

Update Information
2011 Update Number 2

<i>DCM</i>	<i>Title</i>	<i>Action/Change</i>
M3	Bibliographic and Authority Database Maintenance in the LC ILS	Revised to update old names, references to superseded documents, and Web links.
M6	Preferences in LC ILS Cataloging	Revised to provide guidelines for newly available preferences stemming from the implementation of Voyager 7.2.0. Also includes updates to old names, references to superseded documents, and Web links.
Z1	Name and Series Authority Records	1XX - Revised to reflect that the VIAF is now the primary searching tool for LAC names verification.
Z1	Name and Series Authority Records	Appendix for LC Staff – Revised to reflect guidelines for searching the VIAF for verification of LAC names.

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M3.1 SUMMARY

DCM M3 presents guidelines for maintaining bibliographic records and name, title, and name/title authority records in the LC ILS database. It does not explain all reasons why record and database maintenance may be necessary; those depend on cataloging guidelines (LCRIs, DCM, etc.) and on practical circumstances. It provides policies for carrying out LC ILS database maintenance once the need to do so has been determined. Although some staff use OCLC to do LC record maintenance, this document chiefly addresses maintenance done in the LC ILS system. Principal guideline topics are modifying records for maintenance purposes (M.3.3.1-M3.3.3, M3.4.1-M3.4.2), canceling records (M3.3.4, M3.4.3), and changes to bibliographic or authority records due to changes in cataloging approach (M3.3.5-M3.3.6, M3.4.4).

Note: Beginning in June 2006, LC catalogers do not maintain series authority records.

For guidelines on maintaining subject heading and classification authority records and subject elements in bibliographic records, see LC's subject cataloging manuals, with special attention to the following:

<i>Subject Headings Manual, H 165</i>	Subject Heading Changes in Bibliographic Records
<i>Subject Headings Manual, H 193</i>	Changing a Heading or Deleting a Subject Authority Record
<i>Classification and Shelving Manual, F 50</i>	Classification Proposals
<i>Classification and Shelving Manual, F 170</i>	Call Number Changes
<i>Classification and Shelving Manual, ILS Supplement, Workflow #20</i>	Changing Call Numbers (www.loc.gov/staff/aba/psd/WF20.PDF)

M3.2 GENERAL GUIDELINES ON MODIFYING RECORDS

M3.2.1 **Basic Policy**

Do maintenance as necessary in bibliographic and authority records in the LC ILS database in accordance with cataloging instructions and procedures used in LC (such as LCRIIs), workflows and operational decisions of LC divisions and units, and cataloger's judgment about the necessity and priority of maintenance for serving user's needs and LC's mission goals.

See M3.3.1 and M3.4.1 for guidance on who performs record maintenance. Use the procedure in M3.2.2 when modifying any records within the LC ILS. Restrict modifications of certain record elements as instructed in M3.3.2, M3.3.5-M3.3.6, M3.4.2, and M3.4.4.

M3.2.2 **Basic Procedure**

Follow these steps when modifying any bibliographic or authority record in the LC ILS:

- 1) Change (add, delete, replace, or move) data in the record as necessary by any of the appropriate available mechanisms (manual keying, cut and paste, record import and merge, macros, etc.).
- 2) Input "\$d DLC" at the end of field 040 if that is not already the last subfield there.
- 3) Save the modified record in the LC ILS database (that is, "boat" it).
- 4) **Apply Validator** to the saved record in order to identify certain basic errors or confirm their absence (see DCM M7).
- 5) Correct any errors discovered in step 4, then repeat steps 3-4.

Exceptions: Some LC staff do bibliographic and authority record maintenance in the OCLC system as part of special workflows. Those staff follow the procedures for bibliographic and authority record maintenance there and have training and authorizations to do so.

M3.3 BIBLIOGRAPHIC RECORD MAINTENANCE

M3.3.1 Distribution Of Responsibility For Maintenance

Background: Your individual LC ILS authorization profile determines what kinds of records you **can** modify in the LC ILS system: bibliographic records, authority records, holdings records, etc. Authorization to modify **any** records of a given type in the LC ILS gives you the ability to modify **all** records of that type there. Therefore, exercise judgment and respect stakeholders' interests when using this ability.

Address the following decision points in the following order when determining whether **you** should carry out modifications in a particular record yourself or get cooperation from colleagues with needed expertise or resources to do it.

- 1) **Eligibility** Is this record eligible for modification within the LC ILS system?
- 2) **Responsibility** Can you do the maintenance needed in this record yourself? Or should you get cooperation from someone with necessary expertise to do it?
- 3) **Workload** Do you absorb maintenance into your local workload? Or do you send maintenance requests to **PSD**?

***Default:* If in doubt concerning who should do maintenance on a record or group of records, send a maintenance request to ABA Policy and Standards Division, Data Integrity Section (ABA/POLICY/DATA), as instructed in M3.3.1.3.**

M3.3.1.1 *Determining eligibility*

Determine first whether a bibliographic record that requires maintenance is a candidate for modification **within the LC ILS system**. Consult the 906 \$g maintenance/stakeholder code and apply the instructions in the following table:

<i>906 \$g Maintenance Prefix</i>	<i>Instruction to catalogers:</i>		
n-	<p>The record is not eligible for maintenance modifications within the LC ILS.</p> <p><i>Background:</i> The “master” record is in another system (usually, OCLC). Staff maintain the record there. CDS gets the changed record for distribution from there, not from the LC ILS database.</p> <p><i>Exception:</i> See DCM C16.10.2.7.2-C16.10.2.7.3 about code “n-rlinjack” in monograph records with data in nonroman scripts after August 20, 2007.</p>		
	<i>906 \$g code</i>	<i>Request cooperation from:</i>	<i>Identifies:</i>
	n-oclserc	ABA serials cataloging (Leader/07 = “s”) or integrating resources (Leader/07 = “i”) cataloging staff	Bibliographic record created and maintained in OCLC
z-	<p>Cataloging staff do not do maintenance in the record.</p> <p><i>Background:</i> The record supports a function other than cataloging (for example, acquisitions) and staff serving that function do maintenance as necessary.</p>		
y-	<p>The record is eligible for maintenance modifications within the LC ILS.</p> <p>Determine next whether maintaining the record fits your expertise or requires cooperation from other staff (see M3.3.1.2). See instructions in M3.3.2.5 on maintaining monograph records with data in nonroman scripts.</p>		
<ul style="list-style-type: none"> • <i>Note:</i> If a serial record lacks 906 \$g, assume the code is “n-oclserc”. • <i>Note:</i> If a serial record has only “ilsserca” in 906 \$g, assume the code is “y-ilsserca”. • <i>Note:</i> If any other bibliographic record lacks 906 \$g and needs maintenance, send a request to PSD. 			

M3.3.1.2

Determining responsibility

If a bibliographic record is eligible for modification within the LC ILS (see M3.3.1.1), determine next whether **your** expertise is appropriate for doing maintenance in **that** record. Make the following decisions in the following order.

Heading-only or non-heading maintenance?: If the record requires **maintenance only in headings**, generally you (individual/unit) can do the maintenance

yourself (see also M3.3.2.1). If the record requires **changes in other record elements** (in addition to or instead of heading changes), proceed to the next decision point, considering the record's processing status.

In-process record or previously cataloged?: If the record is still an **in-process record** (that is, 906 \$b has "ibc" or "vip") and you (individual/unit) have the ability to complete it as well do any maintenance, generally you should do so. If you are not able to do that, give the record and a maintenance request to the individual or unit working on it, as identified in field 955. If there is difficulty identifying any such individual or unit, give the record and a maintenance request to ABA Policy and Standards Division.

If the record is a **previously completed record** (that is, 906 \$b has any other value than "ibc" or "vip"), proceed to the next decision point, considering whether your (individual/unit) expertise and resources are sufficient for doing the maintenance required in that record.

Do it yourself or get someone's cooperation?: If you (individual/unit) have expertise and resources appropriate for performing the non-heading maintenance in the previously cataloged record, generally you can do so. Decide whether to absorb the maintenance workload or send a maintenance request instead to ABA/POLICY/DATA (see M3.3.1.3).

If doing the maintenance needed in the record requires expertise or resources that you (individual/unit) cannot provide, get the cooperation of colleagues with the necessary expertise and resources. Stakeholder codes in 906 \$g indicate likely sources of cooperation, as shown in the following table. If in doubt about where to get the cooperation you need, send a maintenance request to ABA/POLICY/DATA.

