authorized access point for the work)
**LC music cataloging practice:** As of August 16, 1999, authority records are created for ALL title and name/title headings. When a name/title see also reference needs to be made, make an authority record for the name/title referred from if such a record had not been made in accordance with the above guidelines.

**Series authority records (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.

Creation of series authority records is optional for PCC libraries, but any series that is traced in a PCC bibliographic record (8XX field) must be supported by a series authority record. For record-keeping purposes, it is recommended that series authority records be created whenever a PCC library decides to class together an analyzed numbered series or multipart monograph, whether or not the series is traced in bibliographic records.

A series-like phrase record also can be made to record information of general interest or application, e.g., the 1XX in the record is an imprint rather than a title.

A series authority record has the following basic contents: 1) type of series code (i.e., monographic series, analyzable multipart item, a serial other than a monographic series, series-like phrase), 2) form of authorized access point, 3) series treatment (classification, analysis, and tracing), 4) series numbering, 5) an LC call number, if classified as a collection, 6) place of publication and publisher/issuing body, 7) the source(s) on which the form of series authorized access point is based, 8) cross references leading to the authorized access point from variant forms and from/to related authorized access points. Additional information may be recorded in fixed fields and in note areas of the authority record. Control data and content designation are also included for proper identification and manipulation of data.

Until 1983, series authority records created at LC, for the most part, reflected solely LC holdings and practices. However, now the authority file is a national authority file, and LC catalogers do not consult, create or update SARs. SARs in the national authority file now serve primarily to accommodate the holdings and practices of other institutions.

Series treatment information reflects institution-specific decisions. Therefore, the fields containing series treatment information require the identification of institution(s) following that practice. Also, series treatment decisions in an institution can change; certain series treatment fields provide the means for indicating variations in practice within an institution.

In August, 2008, the PCC Steering Committee approved a recommendation to allow the creation of post-cataloging series authority records. The intent is to allow libraries to do series authority control after cataloging without the piece in hand when authority control was not done at the time of cataloging. When a title is first cataloged, the series statement in the bibliographic
record is formulated while examining the piece. Post-cataloging authority records are created based on that series statement by catalogers who are fully trained and authorized to contribute series authorities. The authority file must be consulted at that time to prevent conflicts, add qualifiers, etc. It is recognized that SARs created post-cataloging may lack some references, so they are to be coded as preliminary records. They must also have a nonpublic general note indicating their origins. The authorized form is then added as a series tracing to the bibliographic record.

Series authority records may be for works or expressions. Catalogers should do their best not to mix FRBR entities on the same series authority record. Elements that are specifically expression-related should not be added into work authority records and work-related elements should not be added into expression authority records. For example, since form of work (380 field) is a work element, it should not be added to a series authority records that represents an expression of a work (e.g., an English translation).

Use judgment in deciding whether to also record any attribute used as a qualifier in an authorized access point as a separate element (using MARC 21 046 and 3XX fields) and whether to record additional identifying elements (those not needed for differentiation) as separate elements.

When recording attributes as separate elements, prefer to use terms from controlled vocabularies.

Justification of access points and elements

The preferred form of name or title, additions in the authorized and variant access points, and other identifying elements recorded in the 046 or 3XX fields generally should be justified using one of the methods described in the 046 and 670 sections of this document. When the information recorded is obvious from the 1XX form or the 670 field for the work for which the authority record is being established, additional justification is not needed. When updating an authority record, additional justification is not needed if already present or obvious in the existing fields. For example, if the preferred title for the work is Best short stories, it is not necessary to provide additional justification when recording "Short stories" as a form of work recorded in the 380 field.

For specific information about justification of data recorded in a 046 or a 3XX, see the instructions for that field and the 670 section in this document.

Additions and changes to authority records

Almost as common as the need for a new authority record is the need to alter an existing record. New information can be received in various ways (e.g., new cataloging, investigation in response to a query) and may be significant enough to add to the permanent authority record.
Normally a new reference or a change in the authorized access point must be justified by the addition of new information to the authority record. Many other types of data can be added to the authority record when judged useful for proper identification.

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. Although there are guidelines in the RDA instructions and/or LC-PCC PSs that indicate when changes are or are not necessary, the necessity for other changes may be evident only to the agency making the change (for example, to break a conflict when the searching universe for the changing agency and the agency observing the change are different). Assume that such changes are valid.

Change an authority record when an error in the authorized access point or in a variant access point is discovered. When the published work for an item cataloged through the CIP program shows a change in the form of name of a person, corporate body, preferred title, or series, change the authority record; add the published source after the CIP source in the 670 field to document the change. Changes in the imprint date, choice of a primary access point, and title proper do not require changes to authority records created for CIP items.

**NACO normalization**

When a new authority record is added to the name authority file or when a new 4XX field is added to an existing NAR, each new access point is compared against access points already in the file to determine whether the new access point is adequately differentiated from existing authorized access points. All partners involved in the exchange of LC/NAF authority data have agreed to a specific set of rules for normalization, and these rules are posted at: [http://www.loc.gov/aba/pcc/naco/normrule-2.html](http://www.loc.gov/aba/pcc/naco/normrule-2.html). Name authority records are not compared against subject authority records.

Briefly, the process of normalization removes all diacritics and most punctuation, and converts all letters to uppercase and all modified letters to their unmodified equivalents. Subfield delimiters and subfield codes are retained in the normalized form excluding subfields $w$ and $i$. The normalized form of the name differs from the authorized form of the name as an access point.

**Examples:**

Authorized form: Île-de-Montréal (Québec)
Normalized form: ILE DE MONTREAL QUEBEC

Authorized form: Smith-Jackson, Tonya L.
Normalized form: SMITH JACKSON, TONYA L

The only mark of punctuation that is retained during normalization is the first comma in
subfield $a$. This exception means that the following examples of similar access points normalize to different forms.

*Examples:*

(Note: These examples do not reflect additions catalogers may add to distinguish similar names and titles.)

Authorized form: Chung, Hui
Normalized form: CHUNG, HUI

Authorized form: Chung-hui
Normalized form: CHUNG HUI

To conform to the NACO standard, participants must adhere to the following policies:

**Authorized access points.** If access points do not differ after character normalization rules have been applied, they are considered to conflict and must be further distinguished.

**Variants.** Do not trace a 4XX variant that normalizes to the same character string as an existing authorized access point in the 1XX in the LC/NAF, including the access point in the record to which the variant is made. This policy also applies to the linking variants to forms of the name created under previous cataloging rules (see 4XX See from Tracings). If a linking variant and the access point in the same record normalize to the same form, do not trace a 4XX linking variant.

4XX variant access points are allowed to conflict across records, but a 4XX variant access point should not conflict with another 4XX on the same record. Apply these guidelines to variants on new authority records and to existing authority records when making some other change to the record.

**Should an SAR be made?**

When a series authority records is needed for the same entity represented by an existing NAR (usually a name/title NAR), convert the NAR into an SAR by updating the 008/12, 008/13, and 008/16 values, adding 64X fields, and making other changes, as appropriate.

Series authority records should not be made for the following categories:

1. a republication that does not include the original series statement (see “Republications” section of 64X Series Treatment – General Information);
2. generally, a periodical (includes several separate articles by several contributors, frequency of publication more often than annual, and usually has...
both numeric and chronological designations) even if the issue in hand consists of a single contribution (e.g., a festschrift, proceedings of a conference) or may have a special title giving the overall theme of the issue. An SAR should however be created in cases where a PCC monographic record is being created for a single issue of the periodical, and an authorized access point for the series is needed;

(3) a hardcover (sometimes even softcover) edition of a selected issue of a periodical.

Several publishers (e.g., Haworth Press, Pergamon Press) publish separate editions, with special titles, of selected issues of their periodicals. These editions are published in addition to the unbound issues received by subscribers.

Do not consider such a separate edition to be an integral part of the periodical; do not prepare an SAR. Make a separate bibliographic record for it. Add a note explaining its relationship to the periodical, e.g., “Published also as v. 15, no. 2 of the Journal of children in contemporary society.” Optionally, give a related work authorized access point for the periodical on the bibliographic record (cf. RDA 25.1.1.3).

It is not always clear, especially at CIP galley stage, whether the item in hand is an integral part of the periodical or a separate edition. Some publishers make clear statements, e.g., saying the title “has also been published as [title of journal], v. ______, no. ____.” Others make ambiguous or misleading statements, e.g., saying that the edition is “Published as a special issue of the journal ____________, v. _____, no. _____ and supplied to subscribers as part of their normal subscription.” The latter statement seems to indicate that the volume in hand is the only one issued and constitutes an integral part of the periodical. If the information given in the item is ambiguous, check the issue of the periodical or contact the publisher.

How many SARs should be made?

Because the entities represented by series authority records offer limitless possibilities for variation and change, it is sometimes difficult to determine how many authority records should exist.

(1) How many authority records are made if the title or the series-like phrase changes?

Is the change in the series-like phrase or in the title proper of the monographic series/other serial a major change or a minor change? (Consult RDA 2.3.2.13 and associated LC-PCC PS.) If it is a major change, make a new SAR. If it is a minor change, give a 670 citation and
a 4XX reference for the different form.

Is a separate SAR made when the title of a multipart item changes? No; give the other title proper as a 4XX reference.

(2) How many authority records are made if the volumes of a monographic series are in different languages? Consult LC-PCC PS 6.27 and LC-PCC PS 24.6, Section I, One or Several Series Access Points, Language editions.

(3) How many authority records are made if the same volumes in a series are published separately in the same language by different publishers (e.g., a publisher in the U.S. and a publisher in England)? Create one SAR if the volumes in the series are published separately in the same language by multiple publishers in different countries, but constitute the same expression of the work, and there is a consistent correspondence in the numbering of parts.

(4) How many authority records are made if the volumes of a monographic series switch from having numbers to lacking numbers and vice versa? Consult LC-PCC PS 6.27 and LC-PCC PS 24.6, Section I, One or Several Series Access Points, Changes in numbering.

(5) How many authority records are made for main series and subseries? Consult LC-PCC PS 6.1.3.2, LC-PCC PS 6.27, and LC-PCC PS 24.6, Section H, Main Series and Subseries.

(6) Has there been a change in responsibility (i.e., different person/body, body’s name changes, uniform title changes)? Consult RDA 6.1.3 and associated LC-PCC PSs at 6.1.3.1 and 6.1.3.2.

(7) When reestablishing a series, is the apparent difference between the “earlier” form of title and the current title due to different transcription practices? If so, make only one SAR. Optionally, give the “earlier” form as a 4XX/667 old catalog heading (see 4XX See From Tracings).

Possibilities include the following:

(a) A change in the ALA/LC policy for romanization or word division results in a different title.

130 #0 $a Makedonikē vivliothēkē
430 #0 $w nna $a Makedonikē bibliothēkē

(b) The title is in a language containing a symbol or numeral that under
earlier rules was replaced by the corresponding word or words.

130 #0 $a Soldatenschicksale des 20
   Jahrhunderts als Geschichtsquellen
430 #0 $w nna $a Soldatenschicksale des
   zwanzigsten Jahrhunderts als
   Geschichtsquellen

(c) The title of the series was transcribed in truncated form under
    previous rules.

130 #0 $a Occasional papers of the California
    Academy of Sciences
410 2# $w nnaa $a California Academy of
    Sciences, San Francisco. $t
    Occasional papers

(d) The series title consists solely of the name of a corporate body and
    the same form of the same series was under earlier rules
    considered to lack a title.

130 #0 $a Centre de recherches d'histoire
    ancienne (Series)
410 2# $w nnaa $a Centre de recherches
    d'histoire ancienne. $t Publication

(pre-AACR2 form of heading: Centre de recherches d'histoire
    ancienne. [Publication])

(e) Evidence indicates that a word such as Bibliotheca, Collection,
    Edice was always present as the first word of the title but was not
    considered to constitute a part of the title proper.

(8) How many series-like phrase SARs are made for the same phrase used by
different bodies? There should be only one SAR.

No Existing SAR for Series-Like Phrase
If the authorized or variant access point for an undifferentiated phrase record
would conflict with the access point for another entity, add the qualifier
“(Series-like phrase)”.

If the authorized or variant access point for an undifferentiated phrase record
would consist of a combination of letters that is the same as an
acronym/initialism or name of a corporate body, add the qualifier “(Series-like
phrase)”.

In non-conflict situations, variant access points may optionally be qualified by
“(Series-like phrase)” or another qualifier if considered helpful for identifying the series-like phrase.

Give the 643 field as “Various places : various publishers.” Do not give a 667 for publisher variations.

Include the following 667 field: “Undifferentiated phrase record: Covers all instances when this character string used by any publisher is considered to be a series-like phrase; if character string is considered to be a series, separate SAR has been made.”

**Existing SAR for Series-Like Phrase**
If an SAR already exists, use it as an undifferentiated phrase record; delete from the existing authorized access point any qualifier. If the resulting phrase conflicts with the authorized access point for another entity, add the qualifier “(Series like-phrase).”

If more than one SAR is found to exist for a series-like phrase, consolidate the authority records. If the resulting phrase already conflicts with the authorized access point for another entity, add the qualifier “(Series-like phrase).”

**Series statement appears only on ECIP data view at galley stage** *(LC partner practice)*

1. **Series is new to the Library.**
   
   Return the ECIP data view to a CIP program specialist with request that CIP return the data view to publisher to “refresh” associated text file to include the series information.

   (a) When revised copy is received, establish series according to regular partner procedures.

   (b) If revised copy is not received within five to eight work days, the ECIP Data Application will be deleted automatically from ECIP system and publisher will be required to resubmit in order to obtain CIP data for the item. Cancel any CIP record which may have been created in the partner database.

2. **Series is already represented by an SAR.**

   (a) Series title on data view matches form of title in the SAR: Transcribe the series statement without brackets in the bibliographic record. Trace the series if appropriate according to regular partner procedures.

   (b) Series title on ECIP data view is considered to be variant form of the title in the SAR:
(i) Clarify the data with publisher, transcribe the series statement without brackets, and trace the series if appropriate according to regular partner procedures.

(ii) Add reference(s) to the SAR for any valid variant form.

(c) Series title on ECIP data view might represent a title change or situation might require a change in the access point from that in the SAR:

(i) Clarify the data with publisher and, if appropriate according to regular partner procedures, return the CIP data view to CIP Division with request that CIP contact the publisher (see (1) above for procedures to follow).

(ii) When information from publisher is received, follow regular partner procedures and either add information and reference(s) to the existing SAR or create a new SAR as appropriate.

(iii) If information is not received within five to eight work days, the ECIP Data Application will be deleted automatically from the ECIP system and the publisher will be required to resubmit in order to obtain CIP data. Cancel any CIP record which may have been created in the partner database.

(3) Series is represented by analytic bibliographic records but there is no SAR: Create SAR for series according to regular partner procedures.

**Searching series**

Searching is the most important step in series processing. You must determine whether your series is already represented in the database; if not, you must know what other series are already in the database so your series will “fit” and not conflict with descriptive access points on authority and bibliographic records (see RDA 6.27.1.9 and associated LC-PCC PS).