Code in 906 \$g:	<i>Good sources of cooperation to do non-heading maintenance:</i>
y-geogmaps	Geography and Map Division, Technical Services Section
y-folklife	American Folklife Center
y-gencompf	ABA electronic resources cataloging staff
y-gencatlg	ABA cataloging staff
y-genmicro	<i>United States materials:</i> USAN, US Serials and Microforms Section <i>Non-US materials:</i> ABA microforms cataloging staff in appropriate divisions
y-genmusic	Music Division, Bibliographic Access Section
y-genrareb	USAN, Rare Materials Section
y-manuscri	Manuscript Division

Code in 906 \$g:	<i>Good sources of cooperation to do non-heading maintenance:</i>
y-movingim	Motion Picture, Broadcasting, Recorded Sound Division, Moving Images
y-nonroman y-rlinjack n-rlinjack	ASME or GS division, appropriate sections
y-printpho	Prints and Photographs Division, Technical Services Section
y-soundrec	Motion Picture, Broadcasting, Recorded Sound Division, Recorded Sound
n-oclserc	ABA serials cataloging staff (if Leader/07 has “s”) or integrating resources cataloging staff (if Leader/07 has “i”)
y-ilsserca ilsserca	ABA serials cataloging staff
y-undeterm n-undeterm	ABA Policy and Standards Division, Data Integrity Section

M3.3.1.3

Distributing workload

Do record maintenance as needed within the local unit or send maintenance requests for the records to ABA/POLICY/DATA. Units determine their own criteria for that decision. Number of records affected is not necessarily a deciding factor.

If keeping the maintenance work within the local unit, expedite completion of the record maintenance through the local workflow as soon as possible. If sending maintenance requests for it to ABA/POLICY/DATA, submit such requests promptly, as instructed below.

Include the following information in every database maintenance request submitted to ABA/POLICY/DATA:

- LCCNs of records needing maintenance (or instruction to make heading changes **in all records**)
- exact description(s) of change(s) required
- name and email address of person submitting request

Submit maintenance requests to ABA/POLICY/DATA by using the electronic Database Maintenance Request form available at www.loc.gov/staff/aba/psd/dbiu-form.php. If circumstances make them more practical, other methods of communication (such as email to dbiu@loc.gov or internal mail to ABA/POLICY/DATA, mail stop 4261) are also acceptable, provided they include all necessary information, as described above.

M3.3.2 Guidelines For Doing Record Maintenance

Use the procedure in M3.2.2 when modifying any LC ILS database bibliographic record for maintenance purposes. Additionally, follow the bibliographic maintenance guidelines in M3.3.2.1-M3.3.2.4 when applicable.

M3.3.2.1 *Heading maintenance guidelines*

When a bibliographic record requires only heading maintenance, only take actions necessary to modify the heading for which you are doing maintenance. Do not routinely review other headings or data in the record(s) for possible maintenance opportunities, but fix obvious errors as necessary when you become aware of them in passing (for example, when Validator reports them).

M3.3.2.2 *CIP pre-publication record modification guidelines*

Apply the special instructions in M3.3.2.2.1-M3.3.2.2.2 to monograph and integrating resource bibliographic records with the following characteristics:

- Leader/17 (encoding level) = “8”
- 263 is present and has a value **other than** “1111”
- 906 \$b has a value **other than** “ibc” or “vip”

In all other cases apply regular maintenance procedures.

M3.3.2.2.1

General procedures

- 1) Follow regular procedures for distributing maintenance responsibility (see M3.3.1) and making necessary modifications in the bibliographic records.
- 2) Leave the 906 \$a value as “7” (distribute record) during the modification process.
- 3) If record maintenance requires the work of more than one staff person, forward the item **promptly** according to regular workflow procedures.
- 4) *Last staff person completing the record modifications:* Change the code in 906 \$b of the record and notify CIP Publisher Liaison Section (USPL/CIPL) according to instructions in M3.3.2.2.2.

M3.3.2.2.2

Notification of CIP pre-publication changes

When making changes in CIP pre-publication records, apply codes “rix” and “rip” in 906 \$b as instructed in the following table.

<i>Make 906 \$b value:</i>	<i>Conditions for application:</i>
<p style="text-align: center;">rix</p> <p>Revised data are not sent to publisher.</p>	<p><i>If either:</i></p> <p>1) Changes are only in one or more of the following:</p> <ul style="list-style-type: none"> • content designation • Leader, 008, 006, 007 • 020 • 04X • 260 or related date in 050 • 263 • 9XX <p><i>or:</i></p> <p>2) Field 263's date is more than one year old (with change anywhere in the record)</p>
<p style="text-align: center;">rip</p> <p>Revised data are sent to publisher.</p>	<p><i>If both:</i></p> <p>1) Changes are in any aspect of the record other than those listed above in (1) for “rix” (including but not limited to headings)</p> <p><i>and:</i></p> <p>2) Field 263's date is one year or less old or has not arrived yet</p>

Notify US and Publisher Liaison Division, CIP Publisher Liaison Section (USPL/CIPL), of changes made in a CIP pre-publication record, using a method corresponding to the way the item came to you for maintenance (for example, through the ECIP traffic manager if the maintenance request came that way, or using a printout and CIP Problem Routing Slip if you initiated the changes based on items or information in hand). If USPL/CIPL sent physical pieces to you with a change request, return the package there.

M3.3.2.3

Specific elements

Bibliographic record element	<i>Instructions</i>
Leader/06 (Record type)	See M3.3.5.
Leader/07 (Bibliographic level)	See M3.3.6.
010 \$a (LCCN)	<p>Do not change the LCCN in 010 \$a of a bibliographic record.</p> <p><i>Exception:</i> LC/CONSER serials catalogers, following procedures in <i>CONSER Editing Guide</i> C2.2.2 and working in OCLC, are able to delete a bibliographic record from the CONSER distribution database, change the LCCN in 010 \$a, and re-add the record with the new LCCN to the CONSER database, when that is appropriate.</p> <p>Do not re-use LCCNs from canceled bibliographic records in new records.</p> <p><i>Exception:</i> Designated CIP staff are authorized and trained to determine individual cases when CIP- or PCN-assigned LCCNs should be re-used in new records—generally to preserve LCCNs printed in resources at LC’s instruction—and apply special procedures for doing so without disrupting record distribution.</p>
050/051 (LC call numbers)	See M3.3.2.4.
906 \$g (Local processing data / Stakeholder code)	See DCM C16.10.2.7.2-C16.10.2.7.3 about code “n-rlinjack” in monograph records with data in nonroman scripts after August 20, 2007.
991 (Local location information)	<p>Do not modify 991 fields found in existing records.</p> <p><i>Exceptions:</i> Staff in some areas, such as Geography and Map Division and certain LC reference staff, add, delete, and change 991 field data and are trained to do so.</p>

M3.3.2.4

Call numbers

Change the information in field 050 or 051 of a bibliographic record when maintenance requires doing so (for example, to correct a typographical error or because of reclassification). Also follow instructions for maintaining holdings records and item records in *Classification and Shelving Manual, ILS Supplement, Workflow #20* (www.loc.gov/staff/aba/psd/WF20.PDF) and DCM C8 (Procedures Applicable to Materials Stored at Ft. Meade).

M3.3.2.5

Maintaining monograph records with nonroman data

Do maintenance in the LC ILS system for monograph records that include data in nonroman scripts (in JACKPHY languages, etc.). Before August 20, 2007, those were maintained in the RLIN 21 database, because their “master” records resided there. Records of this kind processed before then may have “n-rlinjack” or “y-rlinjack” in 906 \$g; those created after then (in the LC ILS) have “y-nonroman” in 906 \$g. (See DCM C16.10.2.7.)

All staff do necessary maintenance in these records if all the changes are in fields that do not begin with subfield \$6 (used to link fields that are different script representations of each other; see MARC 21 Format for Bibliographic Data, Appendix A). Only nonroman cataloging staff with appropriate language/script knowledge do maintenance in fields beginning with subfield \$6. General cataloging staff request cooperation from nonroman cataloging staff when maintenance requires changes in any of those.

M3.3.3

Maintaining Less-Than-Full Records

Do maintenance as necessary in less-than-full bibliographic records in the LC ILS database, as well as in full/core bibliographic records.

For guidelines on upgrading brief JACKPHY records (that is, improving less-than-full JACKPHY records to full/core records), see M3.5 (Appendix 1: Upgrading Brief JACKPHY Records).

M3.3.4 Canceling Records

Cancel bibliographic records in order to eliminate duplicate or unnecessary records from the LC ILS database.

Follow your local workflows and routines for canceling and deleting bibliographic records in the LC ILS or requesting their deletion. Divisions and units may have different local operations with respect to division of responsibilities, workflow details, and who has authorization to delete records from the LC ILS database. Incorporate the following in any local workflows:

- Carry out the requirements in M3.3.4.1-M3.3.4.6.
- Complete the steps in M3.3.4.1-M3.3.4.5 preceding (or at the same time as) final deletion of the record per M3.3.4.6.
- Where the local workflow has staff submitting deletion requests to someone with delete authorization, make clear how the deletion requests fit in with other workflow steps and what form(s) of deletion request to use (for example, annotated printouts).