Remember that the bibliographic records in the database include series handled under different cataloging codes. Some of the differences affecting series access are summarized below.

Choice of authorized access point:

- AACR 1 had a special rule for serials. Generic titles were entered under body. Titles containing name or initialism of body were entered under body.
- AACR 2 has no special rule for serials. Most were entered under title per 21.1C1.
- RDA has one instruction on persons or families considered
to be creators of serials (19.2.1.1.3). Most serials, however, have an authorized access point consisting only of the preferred title.

Title truncated:

For a time AACR 1 eliminated from the series title the name or part of the name of the body. “Bulletin of the Department of Education” became “Bulletin.” “Research Department study” became “Study.”

Space-hyphen-space:

Revised chapter 6 of AACR 1 specified that space-hyphen-space plus the body's name should be added to generic titles to create titles proper. The body's name was given in the form found on the item (which could change from one issue to the next). “Report - Department of Health” might be “Report - Virginia Department of Health” on the next issue and “Report - Commonwealth of Virginia Department of Health” on another issue. The form in the series added entry depended upon which issue was used when establishing the heading.

Subseries:

AACR 1: If subseries title was “weak,” the subseries was entered subordinately to the main series; if subseries title was “strong,” the subseries was entered independently.

AACR 2: If the main series and subseries were on the same source in the preliminaries, the subseries was entered subordinately to the main series; if the main series and subseries were not on the same source in the preliminaries, the subseries was entered independently.

RDA: The title of the main series and subseries do not need to be taken from the same source (2.12.10.2). However, the associated LC-PCC PS continues the practice under AACR2 (both the title of the main series and subseries must appear in the same source).

Also remember that series titles including initial articles appearing on pre-1979 records and in series statements for untraced series (490 0) do not have the filing indicator set for the initial article. If the series title on item in hand includes an initial article, do a search including the initial article as well as a search without it.
370 Associated Place

General

For jurisdictions or other place names with authority records in the LC/NAF, use the authorized access point form as found, recording the source in subfield $2. The form of place name in 370 may differ from the form of place name added to a preferred name of place or an access point per RDA and LC-PCC PS instructions.

Examples:

Geographic name in LC/NAF:

151 ## $a Washington (State)

(Authorized access point for the place includes type of jurisdiction)

Authorized access point recorded in 370:

370 ## $e Washington (State) $2 naf

Form of name as an addition in an access point:

110 2# $a Childhood Lead Poisoning Prevention Program (Wash.)

(Abbreviation for the place per RDA B.11)

Form of name as part of preferred name of a local place:

151 ## $a Seattle (Wash.)

(Abbreviation for the larger place per RDA B.11)

Geographic name in LC/NAF:

151 ## $a Korea (South)

(Authorized access point for the place includes an other designation)

Authorized access point recorded in 370:

370 ## $c Korea (South) $2 naf

Form of name as an addition in an access point:

110 2# $a Masa Pangmulgwan (Korea)

(Preferred name of place)

Form of name as part of preferred name of a local place:

151 ## $a Seoul (Korea)

(Preferred name for the larger place)

Authorized access point recorded in 370:

370 ## $e Seoul (Korea) $2 naf

Form of name as an addition in an access point:

110 2# $a Chijangam (Seoul, Korea)

(Preferred name of local place modified per RDA 16.2.2.4)
Geographic name in LC/NAF:
151 ## $a Shiner (Tex.)
(Abbreviation for the larger place per RDA B.11)

Authorized access point recorded in 370:
370 ## $g Shiner (Tex.) $2 naf

Form of name as an addition in an access point:
130 #0 $a Gazette (Shiner, Tex.)
(Preferred name of local place modified per RDA 16.2.2.4)

Other place name in LC/NAF:
110 2# $a Auschwitz (Concentration camp)

Authorized access point recorded in 370:
370 ## $a Auschwitz (Concentration camp) $2 naf

If there is no authorized access point for the place in the LC/NAF, it is not necessary to create an NAR in order to code the 370 field. Use the RDA preferred name for the place, but note that when there is no authorized source, a subfield $2 cannot be added. For non-jurisdictions, prefer names from an authorized vocabulary such as LCSH and identify the source in subfield $2. If the name is not found in an authorized vocabulary, record it in field 370 without giving a subfield $2 (it is not necessary for SACO participants to submit a subject heading proposal.)

When determining when to create a name authority record for a geographic name, consult the “Name Authority Records (NARs)” section of DCM Z1, Introduction.

Repeatability:
In choosing between repeating a field vs. repeating a subfield: If the only addition to an existing field is an additional term from the same vocabulary, repeat the affected subfield. If the vocabulary source differs, or if another associated element differs (such as a range of dates), repeat the field. Overall best practice: repeat the field when needed for clarity.

Subfield $s – Start period and Subfield $t – End period
Follow the LC/PCC practice for subfield $s and subfield $t provided in the 373 field.

Subfield $u – Uniform Resource Identifier and Subfield $v – Source of information
Follow the LC/PCC practice for subfield $u and subfield $v provided in the 046 field.

SARs

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

PCC series practice: Record the place of origin of the work in field 370, unless it is merely a place of publication or other place associated with a manifestation (use field 643, when appropriate, for the latter). Although the “place of origin” of a serial work may be the same as the place of publication of the
component part for which the SAR (or serial bibliographic record) was created, use judgment in
distinguishing between place of origin of the work and a place of publication not actually related to the
work itself.
372 Field of Activity

General

Prefer controlled vocabulary, such as LCSH or MeSH, recording the source in subfield $2. For consistency, capitalize the first term in each subfield $a.

If using an LCSH subject heading string for field of activity, replace the subfield coding for the subdivision(s) with two hyphens and close up the spaces between the main heading and subdivision(s).

Example:

372 ## $a Japan--History $2 lcsh

If using an entity from the LC/NAF for field of activity, remove any subfield coding not authorized for use in the 372 field.

Example:

Authorized access point in LC/NAF:

130 #0 $a Bible. $p New Testament

Field of activity in 372:

372## $a Bible. New Testament $2 naf

Repeatability:

In choosing between repeating a field vs. repeating a subfield: If the only addition to an existing field is an additional term from the same vocabulary, repeat the affected subfield. If the vocabulary source differs, or if another associated element differs (such as a range of dates), repeat the field. Overall best practice: repeat the field when needed for clarity.

Example:

372 ## $a Poetry $2 lcsh
372 ## $a Craft brewing

(372 fields with a term from LCSH and a non-controlled vocabulary term)

Subfield $s – Start period and Subfield $t – End period

Follow the LC/PCC practice for subfield $s and subfield $t provided in the 373 field.

Subfield $u – Uniform Resource Identifier and Subfield $v – Source of information

Follow the LC/PCC practice for subfield $u and subfield $v provided in the 046 field.
373 Associated Group

General

Prefer a controlled vocabulary, such as the LC/NACO Authority File, recording the source in subfield $2. Subfield coding for subordinate bodies is not used in the 373 field.

Examples:

Corporate name in LC/NAF:
110 2# $a Washington Wizards (Basketball team)

Authorized access point in 373:
373 ## $a Washington Wizards (Basketball team) $2 naf

Corporate name in LC/NAF:
110 1# $a United States. $b Congress. $b Senate

Authorized access point in 373:
373 ## $a United States. Congress. Senate $2 naf

Repeatability:

In choosing between repeating a field and repeating a subfield: If the only addition to an existing field is an additional term from the same vocabulary, repeat the subfield. If the vocabulary source differs, or if another associated element differs (such as a range of dates), repeat the field. Overall best practice: repeat the field when needed for clarity.