Request the cooperation of local serials cataloging staff to cancel serial bibliographic records. (Doing that may require deleting records from the CONSER database in OCLC as well as from the LC ILS database.) Serials catalogers may also cancel or annotate monograph records, as necessary, when recataloging a resource from monograph to serial, following instructions in the ABA Serials Manual when doing so.

M3.3.4.1

Inputting cancellation message

Input a message in the form “[staff code] [date] MESSAGE Being canceled” in 955 \$a of an LC ILS database bibliographic record when you determine that cancellation of the record will occur:

Example 955 ## \$a xx04 2005-11-15 MESSAGE Being canceled

Do this as soon as possible, in order to alert other catalogers and help prevent unnecessary processing. (Delete-authorized staff need not input the message right before deleting a record.)

Suppress the record from LC’s OPAC (unless there are unretrieved items associated with the record that potentially still could circulate).

M3.3.4.2

Retrieving items in LC collections

Obtain copies (if any) of resources covered by the unwanted record that are shelved in LC’s collections **and** are going to be re-labeled as part of your record cancellation workflow. Examples of items **not** retrieved during record cancellation include:

- *copies in reference locations:* See *Classification and Shelisting Manual, ILS Supplement, Workflow #20* (www.loc.gov/staff/aba/psd/WF20.PDF) for instructions on handling call number changes affecting reference copies.

- *copies stored in Ft. Meade*: LC does not correct call numbers on these items (see DCM C8.4).

M3.3.4.3 Tracking canceled LCCN

When canceling an unwanted bibliographic record in favor of a new or existing one, track the LCCN of the canceled bibliographic record in 010 \$z of the record retained in the LC ILS database. When canceling multiple records, input their LCCNs in separate 010 \$z subfields. (Do not track “sv”- or “unk”-prefixed numbers, which were LC-internal, not sent out in MARC distribution.)

M3.3.4.4 Transferring holdings data and item records

Where applicable and as necessary, transfer or re-link any holdings data and item records from an unwanted bibliographic record to the one retained in the LC ILS database before deleting the bibliographic record or requesting its deletion, according to your local workflow. Delete-authorized staff should confirm that necessary data have been moved before carrying out a deletion. (The LC ILS system requires first deleting any remaining item records and holdings records linked to a bibliographic record (for example, ones lacking data or created in error) before finally deleting the bibliographic record itself.)

M3.3.4.5 Preparation for re-labeling

Line through any LCCN or call number from the canceled record that appears on items retrieved from LC’s shelves. Have items re-labeled, as necessary.

M3.3.4.6 Deleting record or requesting deletion

A delete-authorized staff member receives the deletion request and deletes the record from the LC ILS database (that is, clicks “Record / Delete”).

If you do not have LC ILS delete authorization, follow your local division/unit procedures for carrying out the steps in M3.3.4.1-M3.3.4.5 and requesting deletion of the bibliographic record. If other staff perform some of the steps in M3.3.4.1-M3.3.4.5 after you determine the record will be canceled, they (rather than you) may be the ones to submit the final deletion requests to someone with the necessary authorization.

Follow the instructions in DCM C7.3.1 for suppressing and modifying, instead of deleting, bibliographic records with linked Purchase Orders. LC ILS does not allow deletion of bibliographic records with P.O.’s linked to them. LC policies require retaining those as audit trail records, as explained in DCM C7.3.

If you delete a bibliographic record that (you realize too late) should remain in the LC ILS database, **do not “re-input” the record**. Instead, email to **PSD** immediately the record’s LCCN and a request to restore the record (so that a cataloging policy specialist can retrieve the record from a CDS file).

M3.3.5 Changes In Type Of Record (Leader/06)

M3.3.5.1 General

Generally, do not change the type of record (Leader/06) code in a record already saved in the LC ILS database. *Exceptions*: See M3.3.5.2 for circumstances in which changing Leader/06 in the same record **is** permissible.

If the existing record's Leader/06 value is incorrect, generally:

- 1) Cancel the incorrect record per M3.3.4, if possible.
- 2) Create a new record that has:
 - the correct Leader/06 value
 - a new LCCN in subfield \$a of field 010
 - the canceled record's LCCN in 010 \$z (see M3.3.4.3)

Consult **PSD** for guidance if it is impossible to delete an incorrect record because it is linked to a Purchase Order or if it is important to use the canceled record's LCCN in the new record (for example, because it appears in CIP data printed in the resource).

Background: Changing Leader/06 in a bibliographic record already saved in the LC ILS database prevents distribution of the revised record in many cases. CDS begins queuing an LC ILS database record for its eventual distribution after it is first saved with an LCCN in 010 \$a, **even when 906 \$a has value "0."** The Leader/06 value is one of the factors determining which of different CDS distribution sets will include the record. If a record is queued for one CDS distribution product and a Leader/06 change means it belongs in a different one instead, CDS programs reject the changed record and subsequent revisions of it.

M3.3.5.2

Exceptional changes permitted in bibliographic Leader/06

Change the Leader/06 code as necessary in a bibliographic record already saved in the LC ILS database if one of the conditions in the following table applies. These are situations in which it is **certain** that changing Leader/06 does not switch the record into a different CDS distribution set than the one in which it was already queued.

Change Leader/06 in the existing bibliographic record only if:	<i>Identification:</i>
1) CDS has not received or queued the record yet.	a) Field 005 in the LC ILS database record has all zeros . <i>or</i> b) The record was first saved in the LC ILS on the <i>same day</i> when you are changing Leader/06 (determine this from "History" in the LC ILS bibliographic display).
2) The record is in the CDS "manuscripts" distribution set, which includes all Leader/06 types.	906 \$g = y-manuscri

Change Leader/06 in the existing bibliographic record <i>only if</i>:	<i>Identification:</i>	
3) The change is from one code to another within certain groups, which have 008 elements in common and correspond to CDS distribution sets:	<i>Group:</i>	<i>includes Leader/06 types:</i>
	a) Books 008	“a” (language material) “t” (manuscript language material)
	b) Maps 008	“e” (printed cartographic material) “f” (manuscript cartographic material)
	c) Music 008	“c” (notated music) “d” (manuscript notated music) “i” (nonmusical sound recording) “j” (musical sound recording)
	d) Visual Materials 008	“g” (projected medium) “k” (two-dimensional nonprojectable graphic) “o” (kit) “r” (three-dimensional artifact/naturally occurring object)

In all cases other than these specific exceptions or when in doubt, do not change Leader/06 in the existing bibliographic record. Instead, cancel the incorrect record and process a new one, as instructed in M3.3.5.1.

M3.3.6 Changes In Bibliographic Level (Leader/07)

Change Leader/07 in the existing bibliographic record <i>only if</i> the change is from one code to another <i>within</i> one of the following groups:	<i>Group includes Leader/07 bibliographic levels:</i>
a) Non-serials	“m” (monograph/item) “c” (collection) “a” (monograph component part)
b) Serials	“s” (serial) “b” (serial component part)

If the existing record's Leader/07 value is incorrect and the change required is **between** these groups (that is, from serial to non-serial or vice versa), then changing the code requires cancellation of the incorrect record and creation of a new record.

Request the cooperation of local serials cataloging staff to change the cataloging of a resource from non-serial to serial, observing the guidelines in DCM M4.

M3.4 AUTHORITY RECORD MAINTENANCE

M3.4.1 Distribution Of Responsibility For Maintenance

Address the same decision points as defined in M3.3.1 – eligibility, responsibility, and workload – and apply the guidelines in M3.4.1.1-M3.4.1.3 when determining whether **you** should carry out modifications in a particular name, title, or name/title authority record yourself. *Note:* Beginning in June 2006, LC catalogers do not maintain series authority records.

Default: If in doubt concerning who should do maintenance on a record or group of records, send a maintenance request to ABA Policy and Standards Division, Data Integrity Section (ABA/POLICY/DATA).

M3.4.1.1 *Determining eligibility*

All name, title, and name/title authority records in the LC ILS database are eligible for modification in the LC ILS system.

M3.4.1.2 *Determining responsibility*

Consider any authority record maintenance made necessary by authority work **you** have done (for example, when your changing an established heading makes it necessary to change headings and/or references in other authority records accordingly) to be in scope for you. See M3.4.1.3 for guidance on the decision whether to absorb the maintenance workload in the local unit or send a maintenance request to ABA/POLICY/DATA.

If you lack necessary expertise to do authority maintenance that originates from an outside request, request cooperation from a unit/individual that has the resources to do it. When you are uncertain where to request such help, send a maintenance request to ABA/POLICY/DATA.

Maintenance needed in “being updated” records: If an authority record needs maintenance and is in “being updated” status (see M3.4.2.1) because someone else is already investigating it, either (a) obtain the cooperation of the person whose code is in the 667 message or (b) wait until the authority record is out of “being updated” status (that is, until it has 008/32 “a”) and proceed with maintenance then, as necessary.