Examples:

NAR with 373s with subfield $2 and dates:
373 ## $a Chicago Bulls (Basketball team) $2 naf $s 1984 $t 1993
373 ## $a Chicago Bulls (Basketball team) $2 naf $s 1995 $t 1998
373 ## $a Washington Wizards (Basketball team) $2 naf $s 2001 $t 2003

NAR with 373s with different vocabulary sources:
373 ## $a Royal Canadian Mounted Police. Liaison Branch $2 lacnaf
373 ## $a Buffalo State College $2 naf

Subfield $s – Start period and Subfield $t – End period

Best practice: Although the MARC format does not specify a form of date in these subfields, the following practice is recommended for consistency. Input dates using the Gregorian calendar in the form yyyy. If more specific dates are necessary, consider recording them in another field (e.g., 670, 678). It is not necessary to reformulate dates in existing NARs to conform to this practice.

Subfield $u – Uniform Resource Identifier and Subfield $v – Source of information

Follow the LC/PCC practice for subfield $u and subfield $v provided in the 046 field.
381 Other Distinguishing Characteristics of Work or Expression

General

This field is used to record the RDA elements other distinguishing characteristic of work (RDA 6.6) and other distinguishing characteristic of expression (RDA 6.12). Other characteristics of expressions that are unique to musical works (see RDA 6.18.1.4-6.18.1.6) may also be recorded in the 381 field.

Examples:

100 1# $a Dickinson, Emily, $d 1830-1886. $t Because I could not stop for Death
381 ## $a Fr. 712
(Franklin number recorded as other distinguishing characteristic of work)

130 #0 $a Bible. $p Psalms. $l English. $s New American. $f 1991
381 ## $a New American
(Version recorded as other distinguishing characteristic of expression)

100 1# $a Bach, Johann Sebastian, $d 1685-1750. $t Chorales. $s Vocal scores. $l English
381 ## $a Vocal scores $2 lcgft
(Other distinguishing characteristic of expression of musical work)

Some terms recorded for other distinguishing characteristic of work or expression may be appropriate to record in field 381 and another MARC field for which there is no corresponding RDA element.

For example, a corporate body (such as a publisher) used as an other distinguishing characteristic of work or expression could be recorded in either the 373 field (associated group), the 381 field or both.

Note: Subfield coding for subordinate bodies is not used in the 381 field.

Examples:

130 #0 $a Bible. $l English. $s Gorgias Press. $f 2012
381 ## $a Gorgias Press $2 naf
(Corporate body recorded as other distinguishing characteristic of expression)

130 #0 $a Journal of adult education (University of Zambia. Centre for Continuing Education)
373 ## $a University of Zambia. Centre for Continuing Education) $2 naf
381 ## $a University of Zambia. Centre for Continuing Education) $2 naf
(Corporate body recorded as associated group and other distinguishing characteristic of work)

RDA has no specific element for places associated with expressions, but field 370 subfield Sf (Other associated place) and subfield Sg (Place of origin of work or expression) may be used in authority records for expressions. Some places associated with works or expressions would be considered other
distinguishing characteristic of work or expression in RDA and could be recorded in the 370 field, the 381 field, or both.

Example:

130 #0 $a Ley de Enjuiciamiento Criminal para las Islas de Cuba y Puerto Rico (Cuba; Puerto Rico)
370 ## $f Cuba $f Puerto Rico $2 naf
381 ## $a Cuba $a Puerto Rico $2 naf

(Places used as other distinguishing characteristic of a legal work; recorded in 370 and 381 fields)

Record the RDA element place of origin of work (RDA 6.6) in a 370 field (see DCM Z1, 370 section).

When other distinguishing characteristic of work or other distinguishing characteristic of expression has been used in an authorized access point and is also being recorded as an element in a 3XX field, use the 381 field to record the other distinguishing characteristic. Optionally, also record the same information in any other appropriate 3XX field.

Repeatability:

In choosing between repeating a field vs. repeating a subfield: If the only addition to an existing field is an additional term from the same vocabulary, repeat the affected subfield. If the vocabulary source differs, or if another associated element differs, repeat the field. Overall best practice: repeat the field when needed for clarity.

Subfield $u – Uniform Resource Identifier and Subfield $v – Source of information

Follow the LC/PCC practice for subfield $u and subfield $v provided in the 046 field.
382 Medium of Performance

General

Record the medium of performance using terms from the *Library of Congress Medium of Performance Thesaurus for Music (LCMPT)*, accessible via Classification Web or LC Linked Data Service, when possible. Record the medium of performance by applying the instructions at RDA 6.15.1.3–6.15.1.6 and the associated LC-PCC PSs.

*Note:* the 382 field may also be used in authority records for expressions.

Repeatability:

If the vocabulary source differs, repeat the field. If considered important for identification and access, provide an additional 382 that does not apply these guidelines.

*See Subfield $p – Alternative medium of performance* for recording alternative instruments in a separate 382 field.

Subfield $b – Soloist

Record featured instruments or voices in $b if accompanied by an ensemble consisting of multiple instruments or voices.

*Examples:*

382 0# $b soprano voice $n 1 $a mixed chorus $n 1 $2 lcmpt
*(Solo soprano accompanied by mixed chorus)*

382 0# $b viola $n 1 $a flute $n 1 $a oboe $n 1 $a clarinet $n 1 $a horn $n 1 $a bassoon $n 1 $s 6 $2 lcmpt
*(Solo viola accompanied by flute, oboe, clarinet, horn, and bassoon)*

Do not use $b for featured instrument or voice that is accompanied by a single instrument.

382 0# $a tenor voice $n 1 $a piano $n 1 $s 2 $2 lcmpt
*(Tenor voice accompanied by piano)*

Subfield $d – Doubling instrument

Record a doubling instrument in $d following the appropriate $a and $n combination to which the doubling instrument applies.

*Examples:*

382 0# $a piano $n 1 $d celesta $n 1 $a flute $n 1 $a harp $n 1 $a vibraphone $n 1 $d marimba $n 1 $s 4 $2 lcmpt
*(Solo piano, doubling celesta; solo flute; solo harp; and solo vibraphone, doubling marimba)*

382 0# $a flute $n 1 $d piccolo $n 1 $a flute $n 2 $s 3 $2 lcmpt
*(One flute, doubling piccolo; and two flutes with no doubling instrument)*
Subfield $e – Number of ensembles of the same type

Until further notice, do not use $e. This subfield has not been implemented yet.

Subfield $n – Number of performers of the same medium

Follow these additional guidelines for subfield $n:

1) Do not enclose in parentheses the number recorded in $n.

2) When recording doubling or alternative instruments, use one $n with each instance of $a, $d, and $p terms.

Example:

382 0# $a flute $n 1 $d piccolo $n 1 $d alto flute $n 1 $d bass flute $n 1 $s 1 $2 lcmpt
(Solo flute, doubling piccolo, doubling alto flute, and doubling base flute)

3) Do not use $n for an uncertain number of performers of the same medium or a term representing a group.

Subfield $p – Alternative medium of performance

Alternative instruments may be recorded in $p following the appropriate $a, $b, or $d in a single 382 field.

Example:

382 0# $a violin $n 1 $p clarinet $n 1 $s 1 $2 lcmpt

Alternative instruments may also be recorded in a separate 382 field, using $a.

Example:

382 0# $a violin $n 1 $s 1 $2 lcmpt
382 0# $p clarinet $n 1 $s 1 $2 lcmpt
(Second 382 field used for alternative instrument)

Subfield $r – Total number of individuals performing alongside ensembles

Until further notice, do not use $r. This subfield has not been implemented yet.