M3.4.1.3 *Distributing workload*

Apply the same guidelines as in M3.3.1.3 when deciding whether to do authority record maintenance work locally or send a maintenance request to ABA/POLICY/DATA.

M3.4.2 Guidelines For Doing Record Maintenance

M3.4.2.1 Coding records as “Being updated”

If an existing authority record requires action that cannot be completed right away, modify the record as follows to alert staff that revision is in process:

- 1) Change 008/31 to “b” (Record is being updated).
- 2) Input 667 with “MESSAGE Being updated [code] [date].” (Optionally, also give a brief explanation of the problem.)
- 3) Complete work on the authority record as soon as possible and then change 008/31 to “a” (Record can be used) and delete the 667 message.

M3.4.2.2 Specific elements

010 field: Do not change the LCCN in 010 \$a of an authority record. **Never re-use LCCNs** from canceled authority records in new ones, even if the record is for the same entity.

See DCM Z1 and *MARC 21 Format for Authority Data, LC Guidelines* for other information on LC’s use and maintenance of specific elements in authority records.

M3.4.3 Canceling Records

Cancel authority records in order to eliminate duplicate or unnecessary authorities from the LC/NACO Authority File.

Follow your local division/unit workflows and routines for canceling and deleting name, title, and name/title authority records in the LC ILS or requesting their deletion. Divisions and units may have different local operations with respect to division of responsibilities, workflow details, and who has authorization to delete records from the LC ILS database, but must satisfy the requirements of M3.4.3.1-M3.4.3.4 in any local workflows.

LC staff who do authority record maintenance in OCLC as part of special workflows may do the steps in M3.4.3.1-M3.4.3.2 and some of the record maintenance per M3.4.3.4 in OCLC. Final deletion of an authority record in the LC/NACO Authority File, however, can only occur in the LC ILS database.

M3.4.3.1 Inputting cancellation message

Input a message in the form “MESSAGE Being canceled; covered by [LCCN] [staff code] [date]” in field 667 when you determine that cancellation of the authority record will occur.

Example 667 ## \$a MESSAGE Being canceled; covered by
no2006006789. xx04 2006-01-19

Do this as soon as possible, in order to alert other catalogers and help prevent unnecessary processing. (Delete-authorized staff need not input the message right before deleting a record.)

M3.4.3.2 Tracking canceled LCCN

When canceling an unwanted authority record in favor of another one, track the LCCN of the canceled authority record in 010 \$z of the authority retained in the LC/NACO Authority File. When canceling multiple authorities, input their LCCNs in separate 010 \$z subfields.

M3.4.3.3 Deleting record or requesting deletion

A delete-authorized staff member receives an authority record deletion request (identifying both the authority marked for deletion and the authority retained in its place, if any) and deletes the authority record from the LC/NACO Authority File (that is, clicks “Record / Delete”).

If you do not have LC ILS delete authorization, follow your local division/unit procedures for carrying out the steps in M3.4.3.1-M3.4.3.2 and requesting deletion of the authority record.

M3.4.3.4 Determining and expediting needed database maintenance

If the heading of the authority record being canceled is different from the heading being retained, search the LC ILS database for bibliographic and authority records using the canceled heading in main entries, added entries, subject entries, headings, references, qualifiers, etc. (LC serials catalogers also search in the CONSER database in OCLC and do heading maintenance in non-LC CONSER bibliographic records, as necessary.)

Do maintenance or request that maintenance be done in affected bibliographic records as instructed in M3.3.

Do maintenance or request that maintenance be done in affected authority records as instructed in M3.4.

M3.4.4 Changing Kind Of Authority Record

For various reasons (changes in rules, etc.), it is necessary sometimes to change a heading of one kind and/or with one tag to a different kind of heading and/or a different tag. In some cases, changing the existing authority record is sufficient. In others, distribution and other technical requirements make it necessary to cancel the existing record (see M3.4.3) and create a new one of the correct kind. The following table summarizes requirements for changing authority record kinds and tags for the same entity.

<ul style="list-style-type: none"> <i>Note:</i> Apply these guidelines to the authority record(s) for the same entity. Never “re-cycle” an existing authority record for a different entity. 		
<i>Change TO</i>	<i>Name / Title / Name-Title NAR (100, 110, 111, 151, 130)</i>	<i>Subject Heading AR (100, 110, 150, 151)</i>
Change FROM		
Name / Title / Name-Title NAR (100, 110, 111, 151, 130)	Continue using same NAR, with same LCCN. Change 1XX (including tag, as necessary) in same NAR.	Cancel NAR. Propose new subject heading AR (with new LCCN), per instructions in <i>Subject Headings Manual</i> .
Subject Heading AR (100, 110, 150, 151)	Propose canceling subject heading AR, per instructions in <i>Subject Headings Manual</i> . Create new NAR (with new LCCN).	Propose changing subject heading AR, per instructions in <i>Subject Headings Manual</i> . Continue using same subject heading AR, with same LCCN.

M3.5 APPENDIX 1: UPGRADING BRIEF JACKPHY RECORDS

M3.5.1 General

See DCM B5.11 for background on brief JACKPHY records in the LC ILS database.

Optionally, at the discretion of your section, upgrade brief JACKPHY records to full/core records when changing them to handle either of the following situations:

- 1) adding volumes to incomplete multipart item records (see DCM C12.3);
- 2) correcting erroneous attribution to the wrong person/body in the main entry heading.

If you do not upgrade in either of the above circumstances (and in cases where any other kind of maintenance is necessary), record the additional or corrected information in the existing brief JACKPHY record.

M3.5.2 Procedure

- Transfer information from the LC nonroman source card (if available) to the LC ILS database record.
- Record necessary information from any item(s) in hand (for example, publisher changes). Use any item(s) in hand as the basis for upgrading the record when no LC source card is available.
- Check or input specific elements in the record as instructed in the following table.

Element	<i>Instruction</i>
Leader/17 (Encoding level)	Change existing value (usually “7”) to “1.”
Leader/18 (Descriptive cataloging form)	Use value corresponding to cataloging rules applied in the record (usually “i” or “a”).
008/38 (Modified record)	Use value “r” (completely romanized/printed cards in script) in all cases.
010 \$a (LCCN)	Confirm LCCN matches LC source card (if available).
050	Confirm call number matches LC source card (if available).
955	Input the following, to identify record is in upgrade process: 955 ## \$a [staff code] [date] JACKPHY UPDATE

For information on bibliographic upgrading procedures no longer applied actively, see M3.6 (Appendix 2: Former Upgrading Procedures).

M3.6 APPENDIX 2: FORMER UPGRADING PROCEDURES

M3.6.1 Upgraded Less Than Full Records

During the years 1983-1996 various libraries, including some participants in a program called National Coordinated Cataloging Program (NCCP), worked directly in the LC input/update system. These libraries upgraded to full level cataloging records in two categories:

- 1) less than full records (LTF); records that had represented a brief form of cataloging in LC were upgraded to full cataloging; they were treated as cooperative cataloging and so identified;
- 2) minimal level cataloging (MLC); records that had been given MLC treatment by LC were upgraded to full level cataloging; if LC had assigned an MLC shelf number, that number was retained instead of the item being reclassified.

M3.6.2 Inactive CIP Records

In the 1970s and 1980s CIP records still in a CIP state for a long time and for which LC had not yet received an item were updated to remove them from being in that state. The first method of doing this was to search RLIN for completed cataloging. If found, the encoding level in the LC record was set to blank (Full level), the first indicator in field 050 was set to "1" (Not in LC), the record was upgraded to match the RLIN record, and a cataloger's note was added to indicate the source the completed cataloging was based on (cf. 81014893).

The second method of doing this was to assure an item had been published. If confirmed, the encoding level in the LC record was set to "1" (Full level, material not examined), the first indicator position in field 050 was set to "1" (Not in LC), and a 500 field was added containing "Cataloging based on CIP information" (cf. 74034472).

**Recommended Session Defaults and Preferences in the LC ILS
Cataloging Module**

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M6.1 SUMMARY

DCM M6 presents LC policies on setting session defaults and preferences in the LC ILS cataloging module. M6.2 provides background. M6.3 indicates settings recommended or required in LC.

DCM M6 supersedes former Bibliographic Workflow Training Document #1.

Note: It is most effective to consult DCM M6 with a cataloging session open and the Session Defaults and Preferences dialog box displayed (see M6.2.2).

M6.2 INTRODUCTION

M6.2.1 Background

Session defaults and preferences are choices for LC ILS cataloging module sessions that are set on individual workstations. They reduce effort and help avoid errors by automatically prompting data, system functions, and other variables that you use most often when you are cataloging.

Security parameters established in your profile by your LC system administrator determine some session defaults. Signing on using your operator ID invokes those.