Subfield $s – Total number of performers

Do not use $s when the medium includes terms for indefinitely populated ensembles, e.g., orchestra, jazz ensemble, rock band, etc.

Subfield $t – Total number of ensembles

Until further notice, do not use $t. This subfield has not been implemented yet.
**Subfield $v – Note**

Follow these additional guidelines for subfield $v:

1) Record $v following $a, $b, $d, or $p when describing the nature of a specific medium component.

2) Record $v following $n or $e when describing the numbering of a specific medium component, including number of hands.

   Example:
   
   382 0# $a piano $n 2 $v piano, 4 hands $s 2 $2 lcmpt

3) Record $v directly preceding $2 when describing the performing forces as a whole or in case of doubt about placement.

4) Record the key of the instrument in $v if considered important.

   Example:
   
   382 0# $a clarinet $v in A $n 1 $a piano $n 1 $s 2 $2 lcmpt
670  Source Data Found

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.

This 670 section covers the following topics:
- Introduction
- Format of 670 fields
- Recording names and titles
- Recording dates
- Justifying variant access points
- Justifying other elements
- Recording other data
- Special types of citations

**Introduction**

The purpose of this field is to record information about the name or title represented in the 1XX field. It includes facts that contribute to the identification of the entity, that justify the choice of the name or title and any additional elements used to construct the authorized access point (1XX). The information also justifies, as needed, variant forms of the name or title (4XX), other identifying elements (046 and 3XX), and clarifies relationships between the 1XX and other entities in the file.

**Functions of the 670 field:**

- To record information, from sources (e.g., books, phone calls, websites), in support of the choice and form of the authorized access point, variants, and other identifying elements
- To store information that may be used to break a conflict later
- To record information on relationships between entities (e.g., a person is the author of a work, a corporate body was absorbed by another corporate body)
- To identify a person with works in diverse subject areas or of diverse forms
- To identify different individuals whose access points must remain identical for now (i.e., undifferentiated personal names)
- To clarify whether different forms of a name or of a title are simply variations or reflect a change in the name or title
- To record research required by the current guidelines
- To facilitate authority and bibliographic file maintenance, i.e., the information in 670 fields aids in making decisions about duplicate authorized access points and misattributions
- To support machine manipulation based on algorithms using information in the 670

The examples given throughout the following text have various conventions in regard to punctuation and style. These conventions are not prescriptive and should be considered as best
practices to facilitate the exchange of information in a shared database environment. Catalogers are expected to use judgment and common sense. Punctuation and style need not be consistent from record to record as long as the information is clear and accurate.

Generally, the first 670 field cites the resource for which the authority record is being established, i.e., the resource being cataloged; give subsequent 670 fields in any order, adding new fields after existing ones. Do not routinely delete or change existing 670 fields when adding new 670 fields.

If the resource being cataloged or consulted provides no information to justify the authorized access point, variants, or other elements recorded in the NAR, see the 675 section of DCM Z1 for instructions on citing the resource in a 675 field.

It is not necessary to include a 670 field for every reference source consulted; use judgment in deciding what sources are important enough to retain in the permanent authority record. For example, an NAR does not serve as a biographical sketch of a person, nor as an account of the detailed history of a corporate body.

**Format of 670 fields**

**General**  
With the exception of the eszett (ß or ſʒ) and the euro sign (€), (all characters found in the MARC code table: http://www.loc.gov/marc/specifications/specchartables.html, are valid for use in authority records contributed to the LC/NACO Authority File (see LC-PCC PS 1.4).

If a substitution for a symbol that cannot be reproduced is given in brackets (see LC-PCC PS 1.7.5), an explanation of that interpolation may also be provided.

**Example:**


Data must be given in romanized form. Normally it is understood that the cataloger has provided the romanization; therefore, when transcribing romanization found in the source, add after it the bracketed phrase [in rom.]. In such languages as Arabic and Hebrew, where vowels are commonly omitted from the orthography of texts, the cataloger supplies the missing vowels when transcribing data. When transcribing text that does include the vowels, add after it in brackets [voc.] or [part voc.] as appropriate.

If a cataloger chooses to provide nonroman script variant access points, the 670 $b should contain both the nonroman script transcription(s) found in the source, and the systematically romanized form(s).

**Example:**

670 ## $a Seun sangga kũ isang, 2015: $b t.p. (세운 상가 = Seun Sangga)

When authority records are created using automated authority generation programs, additional information may be included. This data may also be formatted in a different way than instructed in this
document. Generally, this data should be retained as generated to maintain the cost effectiveness of this process unless the data is confusing or causes validation errors. The exceptions to this are 1) names and titles for which NARs are created and 2) BGN citations. Follow the instructions in those sections for recording this data.

**Subfield $a – Source citation**

A 670 field should include the following data in subfield $a:

1) The title proper of the resource being cited, complete enough for later identification in an online catalog. Abbreviations and ellipses may be used. Precede a generic or indistinctive title with the creator’s name that would begin the authorized access point for the work. If the authorized access point for the work is the same as the title proper plus a qualifier, it may be provided instead of the title proper to avoid ambiguity. When information in subfield $a$ of a 670 field is provided to justify an authorized or variant access point, follow the additional instructions at *Recording names and titles*.

2) The date of publication.

*Examples:*

670 ## $a Barlow, Nadine G. Mars, 2008: $b t.p. ([data])

670 ## $a Socialism (Routledge (Firm)), 2003: $b $b t.p. ([data])

Also see the guidelines below for specific categories:

- **Multipart monographs.** If the part is the first part, give the date of publication as an open date.

- **Serials other than monographic series.** Generally, use a chronological designation instead of a publication date. If there is no designation date, use the numeric designation and the date of publication. Indicate, following the designation statement, if a “surrogate” was used.

  670 ## $a The Verdict, February 1975: $b t.p. ([data])

  not 670 ## $a The Verdict, vol. 2, no. 1 (Feb. 1975): $b t.p. ([data])

  670 ## $a Studies in Confederate history, No. 1 (1966), surrogate: $b cover ([data])

  not 670 ## $a Studies in Confederate history, 1966, surrogate: $b cover ([data])

- **Integrating resources.** Apply the instructions at RDA 2.2.4.2 for source of the title proper of a website. Identify the iteration from which information was taken (e.g., “viewed on” dates for updating websites, update number or release number for updating loose-leafs).
Subfield $b – Information found

A 670 field should include the following data in subfield $b:

1) The specific location(s) of the information found. For multipart resources with numbered parts, provide the designation of the part and the location within the part (e.g., v. 6, page 10; map recto, label). Abbreviations may be used (e.g., t.p., jkt., v. 6).

2) Information found. Following the location, cite the information found there, enclosed in parentheses. As appropriate, give multiple occurrences of information from the same source following the location of the information. (Note: In SARs, the parenthetical statement of the form of title proper was omitted until June 1989.)

Examples:

670 ## $a The complete guide to creating enduring festivals, 2015: $b t.p. (Dr. Ros Derrett, OAM) p. xi (Roslyn Derrett)

670 ## $a Da real world, 1999: $b container (Beyoncé)

670 ## $a The World Book encyclopedia, 2010: $b v. 17, p. 106 (Sand, George; 1804–1876; pen name of Amantine-Lucile-Aurore Dupin)

Also see the guidelines below for specific categories:

- **ECIPs.** If the authorized access point (1XX) is being constructed from an ECIP at the galley stage, precede the first location with “ECIP” (e.g., ECIP t.p., ECIP data view).

  670 ## $a Arts-based research in education, 2008: $b ECIP t.p. (Richard Siegesmund) galley (associate prof. in the Lamar Dodd School of Art, Univ. of Georgia)

- **Internet resources.** For websites, provide the name of the location within the website if appropriate (e.g., about us; history, timeline; government, executive branch).