Use the instructions in M6.2.2 to set other preferences on your workstation. LC policies recommend or require certain settings, as presented in M6.3.

Some defaults and preferences depend on factors in your work assignment, such as the specific cataloging workflow and type of material. Change your settings as necessary to assist you in doing work with different parameters (for example, copy cataloging, added copies, reference materials). It helps to organize your work in order to avoid switching preferences constantly.

Note: The information here is current for Voyager version 7.2.0 in LC. If there has been any further LC ILS system upgrade, consult **PSD** for advice on changes in recommended cataloging session defaults and preferences.

For more background information on cataloging defaults and preferences, see the *Voyager 7.2 Cataloging User's Guide* on the LC Integrated Library System Program's intranet at www.loc.gov/staff/ils/voy7.2docs/V720_Cataloging_20091105.pdf.

M6.2.2 Setting Session Defaults And Preferences

With an LC ILS cataloging module session open, view or change defaults and preferences by selecting "Options / Preferences" from the menu bar. That opens the Session Defaults and Preferences dialog box. Options within the dialog box are organized on different "tabs," which are accessible by clicking the tab labels at the top.

On each tab, input or change the settings by means of the mechanisms provided: select from a list, click an option so that it is checked or not checked, or input data. Save selections by clicking "OK." Close the dialog box by clicking "Cancel" if there are no new settings or changes to save or if you do not want to save selections that you made.

Selections are stored when you exit the cataloging module session. Check the preferences on your workstation occasionally, however, to confirm they are what you need for your work, especially if you share the same workstation with other staff members.

M6.3 RECOMMENDED SETTINGS

TAB: Option	Recommended, Required, or Usual	<i>Additional Information</i>
GENERAL: Holdings/Item default location	<i>Most ABA staff:</i> c-General Collections/CMD	Select the location that holdings and item records you create are most likely to use. Select a location other than GenColl if your work usually serves that location (for example, “c-Law Library” for a law cataloger).
GENERAL: Call Number Hierarchies	<i>Most ABA staff (work with full LC classification call numbers):</i> LCclass-050a&b	Select the hierarchy for the kind of call number most likely present in your work. This is necessary for the LC ILS to copy call number data from the bibliographic record into a holdings record’s 852 field.
GENERAL: Bibliographic Import/Replace Profile	<i>Most often:</i> LCCNadd or LCCNmerge <i>(Both now have the same result.)</i>	<i>Only in special workflows:</i> <i>Special materials workflow for which the profile was designed:</i> smcdONLYmerge <i>CIP verification workflow using “Z-Processor CIP Ver version” to search OCLC and import upgraded CIP records:</i> CIP Ver Replace
GENERAL: Authority Import/Replace Profile	<i>Required always:</i> ARLCCNadd	
GENERAL: Delete records from work files once saved to database	<i>Required always:</i> Checked	
GENERAL: Delete records from import file once saved to database	<i>Required always:</i> Checked	
GENERAL: Add a subfield ‘a’ to a new field	Your individual preference	<i>Note:</i> Setting chosen affects results of some macros.

TAB: Option	Recommended, Required, or Usual	<i>Additional Information</i>
GENERAL: Display MARC Views maximized	Your individual preference	
VALIDATION: Cataloging formats	<i>Required always:</i> UnicodeLCMARC21	“UnicodeLCMARC21” assures only valid MARC 21 tags, indicators, and subfields are saved to the database.
VALIDATION: Bypass MARC Validation	<i>Usually: Not checked</i>	<i>Exception:</i> Change the preference to “checked” and thereby bypass MARC validation only when you cannot save a record because of a MARC validation problem, you cannot resolve the problem without assistance, and that assistance is not immediately available. After you save the problem record, reset the preference right away to “not checked.”
VALIDATION: Bypass MARC21 Character set validation	<i>Required always: Not checked</i>	“Not checked” assures only MARC 21 Unicode characters are saved to the database and invalid characters generate error messages.
VALIDATION: List all the errors / Show errors one at a time	Your individual preference	
VALIDATION: Bypass Authority Control Validation	<i>Only creating IBCRs, shelflisting, end-stage processing: Checked</i> <i>Otherwise: Not checked</i>	
VALIDATION: Display All The Headings	<i>Recommended: Checked</i>	“Checked” causes the LC ILS authority validation window to display authority records that the system validated as well as those it did not, thereby making access to the authority records easier.
VALIDATION: Heading Types	<i>Recommended:</i> Check all the heading types	<i>Exception:</i> Staff who do not review subject access points may leave “Subdivision” not checked.

TAB: Option	Recommended, Required, or Usual	<i>Additional Information</i>
VALIDATION: Bypass Decomposition of accented characters for MARC21	<i>Required always: Not checked</i>	“Not checked” causes the LC ILS to convert any pre-composed Unicode “letter + diacritic” combination (introduced, for example, by copying text from a Web page) into the decomposed form, that is, letter followed by combining diacritic, which MARC 21 requires.
VALIDATION: 856 link servers	[Do not input & do not change]	
VALIDATION: Bypass ISBN validation	<i>Recommended: Not checked</i>	<i>Advice: Get more reliable ISBN validation by applying Validator (see DCM M7).</i>
VALIDATION: Bypass ISSN validation	<i>Recommended: Not checked</i>	<i>Advice: Get more reliable ISSN validation by applying Validator (see DCM M7).</i>
WORK FLOW: Retain last search	Your individual preference	<i>Note: “Checked” is useful when doing a sequence of searches of the same kind.</i>
WORK FLOW: Automatic truncation for non keyword searches	Your individual preference	
WORK FLOW: Display record directly if search results in only one title	Your individual preference	
WORK FLOW: Always create a holding when adding holdings to a bib (i.e., do not show existing holdings first)	<i>Creating IBC records: Checked</i> <i>Otherwise: Not checked</i>	
WORK FLOW: Display item record directly if item retrieve results in only one item	Your individual preference	

TAB: Option	Recommended, Required, or Usual	Additional Information
WORK FLOW: Sequence new items at top	<i>Recommended: Not checked</i>	<i>Reminder:</i> Put any incorrectly sequenced item records into correct order by clicking “Get Items” from the holdings record display and using “Move before” and “Move after.”
WORK FLOW: Sequence new e-items at top	[Disregard]	
WORK FLOW: Check for Duplicate Item Barcodes	<i>Required always: Checked</i>	
WORK FLOW: Suppress confirmation message upon successful save	<i>Recommended: Not checked</i>	Not suppressing confirmation messages lets you know with certainty whether your record was saved to the database and therefore reduces additional, unnecessary “save” actions “just to be sure.”
ITEM DEFAULTS: Item Type	<i>Recommended:</i> Type of item most likely in your work	Select the type of item you are most likely to process, depending on your work assignment.
ITEM DEFAULTS: Status	<i>Usually: In Process</i>	
ITEM DEFAULTS: Copy	<i>Recommended: 0</i>	Change number manually in item records when you know which copy you are processing.
ITEM DEFAULTS: Pieces	<i>Recommended: 1</i>	Change number manually in item records when necessary.
ITEM DEFAULTS: Self Check: Magnetic Media	<i>Recommended: Not checked</i>	LC currently does not use.
ITEM DEFAULTS: Self Check: Sensitize	<i>Recommended: Checked</i>	“Sensitize” should be checked in new item records.
ITEM DEFAULTS: Other Options	[Leave blank]	

TAB: Option	Recommended, Required, or Usual	<i>Additional Information</i>
FOLDERS/FILES: Templates	<p><i>Recommended:</i> Specify Hldg template: c:\Program Files\ Endeavor\Voyager\ VoyagerTemplates\ Voyager Original Defaults\hold.tem</p> <p><i>Do not specify Bib and Auth templates</i></p>	<p>For each type of record, you can only specify one template to be used when you create a new record. That is only practical if you always use the same template for that type of record (usual for Hldg, unusual for Bib and Auth).</p>
FOLDERS/FILES: Folders	<p><i>Recommended:</i> Specify Template folder: c:\Program Files\ Endeavor\Voyager\ VoyagerTemplates\ VoyagerTemplates\</p> <p><i>Leave Work and Import folder options blank</i></p>	<p><i>Reminder: Generally, do not specify or use special work folders</i> in the LC ILS; let the LC ILS use its default work folder during addition of new records or modification of existing ones. Using work folders other than the default risks accidental errors. Do not use an import folder as a work folder in the LC ILS.</p>
FOLDERS/FILES: Work Files	[Disregard and leave blank]	<i>Reminder: Do not use work files</i> in the LC ILS.
FOLDERS/FILES: Save to Local File	[Disregard and do not change]	
MAPPING: Expected Character Set of Imported Records: Local Import	<p><i>Using Z-Processors:</i> MARC21 UTF-8</p> <p><i>Using Z-Client (MBRS, Music):</i> MARC21 MARC-8 (non-Unicode)</p> <p><i>Using OCLC Serial Preprocessor (Continuing resources):</i> MARC21 MARC-8 (non-Unicode)</p>	<p>Switch settings if you use Z-Processors and Z-Client or OCLC Serial Preprocessor at different times.</p>
MAPPING: MARC Mapping for OCR Data	[Disregard and do not change]	
COLORS/FONTS: Mark Views (variable fields): Bibliographic	Your individual preference	<i>Preset: White background</i>