  670 ## $a Amistad Research Center (Website), viewed on May 23, 2016: $b history of the center (Amistad Research Center; established in 1966)

- **Multiple locations within a resource.**

  - **ECIP and published resource.** When adding to a 670 field created for an ECIP indicate that the new information is from the published resource.

    670 ## $a New literacy narratives from an urban
NARs. For NARs, generally, use “etc.” to avoid giving more than two locations or a sequence of locations (e.g., p. 316, etc., for sequence p. 316-325, 329-331).

670 ## $a Drevon, André. Alice Milliat, 2005: $b t.p. (Alice Milliat) p. 9, etc. (b. Alice Joséphine Marie Million on May 5, 1884 in Nantes; d. May 19, 1957; female athlete)

SARs. For SARs, always give each location separately.

Note: Specific location was not given on “n42-” (retrospective) SARs.

PCC series practice: In post-cataloging authority work without the piece in hand, use the location “resource not in hand.” If the piece is examined again and the authority record is updated, it is allowable to edit the corresponding 670 field to provide a location and additional forms of series titles as needed.

670 ## $a From child to adult, 1970: $b resource not in hand (American Museum sourcebooks in anthropology)

Subfield $u - Uniform Resource Identifier and Subfield $v - Source of the information
Follow the LC/PCC practice for subfield $u and subfield $v provided in the 046 field.

Catalogers may optionally provide a uniform resource identifier (URI) in subfield $u of the 670 citation to link to the cited resource if it contains significant information related to the established entity that cannot be cited succinctly in the authority record. Note that use of a URI in the 670 $u does not take the place of the requirement to cite relevant data in subfields $a and $b of the 670 field needed to support the authorized access point (including additions) or variants (this information will continue to be available if the site changes or disappears). However, information found in online sources may be added to the 046 or 3XX fields with the appropriate citations in subfields $v and $u and not repeated in a 670 when that information is not used in the 1XX or a 4XX. If a URI is included in a 670, it must be given in subfield $u.

Example:

670 ## $a British Oceanographic Data Centre, viewed on 23 November 2009: $b about us (British Oceanographic Data Centre, National Environment Research Council; BODC, is a national facility for looking after and distributing data concerning the marine environment) $u http://www.bodc.ac.uk/

Recording names and titles

Record names or series titles used in the authorized access point or variant access points in full, as they appear in the source, without abbreviation by the cataloger.
When preparing an authority record for the text of a law or a subject compilation of laws, if a source being cited contains an official short title or citation title, cite that title, preceded by the term “citation title” and its exact location.

Example:

670 ## $a Workers' compensation law of the state of North Carolina, c1980: $b t.p. (Workers' compensation law of the state of North Carolina) citation title, p. 49 (The North Carolina Workers' Compensation Act)

For corporate name authorities, include in the data cited all the hierarchy required to justify needed variant access points. Use judgment in deciding what information (e.g., subordinate body’s name) is extraneous to the record being created and should not be recorded.

For all of the above categories, if the only presentation of the name or title on the chief source of information is in the bibliographic title given in subfield $a of the 670 citation, repetition of the name in subfield $b may be omitted, provided no important information is lost.

If information about an earlier or later name or title is found in the same source as the name or title in the authorized access point, give all the information in the 670 field. Do not separate the information about the earlier or later name or title in order to give it in a 675 field.

Example:

670 ## $a Strafvollzug, 1985: $b t.p. (Rechtsgeschichte) p. 2 (Continues: Veröffentlichungen / Justizministerium Nordrhein-Westfalen)

Recording dates

To facilitate international contribution and use of authority records, when recording dates, generally use the spelled out or abbreviated forms for months as the U.S. practice for recording dates using numerals differs from the practice in some other countries. (For dates recorded using automated authority generation programs, see the Format of 670 fields section of this document.) Do not change the style of dates in existing records. As a best practice, if a date is not included in subfield $d of the 100 field, consider adding a 046 field if dates are available.

Justifying variant access points

Justify names or titles given as variant access points by information cited from sources. However, justification is not required in the following cases:

1. Variant access points made on the basis of the cataloger’s awareness of different romanizations or orthographies;
(2) A variant title derived from the resource being cataloged, from other resources cataloged under the same access point, or from information in standard reference sources;

(3) References for authorized access points of corporate bodies reflecting changes due to national orthographic reform, changes in names due to an official language change, or changes involving only a parent body to which the body being established is subordinate.

(4) Optional references from AACR2 or pre-AACR 2 forms on SARs and on retrospective NARs.

**Justifying other elements**

Information recorded in the 046 or 3XX of the authority record should generally be justified unless it is otherwise obvious from information recorded in subfield $a of a 670 citation or it can be easily inferred from other identifying elements recorded, including the preferred name.

For the 046 field and many of the 3XX fields, a subfield $u or subfield $v recorded in the same field may be used instead of or in addition to a 670. See the 046 section of this document for guidelines on subfield $u and subfield $v.

**Recording other data**

**NARs.** Use judgment to determine how much data to record in the authority record. Do not abbreviate or translate attributes such as title of the person (RDA 9.4) that appear in conjunction with personal names in statements of responsibility and that potentially could be used as part of the access point. Other data may be abbreviated or summarized. Generally informally translate other data from foreign languages into English, paraphrasing or summarizing as convenient.

**SARs.** Use judgment to determine how much data other than forms of the title/phrase to record in the permanent authority record. Numbering and names of issuing bodies are not required but may be given.

**Special types of citations**

The most commonly occurring citations are listed below. If these are not appropriate, devise others as needed.

**LC/NAF.** When converting information found in obsolete or non-active MARC fields (e.g., 664, 665, 666) into a 670 note, cite the LC/NAF in a citation such as those provided in the examples below:

```
670 ## $a Info converted from 665 field in this record, [date of conversion] $b ([data converted from 665 field])
```

```
670 ## $a 665 info formerly in this record $b ([data moved from 665 field])
```
**LC database.** For LC catalogers not working in OCLC, “LC database” as used in a 670 subfield $a equals name and series authority records and bibliographic records with the following values in the 906 $b: cbc, cbu, rip, par, and vip. Note that PREMARC records are now included in those categories of bibliographic records. (LC catalogers: See the separate document about policy decisions related to local authority control and PREMARC records.

For LC catalogers working in OCLC and for NACO participants, there is no change in what is considered to be the “LC database” as used in 670 subfield $a.

**NARs.** Give the date of the search, using month abbreviations. In parentheses, prefaced by the label **access point:**¹ (or **MLC access point:** if appropriate), give the access point (or access points) found, even if it is the same as the current authorized access point.

If different forms of the name appear in the bibliographic records, record the access point and also any forms found, including usage identical to the authorized access point. Separate the access point from the other forms, and preface the other forms with an appropriate label, e.g., **usage:**² or **non-transcribed form:**³. Do not normally cite specific bibliographic records or the exact location of the variations found.

670 ## $a LC database, Jan. 5, 2015 $b (access point: Smith, Julius Harold, 1924--; usage: J. Harold Smith)

670 ## $a LC database, Mar. 11, 2016 $b (access point: Swedish American Corporation; non-transcribed form: Swedish American Corp.)

**SARs.** Give the date of the search, using month abbreviations, followed by the citation of the bibliographic record. In parentheses give the series statement found in that record.

670 ## $a LC database, Nov. 28, 1983, Les Déchets ménagers, c1980 $b (Les cahiers de l'AGHTM)

**Minimal level cataloging records and less than fully authenticated serial records.** Authority work normally has not been done for access points used in minimal level cataloging records and

¹ Formerly these citations were given using the labels **hdg.:** and **MLC hdg.:** Do not change existing citations using these labels.