TAB: Option	Recommended, Required, or Usual	<i>Additional Information</i>
COLORS/FONTS: Mark Views (variable fields): Holdings	Your individual preference	<i>Preset: Blue background</i>
COLORS/FONTS: Mark Views (variable fields): Authority	Your individual preference	<i>Preset: Yellow background</i>
COLORS/FONTS: Mark Views (variable fields): Conversion	Your individual preference	<i>Preset: Orange background</i>
COLORS/FONTS: Mark Views (variable fields): Row Marker Symbol	Your individual preference	
COLORS/FONTS: Record Hierarchy: Bibliographic	Your individual preference	<i>Preset: White background</i>
COLORS/FONTS: Record Hierarchy: Holdings	Your individual preference	<i>Preset: Blue background</i>
COLORS/FONTS: Record Hierarchy: Item	Your individual preference	<i>Preset: Green background</i>
COLORS/FONTS: Record Hierarchy: Bound With	Your individual preference	<i>Preset: Magenta background</i>
COLORS/FONTS: Font: Name	<i>Recommended: Arial Unicode MS</i>	Arial Unicode MS is the only font guaranteed to display all MARC 21 characters in UTF-8 accurately; but other fonts are permissible, although not recommended if your work includes diacritics and special characters.
COLORS/FONTS: Font: Size	Your individual preference	
COLORS/FONTS: Font: Bold	<i>Recommended: Not checked</i>	Setting the font to bold makes diacritics indistinct, sometimes indistinguishable.

TAB: Option	Recommended, Required, or Usual	<i>Additional Information</i>
COLORS/FONTS: Global Heading Change Hierarchy: <i>All Levels</i>	Your individual preference	
COLORS/FONTS: Search Result Colors: Suppressed Records	Your individual preference	

1XX Headings

General

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

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

NARs

Canadian Headings

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

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

Personal Names:

Search the LAC name authority file in VIAF to find the LAC authorized form. When an authorized LAC heading is found, use the LAC form to create an NAR unless modifications are called for by NACO procedures as stated below. Add a 670 citation "LAC in VIAF" with the usual conventions for 670 citations of source information found in databases.

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

PCC catalogers will either import the LAC authority record to their local file or create a

new NAR using copy and paste methods assuring that all elements in the NAR meet LC/NACO parameters for the creation of personal names.

In the event that a Canadian personal name conflicts with an established name in the LC/NAF make the appropriate modifications to assure uniqueness and record the LAC form in a 670 citation. Add/keep all references found in the LAC authority record even if the LAC 670 does not provide any justification.

When an authorized form of the name is not found in VIAF, establish the name based on the information found in the resource being cataloged according to normal NACO procedures. Cite the VIAF search in a 675 field.

Corporate Names:

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

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

Note:

- LAC treats the Religious Society of Friends as a corporate body and establishes "meetings," etc. subordinate to "Society of Friends." LC/PCC practice is to establish "Society of Friends" as a subject heading and establishes "meetings," etc., directly under their own name. It is not necessary to contact LAC for verification of these entities; establish these meeting names according to NACO procedures.
- LAC establishes Canadian parks and forests as subject entities, since they are not corporate bodies in the Canadian context. LC/PCC will follow LAC practice for Canadian parks and forests. LAC will follow NACO practice for U.S. parks and forests.
- Canadian First Nation names are considered corporate names (110); accept the LAC coding and do not establish as jurisdictions (151s).

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

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

SARs

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

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

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

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

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

Choosing a monographic series title proper:

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

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

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

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

Establishing an SAR heading:

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

APPENDIX FOR LC STAFF

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APPENDIX FOR LC STAFF

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

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

Subfield \$z When Classifying “As a Collection”

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

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

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

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

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

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

“acq” Records for Collected Sets

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

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

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

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

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

Analytic Record Needed for Multipart Item

If parts of a new multipart monograph were sent for cataloging without analytic bibliographic records for the parts, and the person doing the cataloging decides the parts should be analyzed, follow section practice for creating the needed "ibc" analytic bibliographic records.

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

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

Holdings records (HR):

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

Item records (IR):

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

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

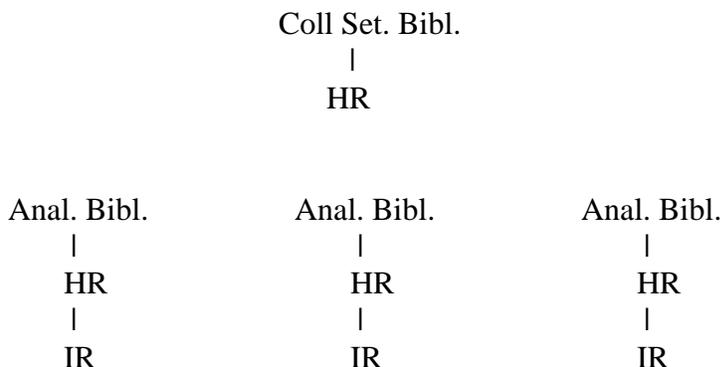
Classification decision = classified separately

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

Anal. Bibl.	Anal. Bibl.	Anal. Bibl.
HR	HR	HR
IR	IR	IR

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

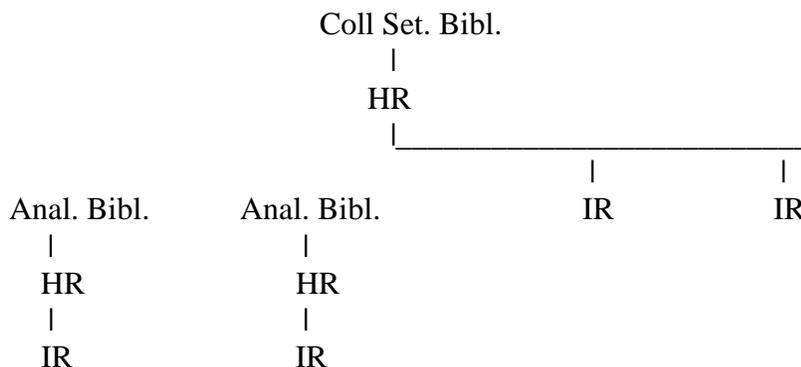
The holdings record for the collected set bibliographic record for the multipart item/monographic series will have no item records linked to it. Each item record will be linked to the holdings record which is attached to the specific analytic bibliographic record.



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

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

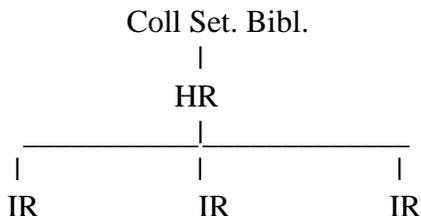
For the parts/volumes that are analyzed, each item record will be linked to the holdings record which is attached to the specific analytic bibliographic record.



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

The holdings record for the collected set bibliographic record for the multipart

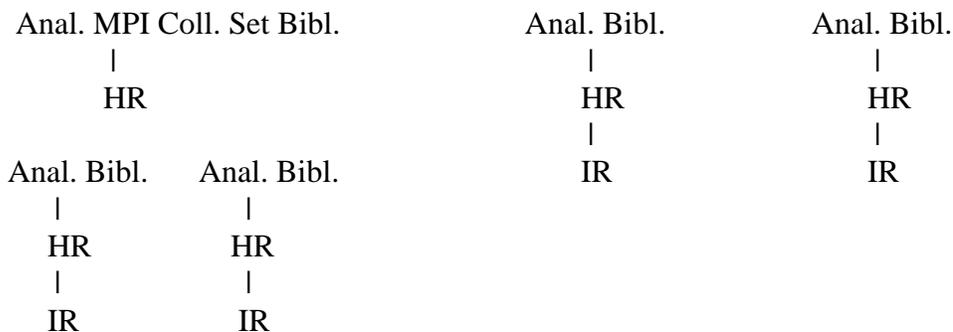
item/monographic series will have linked to it the item records for all the parts/volumes because there will be no analytic records.



Analytic is a multipart item

The same guidelines stated above for classification/analysis decisions for single monograph analytics in a multipart item apply to the holdings and items records for analytics that are multipart items in either a larger multipart item or in a monographic series.

one example: Larger MPI Coll Set. Bibl.



Technical Report Monographic Series

Decisions and series authority record

The “technical report” workflow at LC handles a brief, unbound item in a numbered series published outside the United States in a roman alphabet language or in Japanese, which comprises an interim report of ongoing research in the general areas of science and technology. (Works in the “soft” sciences and social sciences are generally excluded.) The report is usually of immediate research value only and is often superseded by a journal article or other more

formal publication. Items not treated as technical reports include periodicals, unnumbered series, monographs issued in parts, reprints on clinical medicine and agriculture. (Print copies of technical reports published in the U.S. are cataloged and housed in the general collection; the Science, Technology, and Business Division's collection of U.S. technical reports is on microfiche.)

Technical reports are kept as a special collection in the Science, Technology, and Business Division (or in the Asian Division when they are in Japanese). Most technical reports are not analyzed, but are kept in numerical order and are accessible to the user through listings in abstracting and indexing services. The Technical Reports Section of the Science, Technology, and Business Division (ST&B) is responsible for determining which series are treated as technical reports and deciding which items in technical report series are to be analyzed. Items selected for analysis by the Technical Reports Section will contain a technical report slip with the box checked "This technical report is selected for analysis." (This applies to items in Japanese also, even though the items will be in the custody of the Asian Division.)

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

Local serial bibliographic record

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

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

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

Workflow for creation of a local serial bibliographic record

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

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

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

1. Because these "acq" records are not necessarily AACR2 records, delete/modify existing data elements if they represent egregious violations of AACR2

conventions. Do not, however, spend much time/energy on such modifications because these records will not be distributed.

- a. Ensure that the Leader has the following values
 - (1) Status = n
 - (2) Type = a
 - (3) Bib/l = s
 - (4) Arch = blank
 - (5) Enc/l = 3
 - (6) Form = a
 - b. Accept 008 as coded.
 - c. Add a missing 130 field if series title needs a qualifier to break a conflict.
 - d. Add/adjust 260 \$ab; delete 260 \$c if it is present even if first issue is in hand.
 - e. Add 500 "Technical report" note via macro "Alt+Shift+F5."
 - f. As the last note, add 500 "Description based on:" via macro "Alt+Shift+F4." Use information from the issue to complete the numbering in the 500 note.
 - g. Add 710(s) for body(ies).
 - h. Delete data in existing 906 field and replace it via macro "Alt+Shift+F1" with the following information:
 - (1) \$a = 0
 - (2) \$b = bbc
 - (3) \$c = serials
 - (4) \$d = u
 - (5) \$e = ncip
 - (6) \$f = 19
 - (7) \$g = y-gencatlg
 - i. Add/adjust 92X field to read:
 - (1) \$a = acquire
 - (2) \$b = 1 shelf copy
 - (3) \$x = policy default
 - j. Add 955 field or modify existing 955 field to show "To Asian" or "To ST&B" with cataloger's code and date.
 - k. Ensure that the bibliographic record is not suppressed from display in the OPAC.
2. Modify the holdings record for that bibliographic record.
 - a. If the location in 852 \$b is not the appropriate location (either "c-Asian" or "c-TRS/ST&B"), delete the inappropriate location. Input the correct location or select it by keying "Ctrl-I" (cursor must be in the data column) and then clicking on the appropriate line.
 - b. Add "UNCLASSSED" in 852 \$h; there will be no 852 \$i.

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

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

5. Send publication(s) to custodial location.

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

C. No serial bibliographic record in the LC Database:

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

a. Code following 008 information (ignore others):

- (1) Place of publication
- (2) Language

b. Give the series title in the 245 field. If a qualifier is needed to break a conflict, add a 130 field with the series title plus a qualifier.

c. Input 260 \$ab; there will be no 260 \$c even if first issue is in hand.

d. Supply height in 300 \$c. Do not supply number of volumes in \$a and do not supply \$b.

Example:

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

e. In 500 “Description based on” note, add information from the issue to give the numbering to complete the note.

f. Add 710(s) for body(ies).

g. Complete 955 field by adding appropriate location with cataloger's code and date.

2. Create holdings record for the bibliographic record.

a. If you did not change the default location in your session defaults and preferences, delete the default location in 852 \$b. Input the correct location (either “c-Asian” or “c-TRS/ST&B”) or select it by keying “Ctrl-1” (cursor must be in the data column) and then clicking on the appropriate line.

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

3. Do not create item record(s).

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

5. Send publication(s) to custodial division.

Contents of template for technical report local serial bibliographic record:

Leader:

Status = n
 Type = a
 Bib/1 = s
 Arch = blank
 Enc/1 = 3
 Form = a

008:

Publication status = u
 Date 1 = uuuu
 Date 2 = uuuu
 Place of publication = ||| [to be filled in by cataloger]
 Frequency = blank
 Regularity = u
 ISSN Center = |
 Type of serial = m
 Original item = blank
 Form of item = blank
 Nature of entire work = blank
 Nature of contents = blank for all three boxes
 Govt. publication = |
 Conf. publication = |
 Alphabet = |
 Type of entry = 0
 Language = ||| [to be filled in by cataloger]
 Modified record = blank
 Cataloging source = blank

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

130 0 \$a
 245 \$a
 260 \$a \$b
 300 \$a v. \$c

500	\$a Technical report
500	\$a Description based on:
710	\$a

Multiple 050 Fields in Bibliographic Records

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

From SCM: SL Workflow #4 for a new multipart item classified as a collection:

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

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

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

(c) In the multipart item record:

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

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

From SCM: SL Workflow #8 for an analytic of a multipart item or monographic series:

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

...

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

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

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

(c) In the multipart item analytic record:

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

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

(d) In the serial analytic record:

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

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

*The “Catalog” for Cataloging Purposes **

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

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

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

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

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

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

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

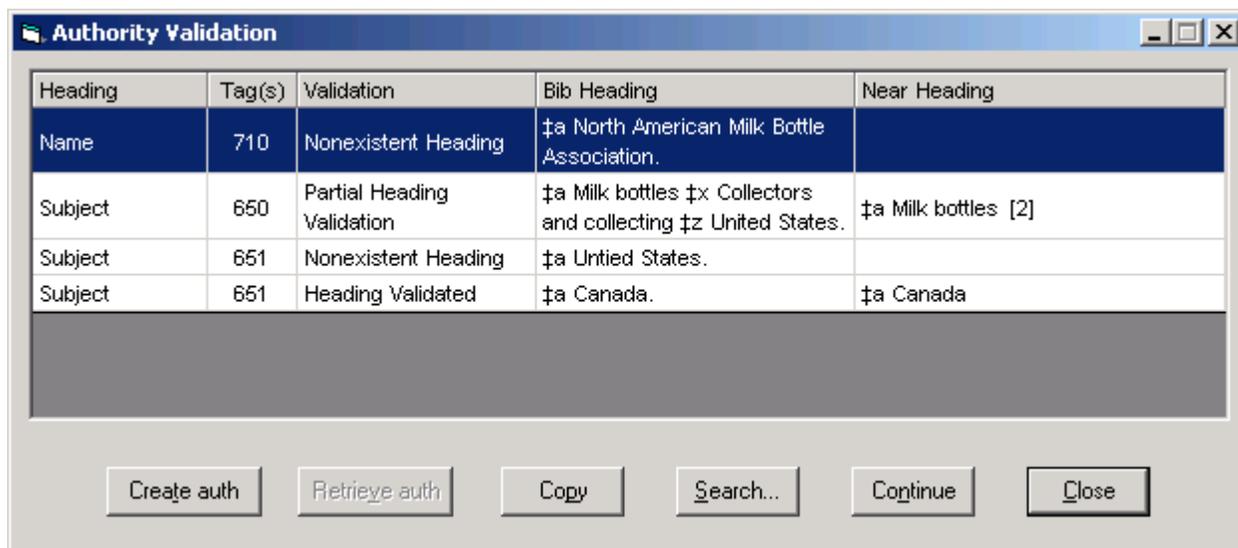
1. Establish the new heading, including qualifying information to break the conflict between it and the old heading, according to the appropriate standards, instructions, and procedures.
2. Do not modify the entries with “[from old catalog]” in the old PREMARC records.

LC ILS Authority Validation

Saving Bibliographic Records in LC ILS

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

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



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

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

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

Right-Click Validating Single Headings in LC ILS

You can get a validation message from LC ILS for a single heading field in an LC ILS bibliographic record by selecting the field (that is, by putting the cursor in the gray box to its left), "right clicking" the mouse, and clicking "Validate Heading in this field" from the resulting choices. Possible results are "This heading is validated" or a browse list of headings from bibliographic and authority records (none exactly matching the selected heading).

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

Authority Generation/Templates/Macros

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

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

NAR macro (“Ctrl+F7”)

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

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

LAC name authority record adapt procedures for LC catalogers

Section 1: Assumptions

Section 2: Searching VIAF for LAC authority records and creating a new NAR.