² “Usage” for bibliographic records refers to the transcribed forms of name usually found in statements of responsibility of bibliographic records. It may also appear in other parts of the bibliographic record such as a title proper or a quoted note. Because of changes in cataloging instructions, catalogers should be careful when taking information from the publication statement, distribution statement, etc. and the series statement.

³ “Non-transcribed form” for bibliographic records refers to a form of the name that may not represent a transcribed form. For example, in AACR2 records, a publisher’s name that appeared on the resource as “ABC Publishing Company” might have been recorded in the publication statement as “ABC Pub. Co.” Normally, there is no need to cite such a form in a 670 field. Formerly, this citation was given as **variant:** (not the same as a variant citation for another database such as GEOnet or a variant form of name found on a resource). Do not change existing citations using this label.
less than fully authenticated serial records (authentication field 042 does not contain any one of the codes lc, lcd, nlc, or gpo). It may be necessary to reconsider the construction of the authorized access point. If the authorized access point is different, do necessary bibliographic file maintenance. Also, an MLC or less than fully authenticated serial record might provide useful information, such as a birth date not given elsewhere or usage not otherwise available. Do not routinely cite MLC access points. However, when the information is useful, document its source in the 670 field, e.g., MLC access point: or Less than fully authenticated serial usage:

**LC manual authority card.** LC practice: When formulating the 670 citation for a manual authority card citation, use either LC manual auth. cd. or LC manual cat. (i.e., authority and bibliographic records) as appropriate. Summarize and record data found, without specifying individual works cited on the manual authority card or other sources of information which may have been mentioned there.

**Citing other files or catalogs.** If an access point is found in a manual catalog or online database, use judgment in creating a 670 citation. Begin the 670 field with a designation of the catalog/database in which these other bibliographic records were found. There is no prescribed formulation of such citations; examples are listed below:

```
670 ## $a LC in OCLC, [date] $b ([data])
670 ## $a M/B/RS Collections Authority file $b ([data])
670 ## $a New Delhi MARC file $b ([data])
670 ## $a MWA/NAIP files $b ([data])
670 ## $a NUC pre-56 $b ([data])
670 ## $a NRMM $b ([data])
670 ## $a BNF in VIAF, [date] $b ([data])
```

Library of Congress staff working with the National Union Catalog (NUC) reports used specific library reports in the 670 citations when creating name authority records.

```
670 ## $a nuc85-70017: Lower and middle Pennsylvania stratigraphy ... 1982 $b (hdg. on AAP rept.: Sutherland, Patrick Kennedy, 1925- ; usage: Patrick K. Sutherland)
```

**BGN.** Provide the name of the database and the date searched in subfield $a. For domestic names, cite GNIS. For foreign names, cite GEOnet. In subfield $b provide names given for the entity, feature designation or class (e.g., ADM1, PPL, civil) coordinates, and name of larger place if appropriate. (Other relevant information may also be provided.) For foreign names, convey the name type by adding within brackets after the name, e.g., [conventional], [approved], [short]. Repeat the brackets after each name of this type. Variant names (including non-roman script names) may be given in a single listing as shown below. If possible, use the degree sign (not superscript zero) to show degrees, use the miagkii znak (modifier letter prime) for minutes and the tverdyi znak (modifier letter double prime) for seconds.

```
670 ## $a GNIS, viewed May 5, 2016 $b (Alleghany County: civil,
```

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4 GNIS (US domestic names; URL: http://geonames.usgs.gov/pls/gnispublic); GEOnet (foreign names; URL: http://geonames.nga.mil/gns/html)
Non-bibliographic sources. Give the non-bibliographic source, the date, and the information. The source can be given specifically (“Letter from author,” “Phone call to publisher,” etc.) or in general terms (“Information from author,” “Information from publisher,” etc.). When noting a specific source, it isn’t necessary to show how information was received, e.g., that letter was received via FAX rather than via mail. When a telephone call to a publisher/agency/organization is cited, usually give the name of the group called, rather than the title or name of the person contacted.

670 ## $a Phone call to H. Jones, Jan. 31, 1992 $b (Harry Jones is real name of Lionel Jones)


670 ## $a Information from publisher, Feb. 6, 1991 $b (James Allan's middle name is Stephen, not Steven)

670 ## $a Email from publisher, April 3, 2016 $b (__________)

Citations for republication SARs. If an SAR is for a republication only, begin the 670 with the term for the type of republication and a slash. Do not include a 670 for a republication if the SAR covers both the original and one or more republications. Do not add additional 670 fields for other types of republications cataloged later. (See 64X Series Treatment, Republications for more information about republications.)


Citations for undifferentiated NARs. For information on existing 670 citations found in undifferentiated NARs, see DCM Z1, 008/32 Undifferentiated Personal Name.
001  Control Number

NACO:

Control numbers used in name/series authority records contributed through NACO have two character alphabetic prefixes (records originally contributed 2001+) or three character alphabetic prefixes (records originally contributed prior to 2001). The prefix is carried as lowercase characters; it is left justified and unused positions contain blanks. The valid control number prefixes for name and series authority records are (# = blank):

- n## Name and series authority records originally input prior to 2001 using LC’s internal system
- n# Name and series authority records originally input 2001+ using LC’s internal system
- nb# Name and series authority records originally contributed prior to 2001 via the British Library
- nb Name and series authority records originally contributed 2001+ via the British Library
- no# Name and series authority records originally contributed prior to 2001 via OCLC
- no Name and series authority records originally contributed 2001+ via OCLC
- nr# Name and series authority records originally contributed prior to 2001 via RLIN
- nr Name and series authority records originally contributed 2001-2007 via RLIN
- ns Name and series authority records originally contributed 2010+ via SkyRiver

SACO:

Subject authority records are not normally contributed in machine-readable form from sources outside the Library of Congress.

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LC:

NAMES/SERIES:

Library of Congress and NACO control numbers have the same structure. See NACO section above.

Control numbers for name/series authority records created using LC’s internal system have the following alphabetic prefix:

- n## Name and series authority records originally input prior to 2001
- n# Name and series authority records originally input 2001+

Name/series authority records created by LC catalogers using OCLC or RLIN have control numbers beginning with the prefixes “no” or “nr” as above.
SUBJECTS:

Control numbers for subject authority records created using LC’s internal system have the following alphabetic prefixes:

sh# Subject heading authority record originally input prior to 2001
sh Subject heading authority record originally input 2001+
sp# Subject (Proposed) authority record originally input prior to 2001
sp Subject (Proposed) authority record input 2001+
sj# Subject (Juvenile) authority record originally input prior to 2001
sj Subject (Juvenile) authority record input 2001+
040 Cataloging Source

NACO:

Do not use subfields:
   $f, $6, $8

SACO:

Do not use subfields:
   $e, $f, $6, $8

LC:

NAMES/SERIES:

Do not use subfields:
   $f, $6, $8

SUBJECTS:

Do not use subfields:
   $e, $f, $6, $8

LC began using subfield $b in 1998.
046 Special Coded Dates

NACO:

046 may be supplied in name/series authority records in the LC/NACO Authority File.

Do not use subfields:
  $q, $r, $6, $8

SACO:

Contact LC’s Policy and Standards Division (policy@loc.gov) before using field 046.

LC:

NAMES/SERIES:

046 may be supplied in name authority records in the LC/NACO Authority File.

Do not use subfields:
  $q, $r, $6, $8

SUBJECTS:

Contact the Policy and Standards Division (policy@loc.gov) before using field 046.
050 Library of Congress Call Number

NACO:

Use this field in series authority records only. Always use second indicator value 4.