Section 3: LAC name authority record procedures for LC catalogers using AMICUS

Section 4: ILS Database Searching Parameters

Section 5: Sample Searches

Section 6: Comparison Between the Builder Search Codes and the Keyword Search Codes

Section 7: List of LAC Liaisons in ABA

Section 1: Assumptions:

1. As of May 2011, catalogers may access the LAC authority file to verify names for Canadian authors and corporate bodies by searching the Virtual International Authority (VIAF) accessed at <http://viaf.org> LC/PCC Catalogers may continue to search Canadian corporate and personal name headings in the AMICUS authority file for verification of the heading form and to resolve complex authority record problems, conflicts, etc. involving Canadian name headings, when these fall into the parameters stated in DCM Z1 1XX section.

2. The Library and Archives, Canada’s (LAC) AMICUS database is available as a remote database site in the System Administration module of the LC ILS so that it is available for catalogers to search via Z39.50 while in the cataloging module. A third option is to access the LAC authority file via Canadiana Authorities at:

<http://www.collectionscanada.gc.ca/canadiana-authorities/index/index?lang=eng>

3. When a corporate name heading is **not** found in the VIAF, LC and PCC catalogers will continue to request verification from LAC, via the Web form found at: <http://www.loc.gov/catdir/pcc/naco/LAC-nacohdgform.html> (cf. DCM Z1 section 1XX for more information.)
4. It is not necessary to request LAC verification for personal name headings if these are not found in the LAC authority file through a search in the VIAF or the AMICUS authority file.
5. When the appropriate name authority record (NAR) is found in the AMICUS authority file, the LC cataloger will “adapt” the NAR and add the NAR by clicking on the sailboat icon to save it to the LC database.
6. Statistics will be kept to allow the inclusion of the LAC “adapted” NARs in the COIN Cooperative Projects Section's statistical reports.
7. COIN has established procedures that will continue to assure that the AMICUS password is changed every six months (as per current procedures) without loss of access to the LAC database.

Section 2: Searching VIAF for LAC authority records and creating a new NAR.

- A. Access the VIAF through the Web at <http://viaf.org> (Note that some search functions may not be available if searching through Internet Explorer; prefer Firefox if possible)
- B. Restrict search by selecting either personal or corporate names from the drop down menu in the Select field box.
- C. Restrict the search to Canada in the Select index box
- D. Type in the name desired in the Search terms box.
- E. Click on the name that matches to reveal the VIAF NAR and use the appropriate information found in the 1XX-5XX fields and any information found in the 670 field.

If no match is found create a NAR for the Canadian personal or corporate name:

- F. Create the name authority record from the resource being cataloged. This means that the NAR may be generated by using the Voyager name authority generator or the name template as per the catalogers usual routine for creating NARs.
- G. If a personal or corporate name is found that varies from the name in the newly created NAR change the 1XX and the name used in the bibliographic record to match the LAC form.
- H. Record a 670 with the information:

670 ## \$a LAC in VIAF [date] \$b (hdg.: [form found];
variants [add any variants found])

I. If the personal name is not found add a 675 to the NAR with the information:

675 ## \$a LAC in VIAF [date]

J. **If the corporate name is not found** create the NAR and use the Web form at: <http://www.loc.gov/catdir/pcc/naco/LAC-nacohdgform.html> to request verification of the corporate name.

K. **Keep a tally** of all LAC headings added to the LC Database and send these to the COIN Cooperative Projects Section on a weekly basis.

Section 3: LAC name authority record “adapt” procedures for LC catalogers using AMICUS

Once the desired name authority record is found for an LAC corporate or a personal name in the AMICUS Authority File it is incumbent upon the cataloger to examine the record carefully and assure that all fields comply with the current conventions and cataloging practices for creation of a new name authority record **before saving it** to the LC Database (Cf.: *Anglo American Cataloging Rules* 2ed. rev., Chapters 22-26, *Library of Congress Rule Interpretations* (LCRIs) Chapters 22-26, *MARC 21 Authority Format*, *LC ILS Bibliographic Workflow Training Document no. 6, Descriptive Cataloging Manual Z1*, section 1XX).

A. **008**: Examine carefully and assure that the coding follows the MARC 21 conventions (see the attached guide). **Note** the byte for “Direct/Indirect geographic subdivision” (008/06) and assure that it is set to n; that “Romanization Scheme” (008/07) is set to the fill character*; “Language of cataloging” (008/08) is set to blank or underscore; “Subject heading” (008/11) is set to a; and that “Govt. Agency” (008/28) is set to the fill character.

B. **Do not routinely delete any fields** (MARC tags) from the NAR unless these are found to erroneous or can be identified as non-MARC 21 tags.

C. **010**: Add an LCCN using the generator icon for names as described in the “010 Guidelines for LC Staff” in DCM Z1 010 section.

D. **040**: Add a subfield \$d DLC and assure that the subfield \$b is set to “eng.”

E. **053**: If found, adjust to conform with the LC shelflist and change indicator to 0.

F. **1XX**: Accept the heading “as is” unless modifications are necessary to conform with the principles set out in DCM Z1, section 1XX.

Note: LAC uses tags 110 for geographic headings instead of 151, adjust the tag to 151 before saving the record to the ILS database. Note the exclusions for Canadian National Parks and First Nations in DCM Z1, section 1XX .

G. 4XX-5XX:

Normally do not delete any 4xxs or 5xxs; however, adjustments may be made as necessary to conform to the current cataloging practices (e.g., add dates and/or qualifiers to references if these are included in the heading) and the conventions stated in DCM Z1, section 1XX.

Check the subfield \$w (if one is present) and assure that all the values assigned follow the current conventions for that subfield stated in the *MARC 21 Authority Format*. Do not attempt to convert the existing \$w data; analyze the reference and determine what coding is needed. If necessary delete the subfield \$w or delete the entire field.

Add other 4XX or 5XX when necessary to reflect information found on the item-in-hand, any research performed, etc.

H. 6XX: Adjust 670s to reflect the current conventions set out in DCM Z1 for creation of NARs (e.g., add subfield \$b information when cataloging the same title, etc.) Add a 670 for the book in hand if it is a **different title and it provides more** or variant information. Add other 670s and/or 675s as needed. **Delete 665 notes**; these may be converted to 670s.

I. 7XX: Do not **delete or adjust any 7XXs**. Analyze the information and if appropriate add a 4XX reference to the NAR based on the 7XX data in accord with current LC cataloging policies for references.

J. 9XX: Add a 953 with your cataloger's code.

K. Save the record to the LC Database, by clicking on the sailboat icon.

L. Keep a tally of all LAC headings added to the LC Database and send these to the COIN Cooperative Projects Section on a weekly basis. |

Section 4: ILS Database Searching Parameters

1) When using the Keyword tab, quotation marks should precede and follow the search term if it contains more than one word. If right truncation is desired, the “?” should be placed at the end of the search term before the closing quotation mark.

2) When using the Non-keyword tab, quotation marks and the question mark are not necessary. The search is automatically sent inter-site as a phrase search with right truncation.

Section 5: Sample Searches

In the examples below, identical searches are indicated— first using a NON-KEYWORD search selection and second using a KEYWORD search. The “Author” search can be used to search any of the three combinations: Personal names, corporate names, and conference names.

Author (left-anchored) NALL	banff centre “banff centre?”
Author (left-anchored) NALL	wesche wesche
Personal name (left-anchored) 100H	turner, fay “turner, fay?”
Conference (left-anchored) 111H	banff summer “banff summer?”
Corporate (left-anchored) 110H	banff centre library “banff centre library?”
Title (left-anchored) TALS	canadian literature “canadian literature?”
ISSN (left-anchored) ISSL	1206-4912 “1206-4912”
LC call number left-anchored) 05XX	qa76.w4 “qa76.w4?”
Subject (left-anchored) SALL	glacier glacier?

Section 6: Comparison Between Non-Keyword and Keyword searches

Codes:

The search codes in a non-keyword search has the same meaning as those in the keyword search. The only difference is that with the keyword search one must type in a search command whereas in non-keyword one can choose from a list provided in a drop down menu.

KEYWORD SEARCH CODES

NALL
111H
110H
ISSL
05XX
100H
SALL
TALS

NON-KEYWORD SEARCH CODES

Author (left-anchored)
Conference name (left-anchored)
Corporate name (left-anchored)
ISSN (left-anchored)
LC call number (left-anchored)
Personal name (left-anchored)
Subject (left-anchored)
Title (left-anchored)

Please contact Larry Dixon (ldix@loc.gov) if you have questions about Z39.50 searching in Voyager.

Section 7: List of LAC Liaisons in ABA.

<u>NAME</u>	<u>DIVISION</u>	<u>TELEPHONE</u>
1) Doughty, Beth	USAN	7-2648
2) Gilliam, Gracie	COIN	7-2250
3) Majid Majd	USPL	7-3124
4) Taylor, Iris	G&M	7-8529
5) Thompson, Kimberly	USGEN	7-3465