Do not use subfields:
$6, $8

Do not use subfield (implementation decision not yet made):
$0

SACO:

Do not use this field.

LC:

NAMES/SERIES:

As of June 1, 2006, LC does not create or update SARs.

Note: Field 050 may contain call numbers that do not follow the Library of Congress classification schedules, for example:

050 00 $a LAW
050 00 $a Microfilm 86/2592 (H)
050 00 $a WMLC L 82/1234

SUBJECTS:

Do not use this field.
053 LC Classification Number

NACO:

NACO participants may use this field to record an LC classification number associated with a personal name heading for an author who has written a work of the imagination, other than a work for children.

Consult LC’s Cooperative Programs Section before using field 053 in name/series authority records if no LC classification number is found on LC created and input bibliographic records (040 = $a DLC $c DLC).

Do not use subfields:
   $6, $8

Do not use subfield (implementation decision not yet made):
   $0

SACO:

Always use second indicator value 0.

Do not use subfields:
   $5, $6, $8

Do not use subfield (implementation decision not yet made):
   $0

LC:

NAMES/SERIES:

Always use second indicator value 0.

Do not use subfields:
   $5, $6, $8

Do not use subfield (implementation decision not yet made):
   $0
SUBJECTS:

Do not use subfields:
$5, $6, $8

Do not use subfield (implementation decision not yet made):
$0

Local Subfield Code

$9 - Local field-level nonprint flag [SUBJECT only]

Use this field in subject authority records to record a single classification number or classification number span associated with a 1XX heading in an established heading record. Use local subfield $9 to control the printing of the field in output products.
060 National Library of Medicine Call Number

NACO:

Do not use subfields:
   $6, $8

Do not use subfield (implementation decision not yet made):
   $0

SACO:

Do not use this field.

LC:

NAMES/SERIES:

Do not use this field.

LC does not maintain this field.

SUBJECTS:

Do not use this field.
065  Other Classification Number

NACO:

Do not use subfields:
  $6, $8

Do not use subfield (implementation decision not yet made):
  $0

SACO:

Do not use this field.

LC:

NAMES/SERIES:

Do not use this field; pass through as supplied.

LC does not maintain this field.

SUBJECTS:

Do not use this field.
070 National Agricultural Library Call Number

NACO:

Field 070 may be supplied only by the National Library of Agriculture in series authority records. Other NACO participants should not supply, update, or delete this field when found in name/series authority records.

Do not use subfields:
   $6, $8

Do not use subfield (implementation decision not yet made):
   $0

SACO:

Do not use this field.

LC:

NAMES/SERIES:

Do not use this field.

LC does not maintain this field.

SUBJECTS:

Do not use this field.
072  Subject Category Code

NACO:
Do not use this field.

SACO:
Do not use this field.

LC:

NAMES/SERIES:
Do not use this field.

SUBJECTS:
As of February 2011 this field may be used in LC distributed subject authority records.

Do not use subfields (implementation decision not yet made):
$x, $6, $8
080 Universal Decimal Classification Number

NACO:

NACO participants may supply the 080 field in series authority records for multipart items at their own discretion. There are no further guidelines for the field.

Do not use subfields:
   $6, $8

Do not use subfield (implementation decision not yet made):
   $0

SACO:

Do not use this field.

LC:

NAMES/SERIES:

Do not use this field.

LC does not maintain this field.

SUBJECTS:

Do not use this field.
087 Government Document Classification Number

NACO:

NACO participants may supply field 087 in name/series authority records at their own discretion.

Do not use subfields:
   $6, $8

Do not use subfield (implementation decision not yet made):
   $0

SACO:

Do not use this field.

LC:

NAMES/SERIES:

Do not use this field.

LC does not maintain this field.

SUBJECTS:

Do not use this field.
370 Associated Place

NACO:

370 may be supplied in name/series authority records in the LC/NACO Authority File.

Do not use subfields:
   $0, $6, $8

Do not use subfields (implementation decision not yet made):
   $i, $3, $4

SACO:

Do not use this field.

LC:

NAMES/SERIES:

370 may be supplied in name authority records in the LC/NACO Authority File.

Do not use subfields:
   $0, $6, $8

Do not use subfields (implementation decision not yet made):
   $i, $3, $4

SUBJECTS:

Do not use this field.
382 Medium of Performance

NACO:

382 may be supplied in name/series authority records in the LC/NACO Authority File.

Do not use subfields:
   $0, $6, $8

Do not use subfields (implementation decision not yet made):
   $e, $r, $t

SACO:

Do not use this field.

LC:

NAMES/SERIES:

382 may be supplied in name authority records in the LC/NACO Authority File.

Do not use subfields:
   $0, $6, $8

Do not use subfields (implementation decision not yet made):
   $e, $r, $t

SUBJECTS:

Do not use this field.
386 Creator/Contributor Characteristics

NACO:

386 may be supplied in name/series authority records in the LC/NACO Authority File.

Do not use subfields:
   $0, $6, $8

Do not use subfields (implementation decision not yet made):  
   $i, $4

SACO:

Do not use this field.

LC:

NAMES/SERIES:

386 may be supplied in name authority records in the LC/NACO Authority File.

Do not use subfields:
   $0, $6, $8

Do not use subfields (implementation decision not yet made):
   $i, $4

SUBJECTS:

Do not use this field.
400   See From Tracing – Personal Name

NACO:

Use first indicator value 3 in RDA name and series authority records when providing variant forms of family names.

Do not use subfields:
   $e, $h, $i, $j, $v, $x, $y, $z, $4, $5, $6, $8

NACO usage for subfield $w is given in the LC Guidelines sections for *Tracings and References-General Information-4XX fields*.

SACO:

Do not use subfields:
   $e, $g, $h, $i, $j, $5, $6, $8

SACO usage for subfield $w is given in the LC Guidelines section for *Tracings and References-General Information-4XX fields*.

LC:

NAMES/SERIES:

Use first indicator value 3 in RDA name authority records when providing variant forms of family names.

Do not use subfields:
   $e, $h, $i, $j, $v, $x, $y, $z, $4, $5, $6, $8

Usage for subfield $w is given in the LC Guidelines section for *Tracings and References-General Information-4XX fields*.

SUBJECTS:

Do not use subfields:
   $e, $g, $h, $i, $j, $4, $5, $6, $8

Usage for subfield $w is given in the LC Guidelines section for *Tracings and References-General Information-4XX fields*. 
500  See Also From Tracing – Personal Name

NACO:

Use first indicator value 3 in RDA name and series authority records when providing relationship links to and from family names.

Do not use subfields:
   $e, $h, $j, $v, $x, $y, $z, $0, $4, $5, $6, $8

NACO usage for subfield $w is given in the LC Guidelines section for Tracings and References-General Information-5XX fields.

SACO:

Do not use subfields:
   $e, $g, $h, $i, $j, $0, $4, $5, $6, $8

SACO usage for subfield $w is given in the LC Guidelines section for Tracings and References-General Information-5XX fields.

LC:

NAMES/SERIES:

Use first indicator value 3 in RDA name authority records when providing relationship links to and from family names.

Do not use subfields:
   $e, $h, $j, $v, $x, $y, $z, $0, $4, $5, $6, $8

Usage for subfield $w is given in the LC Guidelines section for Tracings and References-General Information-5XX fields.

SUBJECTS:

Do not use subfields:
   $e, $g, $h, $i, $j, $0, $4, $5, $6, $8

Usage for subfield $w is given in the LC Guidelines section for Tracings and References-General Information-5XX fields.